MANAGEMENT OF PERSONNEL RECORDS IN SUPPORT OF GOOD GOVERNANCE AT THE MINISTRY OF LOCAL GOVERNMENT HEADQUARTERS, NAIROBI

BY

BEATRICE CHEMUTAI KOMEN

A THESIS SUBMITTED IN PARTIAL FULFILMENT OF THE REQUIREMENTS FOR THE DEGREE OF MASTERS OF SCIENCE IN INFORMATION SCIENCES (RECORDS AND ARCHIVES MANAGEMENT)

MOI UNIVERSITY

ELDORET, KENYA

AUGUST, 2012

DECLARATION

This thesis is my original work and has not been presented for a degree in any other University. No part of this thesis may be reproduced without the permission of the author and/or Moi University.

Student: Beatrice Chemutai Komen

IS/MSC/02/08

Signature: ……………………   **Date: …………………..**

This thesis has been submitted to the University for Examination with our approval as the University Supervisors.

Prof. Henry Kemoni
Dept of Library, Records Management,
and Information studies,
Moi University

Signature: …………………………   **Date: …………………..**

Prof. Japhet Otike
Dept of Library, Records Management,
and Information studies,
Moi University

Signature: …………………………   **Date: …………………..**

DEDICATION

This work is dedicated to my children Rachel and Ryan for having persevered with my coming home late at night while conducting the study as well as my house help (Flavin) for her invaluable support and care for my children during that period.

ACKNOWLEDGEMENT

I wish to thank God for the strength and wisdom.

My special acknowledgments go to my supervisors Dr. Henry Kemoni and Prof. Japhet Otike for the valuable guidance, supervision and encouragement. Much gratitude goes to my immediate supervisor Dr. Henry Kemoni for giving me an insight on how to write a Research Proposal and the thesis.

I sincerely thank my former employer MOLG for assisting me with financial, materials support and time to undertake this research study.

Many thanks go to my parents, sisters and brothers who kept on encouraging me to finish this thesis so that I could be a role model to their children and the entire family of Komen.

Finally, I wish appreciate my colleagues in the class especially Mr. Kathurima (KPLC), Mr. Onkoba, Lydia and Margaret of KNH for the support that they gave me at the time of writing this thesis.

ABSTRACT

Preliminary survey by the researcher revealed that, the current state in which personnel records and records management units are operating in the Ministry of Local Government (MOLG) has impacted negatively on the delivery of service. Despite the efforts made by the Government through the issuance of several circulars on records management in Government Ministries and non adherence to the legal framework governing employment and management of personnel records, the state of records management in general and personnel records in particular in the MOLG still remains a challenge. The aim of the study was to examine the management of personnel records in support of good governance in the Ministry of Local Government Headquarters and propose a framework for effective management of these records. The objectives of the study were: to find out how personnel records are managed during their continuum; determine how personnel records impact on good governance; determine the factors that contribute to the current state of personnel records; establish the extent to which KNADS has assisted the MOLG to manage personnel records; establish the nature and extent of appreciation of ICT in managing personnel records and propose a framework for management of personnel records in the MOLG. The study was informed by the records continuum model of Frank Upward's (1980). The study used a sample size of 68 respondents drawn from different categories of staff through the use of purposive sampling. The sampling comprised the following categories: of respondents namely heads of Department (4), HRM officers (16), Records Management Officers (3), Clerical Officers (15) Information Technology Officers (6) Secretaries (15), KNADS staff (6) and DPM staff (3). The primary data collection instruments were face to face interviews and observation. Qualitative approach was used to present, analyze and interpret the data. The study established that: management of personnel records in MOLG during their continuum were poorly managed; well managed personnel records impacts positively on good governance; there was lack of adherence to personnel records management practices, procedures and policies. Recommendations include: MOLG should develop capacity building for Records Management officers; develop retention and disposal schedules for personnel records in MOLG; review and implement policies and legislations for personnel records; implementation of ICT in the management of personnel records; enactment of records management policy and development of a framework to be used in the management of personnel records in support of good governance.

TABLE OF CONTENTS

APPENDICES

LIST OF TABLES

LIST OF FIGURES

LIST OF ABBREVIATIONS AND ACRONYMS

DPA: Data Protection Act

DPM: Directorate of Personnel Management

ESARBICA: East and Southern Africa Regional Branch of the International Council on Archives

HODs: Heads of Departments

HR: Human Resource

HRMOs: Human Resource Management officers

ICT: Information and Communication Technology

IPPD: Integrated Payroll and Personnel Database

IRMS: Integrated Records Management System

IRMT: International Records Management Trust

ISO: International Standards Organization

IT: Information Technology

KLGRP: Kenya Local Government Reform Programme

KNADS: Kenya National Archives and Documentation Service

LAs: Local Authorities

LAI:

MOLG: Ministry of Local Government

MSPS: Ministry of State for Public Service

OP: Office of the President

RMOs: Records Management Officers

UDD:

UN: United Nations

CHAPTER ONE

INTRODUCTION AND BACKGROUND TO THE STUDY

1.1 Introduction

This chapter provides background information to the study. It presents background information about Ministry of Local Government. Other issues covered include background to the statement of the problem, statement of the problem, aim and objectives of the study, research questions, assumptions, significance of the study, scope and limitations and definition of operational terms.

1.2 Records and Records Management

According to the International Standardization Organization Records Management Standard, (ISO 15489:2001), "a record is information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business". A record is more than just information, it is supposed to be trustworthy: reliable and authentic, able to serve as evidence, and to support accountability (Oberg, L. etal, 2006). The length of time for which the records need to be preserved could vary from months up to hundreds of years (Duranti, 2001; Thomassen, 2001).

A record is further defined as recorded information that is produced or received in an institutional or individual activity and that comprises content, context and structure sufficient to provide evidence of the activity regardless of the form or medium

(International Council on Archives, 1997). "Records are documents which are reliable and complete, that is, able to convey information, capable of being used in a transaction, and of reaching the purposes for which they have been produced." Duranti, (1998).

Records are physical or virtual, have a content, a structure, are created in a context (Bearman, 1994; Hofman, 1998) and are process bound information (Thomassen, 2001). But these features do not make records unique in relation to other forms or sorts of information. According to Thomassen (2001) a record has several criteria, which makes the record unique in relation to other types of information.

a) Records are evidence of actions and transactions;

b) Records should support accountability, which is tightly connected to evidence but which allows accountability to be traced;

c) Records are related to processes, i.e. "information that is generated by and linked to work processes"

d) Records must be preserved, some for very short time and some permanently. It also has structure, content, and context.

The benefits of records are many, but usually it results in (ISO 15489-1):

a) Increase efficiency and productivity;

b) protect the organization from litigation;

c) evidence of transactions/ events for audit purposes;

d) preservation of the institutional memory of the organization;

e) facilitation of the resumption of operations in the event of a disaster; and

f)   ensuring that employee benefits can be supported via information maintained in personal records.

According to Piggot (2002), there are several reasons why Government need to manage and maintain records properly:

a)   Government rely upon legislative records, court records, police and prison records to preserve the rule of law;

b)   To demonstrate accountability to its citizens, a government relies upon policy files, budget papers, accounting records, procurement records, personnel records, tax records, election registers, property and fixed asst registers;

c)   The protection of entitlements depends upon pension records, social security records, land records and birth/death records;

d)   In providing services for its citizens, a government needs hospital records, school records, and environmental protection monitoring records;

e)   In documenting its relationship with other countries, government needs foreign relations and international obligations, treaties, correspondence with national and international bodies, loan agreements etc;

f)   Without adequate records, the effectiveness of development projects must suffer. There will be no means of verifying that the development projects falls within acceptable legal, financial and cultural boundaries of a client government. There will be no means to verify that funds for development are used as intended;

g)   Experts in financial management control recognize that well managed records systems are vital to the success of most anticorruption strategies. Records provide

verifiable evidence to fraud that can lead to investigators to the root of corruption. Well-managed records can act as a cost effective restraint.

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 and Chell 1999). However, ISO 15489-1 (2001) issued by the International Standards Organization 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. From the context of the Kenyan public sector, records management is the application of systematic control of all recorded information in an organization which entails designing and directing a programme aimed at achieving economy and efficiency in the creation, use, maintenance and disposal of records (Musembi, 2005).

National Archives and Records Service of South Africa (2006) points out that records management is a process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance. Records need to be well managed so that the information they contain can be readily accessible by those who use it when they need it. Musembi (2005) observes that government creates a huge volume of records that require proper management. Records' keeping is therefore a fundamental activity in the conduct of Government business.

The Southern Illinois University Edwardsville (2009) point out records management in an organization includes:

a) setting policies and standards

b) assigning responsibilities and authorities

c) establishing and promulgating procedures and guidelines

d) providing a range of services relating to the management and use of records

e) designing, implementing and administering specialized systems for managing records

f) integrating records management into business systems and processes

g) ensuring compliance with legal and regulatory recordkeeping requirements, thereby avoiding costly fines or other penalties

h) reducing risks in litigations, government investigations, and the legal discovery process.

1.2.1 Personnel records

Personnel records have certain characteristics which distinguish them from many other types of records. Paper personnel files are one of the largest categories of records any government creates and have linkages to other important record systems, such as payroll, pensions, national insurance schemes (the 'social safety net') and of course the files of other government departments (Cain, 1996). Furthermore, personnel records contain material that is highly confidential. Special handling procedures and security are required for some categories of personnel information. Again, the sensitivity of the material means that oversight by senior managers is required to ensure that procedures are being followed (Cain, 1996).

Personnel records provide a basis for decision making in every area of personnel work, including:

a) human resources forecasting and planning

b) recruitment and selection

c) employment (including promotion, transfer, disciplinary procedures, termination and redundancy)

d) education and training

e) pay administration

f) Health, safety and welfare (Roper and Millar, 1999b).

Personnel records may have an effect on other individual rights, including the person's right to work, standing in society, promotion paths, eligibility for training and right to entitlements, including pensions, medical contributory schemes and insurance (Roper and Millar, 1999b).

Roper and Millar (1999a) points out that personnel records are exceptionally sensitive since they contain information about the circumstances of individuals. Access to these records must be strictly controlled in a physically secure environment with effective control systems to track their movement and use.

According to World Bank (2003), the prominent features of the crisis in personnel data and management information are:

a) poor maintenance of personnel records;

b) fragmented and local payrolls;

c) control gaps in the central payroll; and

d) shortcomings in the central personnel data base

The Government relies on personnel records just like any other administrative records to demonstrate its accountability to the citizens (World Bank, 2009). The protection of an individual depends on personnel records which consist of birth and death records, registration records, social security records and pension records. According to the International Records Management Trust (2009), personnel records document an individual's employment history from appointment to retirement or termination and may be organized as individual case files in paper or electronic format comprising of correspondence, memoranda, letters of application, job advertisements, curriculum vitae, contract and salary changes, release and relieve time and awards among others.

Moreover, personnel records provide the basis for all aspects of personnel management, including:

a) recruitment and selection

b) employment (promotion, transfers, disciplinary procedures, termination and redundancy)

c) education and training

d) pay administration

e) health, safety, and welfare.

In order to serve the objects of the employer and the employee, personnel records must be trustworthy in terms of their accuracy, completeness, and verifiability (World Bank, 2000b).

1.2.2 Good governance

Good governance depends upon an effective records management system. Without a record management infrastructure, governments and organizations are incapable of effectively managing their current operation, and are unable to use the experience of past for guidance (World Bank 2000b). According to Marion (2003), records are inextricably entwined with transparency, accountability and all other elements of good governance. Their documentation and management serve as a benchmark by which future organizational and government activities and decisions are taken and measured.

The International Foundation for Election Systems (2002) states that "good governance prevails when government manages public institutions in an efficient, transparent, responsive manner; and when an informed citizenry participates and is engaged with the government in the pursuit of their mutually beneficial social, political, economic, and cultural objectives."

For good governance to exist in both theory and practice, citizens must be empowered to participate in meaningful ways in decision-making processes. They have a right to information and to access. According to UNESCAP (2003) and World Bank (2000b), good governance has eight major characteristics namely:

a) Participatory

b) Consensus oriented

c) Accountable

d) Transparent

e) Responsive

f) Effective and efficient

g) Equitable and inclusive and

h) Follows the rule of law

Records, as documentary evidence and corporate memory of an institution are an essential component of good governance. They are the means by which the indicators of good governance can be demonstrated, monitored, reviewed and measured.

1.2.3 Records as a basis of good governance

Records are vital to virtually every aspect of the governance process. The effectiveness and efficiency of the public service across the range of government functions depends upon the availability of and access to information held in records. Badly managed records adversely affect the broad scope of public service reforms, and development projects are often difficult to implement and sustain effectively in the absence of well managed records (World Bank, 2000b).

Personnel records play a vital role in providing the information needed by organizations to manage and pay their staff members, plan their workforce requirements and monitor

staff performance. Ultimately, any organization's development and sustainability will depend on sound and effective human resource management, and the approaches it chooses to follow will be derived in part from an analysis of the information contained in personnel records.

The goal of personnel records management is to ensure that a complete and comprehensive employment history of each employee is readily available for as long as it is needed, and that the information contained in personnel records supports the management, deployment, payment and development of staff. Other key objectives of personnel records management are to support good governance, transparency and organizational accountability and to enable accurate audits by creating and protecting human resource records as reliable evidence (Millar, L. 2009).

Well-managed information is essential for accountability, which in turn is the foundation for democratic governance. Accurate official records should provide the basis for the protection of human rights, poverty reduction, the rule of law, economic development, democratization and accountability frameworks.

According to World Bank (2000b), there is a relationship between key governance objectives and the records required to support them as illustrated in **Table 1.**

Table 1: Governance Objectives and key Records Required [**World Bank, 2000b**]

Governance objectives	Key records required
rule of law	legislative records court records police records prisons records
accountability	accounting records procurement records tax records customs records electoral registers policy files case files
management of state resources	budget papers policy files accounting records personnel records payroll records procurement records fixed assets registers property registers
protection of entitlements	pension records social security records land registration records birth/death records
services for citizens	hospital records school records environmental monitoring records
foreign relations and international obligations	treaties correspondence with national and international bodies loan agreements

The study emphasized the importance of personnel records management in that without proper management of these records, there cannot be accountability, rule of law and protection of entitlement of employees cannot be realized.

Without good records, officials are forced to take decisions on an ad hoc basis without the benefit of an institutional memory. Fraud cannot be proven, meaningful audits cannot be carried out, and government actions are not open to review. In addition, the people of the government cannot make an informed contribution to the governance process or claim their rights (World Bank, 2009).

The degree to which records are used to support good governance depends on the underlying records management infrastructure. Poor records and information management hinders efforts to build institutional capacity in the public sector. Good records management programs support good governance. Accurate, complete and verifiable records provide the basis for holding government officials accountable. In the absence of authentic records, information can be manipulated; transparency is comprised, fraud flourishes and citizens suffer unduly (Marion, 2003).

1.3 Background information of the Ministry of Local Government

The Ministry of Local Government is headquartered at Jogoo house with one of its departments housed at Cianda House. The Kenya Local Government Reform Programme (KLGRP) is also situated at Cianda House. Provincial Local Government Offices are situated at the provinces with an exception of Nairobi (Republic of Kenya, 2005).

Vision: To have viable autonomous, accountable and responsive Local Authorities.

Mission: To facilitate Local Authorities to achieve good governance and improved service delivery for enhanced socio-economical development.

The Ministry has three core departments and is supported by various sections under the administration department as follows:

• Urban Planning Department (UDD)

• Local Authorities Inspectorate (LAI)

• Personnel administration Department (deals with the Human Resource Management and administrative functions within the Ministry and the Local Authorities).

- Administration

- Central Planning Unit

- Accounts

- Personnel

- Legal services

- Finance department

- Human Resources Development

- Procurement

The Ministry of Local Government (MOLG) is mandated to oversee the operations of the 175 Local Authorities (LAs) in Kenya under the Local Government Act (Cap 265 of the Laws of Kenya). The mission of the Ministry is to facilitate Las to achieve good governance and improve service delivery for enhanced socio-economic development. The

vision is to have autonomous, accountable and responsive LAs (Ministry of Local Government, 2007).

To this end, the Ministry has been implementing development programmes and reforms which are aimed at benefiting service recipients at LA level and improving the financial management and service delivery capacities of the LAs. The reform programmes in the Ministry are spearheaded by the Kenya Local Government Reform programme (KLGRP), supported by the Rural Poverty Reduction and Local Government Support Programme. Some outputs of these reform programmes designed to enhance efficiency in service delivery include:

- Single Business permits

- Revenue Enhancement Plans

- Local Authority Service Delivery Action Plan (LASDAP)

- Local Authorities Integrated Financial Operations Management System (LAIFOMS)

The mandate of the Ministry as indicated in Presidential Circular No. 1 of September 2004 includes:

a) Formulation and implementation Local Authorities Policy

b) Oversight, management and development support to Cities, Municipalities, Towns and County

c) By-Laws for Local Authorities

d) Support for capacity building for Local Authorities

e) Facilitating the winding up of Local Government Loans Authority

f) Providing oversight and management support to;

    i.) Local Authorities Provident Fund

    ii.) Local Authorities Pensions Trust

g) Administration of Local Authorities Transfer fund

In order to fulfill its role as facilitator of good governance and improved service delivery in the sector, the Ministry of Local Government has developed a five -year Strategic Plan (2004-2009) to guide its operations in the next five years. The strategic plan takes cognizance of the Ministry's responsibility of facilitating and supporting Local Authorities and other sector players in carrying out their mandates.

This Strategic Plan is in line with the NARC Government's priority to improve governance and service delivery at the local level as set out in the Economic Recovery Strategy for Wealth and Employment Creation (ERSWEC). The sector is also recognized in the PRSP as a key player in the fight against poverty and bringing economic growth and development in both rural and urban areas. The ongoing constitutional review process is likely to result in increased responsibilities to Local Authorities, therefore requiring greater managerial competence in Local Authorities.

This decentralization to, and empowerment at the local level will require an institutional framework and capacity that is responsive to the overwhelming needs of the people, particularly the poor who have until now had limited access to public services.

The Strategic Plan is based on the role of the Ministry as set out in the Presidential Circular No. 1 of September 2004. This was important input into the development of a mission statement to provide greater clarity and focus on the role of the Ministry.

The Ministry has identified seven key result areas to focus on during the strategy period 2004-2009:

a) Internally, transform MOLG to focus on its mission to deliver, with particular focus on the organization structure, values, attitudes and behaviour, change management and capacity building;

b) Policies and guidelines completed for deficit areas in the sector

   Relationship mending/building with stakeholders to clarify this (new) role of the

   MOLG

c) Constitutional and legal framework for local authorities

d) Introduce a performance management framework by which to monitor performance of local authorities

e) Institutional capacity building of local authorities

f) Coordinate technical assistance to local authorities' service delivery and advocacy.

The Ministry's headquarter is in Nairobi and also has provincial offices in all the eight provinces in Kenya. It has total of 400 employees with majority of them based at the headquarters and the rest deployed in the Provincial Local Government Offices.

Figure 1 presents the Organizational Structure of the Ministry.

Figure 1: Current Organizational Structure in the MOLG

MINISTRY OF LOCAL GOVERNMENT

ORGANIZATION STRUCTURE

DEPUTY PRIME MINISTER AND MINISTER MOLG

ASSISTANT MINISTER MOLG

PERMANENT SECRETARY MOLG

SECRETARY LOCAL AUTHORITIES ADMINISTRATION

| URBAN DEVELOPMENT | ADMINISTRATION | LOCAL AUTHORITIES INSPECTORATE | MARKET DEVELOPMENT |

KLGRP	HRD
PERSONNEL	FINANCE
ACCOUNTS	CENTRAL PLANNING
PROCUREMENT	LEGAL SERVICES
PUBLIC RELATIONS	RPRLGSP
STREET FAMILIES PROGRAMME	ICT

1.4 Background to the statement of the problem

Several circulars have been cited that emphasizes the importance of management of personnel records in Kenya. The Office of the President (OP) and the Directorate of Personnel Management (DPM) issued records management circulars, which are geared towards improving records management in Government Ministries and Departments. These include:

a) Circular Ref. No. DPM/PA/1/20 (112) of 29th August 1991 on destruction of personnel records which points out that "*there has been accumulation of massive volume of personnel records which have no administrative or archival value since they were closed several years ago. The continued retention of such records has resulted in congestion of storage areas and thus proved to be uneconomical and a wasteful usage of storage facilities which should otherwise be used for current and needed records*". The circular further states that *" in order to ease the problem and after consultation with the Kenya National Archives and Documentation Service, it has been decided that personnel records which are maintained in Ministries/Departments should be retained for a specified period after which they may be destroyed*".

b) Circular OP.39/2A of 14th April 1999 on cases of missing and lost files and documents in the Public Service. The circular was issued by the Head of the Public Service which attributed cases of missing and lost files in the Public Service to laxity and poor records management practices and in some cases corruption among civil servants. The circular directed accounting officers to ensure that records are properly managed in order to avoid the incidence of lost and missing files; and that firm and

immediate administrative and legal action be taken against officers who intentionally hide, misplace public records or cause them to be lost/destroyed.

c) Circular OP.39/2A of 14th November 1999 on cases of missing and lost files and documents in the Public Service. This circular was a follow up to the 14th April 1999 which was issued by the Head of the Public Service and stated that: *"The public, including civil servants will be encouraged through media adverts to submit formal complaints, in writing, to the Director, Kenya National Archives and Documentation Service wherever the service that they require is unduly delayed on the grounds that a file or documents are "missing". The Director of National Archives will then follow up and will submit a quarterly report to the Head of the Public Service detailing all reports of lost or missing files".*

d) Directorate of Personnel Management (DPM) policy document on the public sector reforms titled "A Strategy for Performance Improvement in the Public Service" of July, 2001 (paragraph 141) summarizes the general situation in the public service registries as follows: "*The state of registries of many offices in the Public Service is appalling. Failure in the systems leads to delay, poor and frustration on the part of the public and opportunity for corruption*".

e) Improvement of Records Management for Good Governance (Office of the President 2003a). It states that *"the state of records management in the Public Service has continued to be unsatisfactorily*" and the Permanent Secretaries/Accounting Officers were called upon to ensure that all records in their respective Ministries/Departments were efficiently managed in order to support good governance.

f) Report on Streamlining the Performance of Registries in Government Ministries, Departments, Local Authorities, Provinces and Districts (Office of the President 2003b). The report produced by the task force indicates that *"most of the registries in Ministries, Departments, Local Authorities, Provinces and Districts are in a poor state and cannot provide accurate records and information needed for quick and timely decision making"*. Further, the report has also highlighted issues that affect the performance of registries and provided recommendations that should be implemented to help streamline the operations of registries.

g) Additionally, since 1991, there had been continuous upgrading of various cadres in the public service necessitating the review of the cut-off point for retention of personnel records. The Ministry of State for Public Service (DPM) circular on personnel records-Ref.No.DPM.12/6A Vol. 1 (71) of 12th March 2008 provides guidelines on retention of various categories of personnel records in the public service (Ministry of State for Public Service, 2009).The circular outlines four broad categories of personnel records, providing the retention period for each category as tabulated in **Table 2**.

Table 2: Schedule for Disposal of Personnel Records: Personnel General Letter No. 1/2008:

Category of Records	Retention Period
Records related to recruitment and selection by Authorized Officers	One year after file is closed
Records Relating to candidates selected for training.	Three years after the file is closed.
Records relating to promotions and appointments by Authorized Officers	One year after file is closed
Personal Files of officers who have retired or left the service	Fifteen years after file is closed except for Senior Officers in Job Group "N" and above which may be kept permanently. In exceptional cases, files of officers in Job groups "M" and below may be considered for permanent preservation if the file holds historical significance.

The main purpose of directing various circulars on records management in the public service is to ensure that the state in which records are managed is improved for the benefit of enhancing service delivery and hence achieving transparency, accountability and good governance.

The findings of the Task Force on Streamlining the Operations of Registries in Government Ministries/Departments and Local Authorities (2003) identified several problems in the management of personnel records namely:

a) Personnel files were not well kept, due to lack of space; most of the files were congested in the few shelves leading to files getting torn and loss of information.

b) Storage rooms were often overcrowded and security inadequate

c) Indexing procedures were not always in place and file tracking systems were often lacking.

d) Closed files were always retrieved with a major search being launched. The result was large amounts of staff time being wasted.

According to the task force, the situation was caused by among others:

e) Absence of security for files and documents which led to their loss and leakage of information

f) Existence of parallel 'private' registries maintained by action officers as a result of loss of confidence in the efficiency of the Records Management Units.

g) Poor tracking system of files as a result of the failure to record outgoing and incoming files

h) Lack of disposal/retention schedule which encouraged the unnecessary accumulation of valueless records

i) A poor understanding by senior managers of the role, functions and importance of record keeping in supporting organizational efficiency and accountability

j) Absence of vital records, disaster recovery and preparedness plans

k) Lack of a national policy on records management has been seen as the root cause of poor records keeping in Government Ministries.

Further efforts have been made to address the poor state of records management in the Service. The Ministry of State for Public Service (MSPS) is in the process of: computerizing all registries at the Ministry/Department headquarters, Provinces and Districts; training all registry personnel on records management; and improving the working environment for registry personnel in Ministries/Departments. MSPS has developed a Registry Management and Workflow system to be rolled out to all Ministries/Departments. The system has been designed to carry out the following:

a) Registration of all mail received in a Ministry by assigning a serial number, date and time it is received, source of the letter and enclosures if any;

b) Directing received mail to the Permanent Secretary and the heads of Division/Department to provide direction on the specific action to be taken by respective officers;

c) Directing the mail back to the registry for indexing, filing and forwarding to action officers;

d) A bring-up facility to avoid officers holding files for too long;

e) Search for a mail or a particular file and

f) Redirecting/re-routing of files from one action officer to another. (Ministry of State for Public Service, 2009).

1.5 Statement of the problem

Preliminary survey by the researcher revealed that, the current state in which personnel records and records management units are operating in the MOLG has impacted negatively on the delivery of service.

Despite the efforts made by the Government through the issuance of several circulars as earlier highlighted in **section 1.4** on records management in Government Ministries and non adherence to the legal framework governing employment and management of personnel records, the state of records management in general and personnel records in particular in the MOLG still remains a challenge. This has led to massive accumulation of personnel records occupying a lot of office space; delays in payments of employee's benefits such as gratuity, pension, insurance and many others; lost and missing of personnel files which are directly linked to the persistent corruption and fraud.

In the MOLG, the designing of personnel records systems have not yet been established, therefore most operations as far as the management of personnel records are concerned are still manual leading to slow retrieval of information hence rendering the work of the organization slow, ineffective and inefficient. At present, the MOLG lacks proper records management systems and practices which have resulted in poor record-keeping, poor filing, ineffective use of records and delayed decision making.

Although the Government of Kenya formed a taskforce to establish the current state of records management including personnel records in Government Ministries as indicated

in **section 1.4**, no empirical study has been carried out to establish how personnel records are managed in MOLG. This study, therefore, investigated the management of personnel records in support of good governance in the Ministry of Local Government with a view to proposing a framework that enhances management of personnel records in support of good governance in the Ministry.

1.6   Aim of the study

The aim of the study was to examine the management of personnel records in support of good governance at the Ministry of Local Government Headquarters and propose a framework for effective management of these records.

1.6.1 Specific objectives of the study

The specific objectives of the study were to:

1)   Find out how personnel records are being managed during their continuum

2)   Determine the role of personnel records in promoting good governance

3) Establish the extent to which KNADS has assisted the MOLG to manage personnel records in support of good governance

4) Establish the nature and extent of use of ICT in managing personnel records in support of good governance

5)   Determine the challenges faced in the management of personnel records in support of good governance

6) Provide recommendations and a framework for management of personnel records in the Ministry

1.7   Research questions

The study was guided by the following research questions:

1) How are personnel records managed during their continuum?

2) To what extent do existing personnel records management practices in MOLG support good governance?

3) What role does ICT play in the management of personnel records in MOLG in support of good governance?

4) What role does KNADS play in the management of personnel records at the Ministry of Local Government?

5) What legal framework informs the activities of managing personnel records and good governance in the MOLG?

6) How can personnel records be effectively managed in support of good governance?

1.8 Assumptions of the study

This study was based on the following assumptions:

1) Although the MOLG generates personnel records, current management of these records during their continuum does not support good governance at the Ministry.

2) Although the KNADS provides advice to the Ministry in managing personnel records, such advice is not effective and does not promote good governance practices at the Ministry.

3) Although the Ministry has applied ICT in the management of personnel records, the lack of empirical study has made it difficult to determine the extent to which this supports good governance in the Ministry.

1.9 Significance of the Study

The findings of the study are expected to provide useful data which could be used to improve service delivery and good governance in the Ministry of Local Government.

The findings would be of much help to the Ministry and the Government of Kenya which would enable it to come up with well defined policies and procedures with regard to management of personnel records to support efficient and effective management of human and financial resources; delivery of services to citizens and protect the rights and entitlements of employees.

It would contribute to the body of knowledge on personnel records management and good governance and would assist the Ministry to come up with a policy on the management of personnel records.

The study would be useful to other researchers who may use the findings as a basis for further study.

1.10 The Scope and limitations of the study

The study area was the management of personnel records in the MOLG Headquarters and not in the Provinces and Districts. It gathered information pertaining to personnel records management from the top management officers, the records management staff, Information Technology officers, Action Officers and KNADS staff. The study was limited to MOLG Headquarters and not in the provinces and Districts. The study was limited by scarcity of literature because few studies have been carried out on personnel records management and good governance. Another limitation was that the researcher

was not able to collect data from the study population sampled (75 respondents) because some secretariat staff were transferred to other Ministries at the time of data collection. Difficulty to get clarity on some unclear interview answers from the respondents and the fact that most of them were not conversant with personnel records affected the validity and reliability of data.

Despite these limitations, the study is nonetheless valuable as it has come up with useful findings and recommendations as discussed in the significance of the study.

1.11 Conclusion

This chapter has given introductory information to the research and the background information. The chapter lays a foundation for the study and provides a broad guideline that that sets a philosophical and methodological framework within which the study shall be based. Records, as documentary evidence of an institution are an essential component of good governance. It has provided information that will set the pace for the study and serve as the basis for subsequent chapters and all the work that shall be done in the study.

1.12 Definition of operational terms

Personnel records

Personnel records are all information pertaining to individual employees, which is collected and maintained by the employer and is essential to the employer for handling various employment-related matters. These includes letters of application, job advertisements, CVs, letters of reference, recommendations, letters of appointment and

acceptance, as well as information on leaves, immigration status, position number, contract and salary changes, release or relief time, and awards (University of Michigan, 2004).

Records

Records are documents regardless of form or medium created, received, maintained, and used by an organization (public or private) or an individual in pursuance of legal obligations or in the transaction of business, of which it forms a part or provides evidence (World Bank, 2000b).

Records Management

Records management is a 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 (ISO 15489-1:2001).

Governance

It is the process of decision-making and the process by which decisions are implemented (or not implemented). Governance can be used in several contexts such as corporate governance, international governance, national governance and local governance (UN, 2006).

Good Governance

Good governance is a form of governance that embodies eight specific characteristics, and can be seen as an ideal of governance. Good governance is, in short, anti-corruption whereas authority and its institutions are accountable, effective and efficient, participatory, transparent, responsive, consensus-oriented, and equitable (UN, 2006).

Information and Communications Technology System

A coherent collection of processes, people and technologies brought together to serve one or multiple business purposes. ICT stands for information and communications technology (IRMT, 2009).

Integrated Payroll and Personnel Database

It is a computerized system conceived to replace the manual and semi-manual payroll system which is a more effective payroll administration system (Ministry of State for Public Service, 2005).

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

The chapter presents the theoretical framework and the literature on the management of personnel records. It highlights some of the related studies that have been carried out in Kenya and other countries on the management of personnel records. The literature review themes include, theoretical framework for the study Records Continuum Model; efficient and effective management of personnel records; personnel records and good govrnance; introduction of computerized personnel systems; Integrated Payroll and Personnel Database(IPPD) system; legal and regulatory framework for management of personnel records and stakeholders involved in the management of personnel records.

2.2 Purpose of Literature review

Lyons (2005) and Bourner (1996) suggest that the purposes of conducting literature reviews include:

- Place each work in the intellectual context of its contribution to the understanding of the subject under review hence position the study relative to other works.

- Identify new ways to interpret and shed light on any gaps in previous researches. This helps in reviewing the field which allows the researcher to build on the platform of existing knowledge and ideas.

- Resolve conflicts amongst seemingly contradictory previous studies.

- Place one's original work (in the case of theses or dissertations) in the context of existing literature.

- Identify research methods that could be relevant to the research.

2.3 Theoretical Framework

A theoretical framework is a collection of interrelated ideas based on theories. It is a reasoned set of prepositions which are derived from and supported by data and evidence (Kombo and Tromp, 2006).

2.3.1 Theories in Records Management

Many theories are been proposed by different authors on the management of records in both public and private sectors in the world. The most commonly used theories in records management are the Records Life Cycle Concept and the Records Continuum Model (Kemoni, 2008).

2.3.1.1 Records Life Cycle Concept

The Records Life Cycle theory was developed in the USA after the First World War, by the then National Records and Archives Administration (Penn, Pennix and Coulson, 1994). Records follow a 'life-cycle', in that they are created, used for so long as they have continuing value and then disposed of by destruction or by transfer to an archival institution (Millar, 1997). The author further asserts that the record life cycle concept is based on the fact that recorded information has a life similar to that of a biological

organism in that it is born (creation phase), it lives (maintenance phase) and dies (disposition phase). They pass through three main phases: In the current phase, they are used regularly in the conduct of current business and maintained in their place of origin or in the file store of an associated records office or registry. In the semi-current phase, they are used infrequently in the conduct of current business and are maintained in a records center. In the non-current phase they are destroyed unless they have a continuing value which merits their preservation as archives in an archival institution (Mnjama, 1996).

Figure 2: Life cycle of records by Government of South Australia (2009
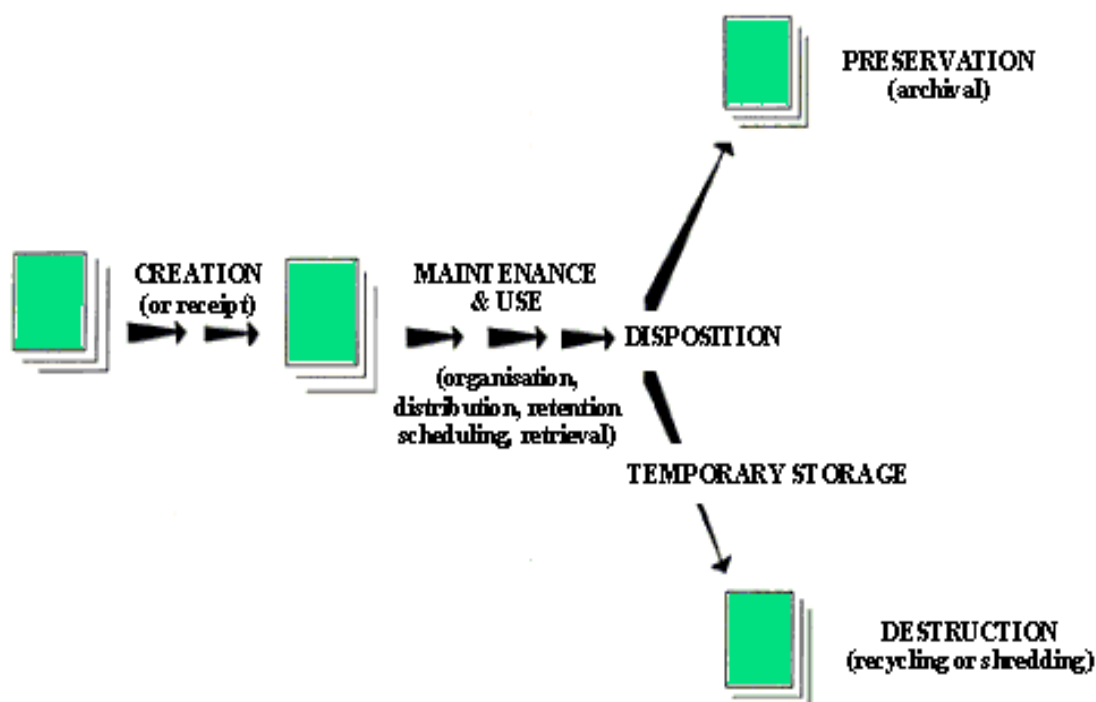
The life cycle model argues that there are clearly definable stages in recordkeeping, and creates a sharp distinction between current and historical recordkeeping. The life cycle model sees records passing through stages until they eventually 'die', except for the

'chosen ones' that are reincarnated as archives. A continuum-based approach suggests integrated time- space dimensions (McKemmish, 1998). A continuum is something continuous of which no separate parts are discernible, a continuous series of elements passing into each other. A records continuum perspective can be contrasted with the life cycle model.

The Government of South Australia (2009) has criticized the life cycle model for failure to take into account the existence of those records with continuing values as archives. It goes on to state that the records continuum model is now recognized as a broader model than the life cycle which only describes records. Further criticism of the life cycle model has been advanced by Shepherd and Yeo (2003); Yusof and Chell (2000); McKemmish (1998) and Atherson (1985) opined that the records life-cycle theory created a distinction between the roles of records managers and archivists during the records life-cycle therefore ignoring the many ways in which records and archives operations are interrelated. Another criticism is its failure in application in the management of electronic records. The authors' points out that the records life-cycle concept would not be used in managing electronic records and needed to be replaced by a model that takes into consideration the aspect of electronic records. The concept of the life cycle be replaced by a records continuum (Yusof and Chell 2002:57).

The life cycle theory cannot be used as theoretical framework for this study because of its inadequacy to capture all the aspects of recordkeeping such as electronic records

management. Thus the concept of the records continuum has been promoted in the world of records management as it addresses the management of paper and electronic records.

2.3.1.2 The Records Continuum Model

The Records Continuum Model originated from Canada, but was developed and adopted in Australia (Bantin, 2002). McKemmish (1998) stated that the Records Continuum Model was developed by Frank Upward. This model emphasizes the management of records through a coherent and consistent continuum of actions from the development of record-keeping systems, through the creation and preservation of records to their use as archives (An, 2001; Millar, 1997; Upward, 1998; Shepherd and Yeo, 2003).

The model was developed in the 1980s and 1990s, in response to criticisms of the life cycle model (Shepherd and Yeo 2003). For instance, McKemmish (1998) criticized the model because in her view, it negates the transactional and evidential nature of records, disconnects both record managers and archivists from organizational purposes of recordkeeping since it is based on tasks, not systems, and it divides the professions.

Atherton (1985) presented the four stages of the records continuum: creation or receipt of the record; classification; establishment of retention/disposal schedules and their subsequent implementation; and maintenance and use in the creating office, inactive storage or archives. Atherton (1985) noted that all four stages are interrelated, forming a continuum in which both records managers and archivists are involved to varying degrees in the ongoing management of recorded information.

For instance, theorists such as Upward and McKemmish, adopted the records continuum model as an alternative to the records life-cycle to cater for electronic records.

According to Shepherd and Yeo (2003) the continuum model is a flexible and inclusive concept that reflects a range of issues surrounding the role of records in contemporary organizations and society. The model provides a graphic tool for framing issues about the relationship between records managers and archivists, past, present, and future, and for thinking strategically about working collaboratively and building partnerships with other stakeholders (McKemmish, 1998). An (2001) stated that the evolution of the concept of a records continuum shows that the processes of records management and archives management are moving towards integration.

Upward (1998) pointed out that the records continuum model has been defined in ways which show it is a time/space model instead of a life of the records model. In his article "Structuring the records continuum" Upward (1998) stated four principles of the records continuum model:

- A concept of records which is inclusive of records of continuing value (archives), which stresses their use for transactional, evidentiary and memory purposes, and which unifies approaches to archiving/recordkeeping whether records are kept for a split second or millennium ;

- A focus on records as logical rather than physical entities, regardless of whether they are in paper or electronic form;

- Institutionalization of the recordkeeping profession's role requires a particular emphasis on the need to integrate recordkeeping into business and societal processes and purposes; and

- Archival science is the foundation for organizing knowledge about recordkeeping.

The continuum concept suggests that four actions continue or recur throughout the life of a record: identification of records; intellectual control; provision of access; and physical control (Millar, 1997). It is the management of this continuum of actions that provides the basis for a strategic approach to records management. This strategic approach must be a key component of civil service reform. Otherwise, vast quantities of inactive paper-based records will clog up expensive office space making it virtually impossible to retrieve essential information, where electronic records will be lost.

In the records continuum model the idea is that the preservation decision is taken proactively at the moment a record is created, or before it is created and the uses of records can vary and shift through time (Upward 2000, 2004, 2005a, 2005b). In other words, the records continuum model has been constructed in order to account for the two different purposes of records and the way the purposes vary over time and even at the same time, depending on the different purposes for which they are used. The two purposes are that it supports some operational activity for which it was created and can be used as a memory of the past i.e., as evidence of the transaction that resulted in the record. The four Actions of Records Care by Millar, 1997 are illustrated in **Table 3.**

Table 3: **Four Actions of Records Care by (Millar, 1997)**

Process	Records Management actions	Archives management actions
1. identification and acquisition of records	creation of receipt	selection or acquisition
2. intellectual control	classification within a logical system	arrangement and description
3.Provision of access	maintenance and use	reference and use
4. physical control	disposal by destruction or transfer as archives	Preservation

2.3.1.3 The Integrated Records Management Model

The Integrated Records Management Theory was advanced by Roper and Millar (1999) of the International Records Management Trust (IRMT). According to Roper and Millar (1999), it portrays a matrix of relationship between the records life-cycle and the records continuum models. This theory argues that records follow a life cycle and their care follows a continuum. According to Xiaomi, (2001) the "stages of records are interrelated, forming a continuum…" (The use of the word stages may allude to the existence of records in some stages (as argued by the life cycle) but the stages form a continuum (as argued by the continuum concept proponents).

Integrated Records Management Theory was not adopted for this study because of its lack of clarity in explaining the actual relationship of lifecycle and continuum.

2.3.2 Relevance of Records Continuum Model to the present study

The theoretical model that this study has adapted is the records continuum model. This is because despite the fact that most of the personnel records in MOLG are being managed manually there is the element of creating and managing these records in a continuum form. Some of the personnel records that have been transferred to the KNADS for preservation may be retrieved in case of audit queries or legal dispute hence making the records to be active again.

In the continuum model it emphasizes the management of records in a mixed paper/electronic environment which is practiced in the MOLG. The continuum also emphasizes heavily on electronic records which have become a major component of records in organizations today. The study emphasizes the computerization of personnel records to enhance retrieval and speedy decision making. The capturing of personnel records in electronic form in the MOLG supports the reasons for adapting Records Continuum Model to this study.

2.4 Review of related Literature

2.4.1 Employee Personnel Records

Anything that pertains to employment should be kept in an employee's personal file. Every employee has a right to know what type of information is kept about him or her,

which must be accurate. It is also the responsibility of an employer to make sure those records are inaccessible to non-management personnel who could use the employee's personal information (i.e. social security number, address, birth date, etc.) for nefarious purposes (Thompson,2007). In addition, employees' personnel files should have standard forms that are used universally through HR department; this includes disciplinary forms, salary increase orders, performance reviews and the original employment application which should all be copied to individual personnel files.

According to Nicholson (2007), all personnel files should be kept under lock and key because of their sensitive nature. Personnel files need to be made available to the employee upon request. The employee is not allowed to take personal file home, he or she can however request copies of anything that is in the file.

All staff personnel records should be maintained in a secured and confidential location. Files containing confidential information are to be kept in locked cabinets or drawers with limited access, or similarly secured in automated. The personnel Records Unit is expected to maintain reasonable safeguards to ensure the security and confidentiality of personnel documents. Access to staff personnel files should be restricted to those with designated authority to review the files such as a supervisor, a department manager, or a human resources manager. Official staff personnel file serve as the historical record of information pertaining to a staff employee from the date of hire to separation and contains some pre-employment and post-employment information (Guidelines for staff official personnel files (1996-2009).

2.4.2 Personnel Records and Data Protection

The Data Protection Act 1998 (DPA) of United Kingdom came into force on 1 March 2000.The main purpose of the DPA is to control the circumstances in which information relating to individuals may be obtained, held, used and disclosed. It enshrines two fundamental values:

a. privacy and security of personal information; and

b. the right of individuals to know what information is held about them, the reason it is held and how it is to be, or is being, used. Section 7 of the Data Protection Act provides all individuals with the right to be told whether their information is being processed by an organization and if so, to receive a copy of that information upon request (subject to certain exemptions). This is called the 'Subject Access' right. It is the responsibility of those who receive personal information to ensure, so far as possible, that it is accurate, valid and up to date. Individuals who input or update information must also ensure that it is adequate, relevant, unambiguous and professionally worded.

In keeping with the fundamental values of the DPA, one can expect his or her personal data to be:

a. processed fairly and lawfully;

b. processed for limited purposes;

c. adequate, relevant and not excessive;

d. accurate;

e. kept for no longer than is necessary;

f. processed in line with your rights as a data subject;

g. kept secure; and

h. not transferred to countries that do not protect personal data in an adequate way.

The DPA provides employees with certain rights of access to information held about them, for example, in personnel records/files and also to be advised as to how that information is to be used.

Deliberate unauthorized access to, copying, destruction or alteration of or interference with any computer equipment or data is strictly forbidden and may constitute a criminal and/or a disciplinary offence.

Access to any working area or IT equipment must be restricted to employees, contractors and agents in the course of their official duties. Identification badges must be worn at all times and individuals found not wearing an identification badge should be challenged. Any visitors entering a work area or using IT equipment must be accompanied at all times. All IT equipment is password protected in order to keep the organization data secure. IT users have to create their own password in order to log onto IT equipment.. Passwords should contain a combination of upper and lower case letters and numerals which should be changed regularly. Passwords must not be written down or disclosed to anyone else.

2.4.3 Effective and efficient management of personnel records

According to the State of New South Wales Records Authority (2003), effective and efficient management of personnel records can be achieved through instituting some of the following measures;

- Establishing policies and procedures for managing personnel records in accordance with the organization's regulatory framework. For this reason, it is good practice for an organization to understand the regulatory frame work it is subject to for personnel records, and to establish policies and procedures to communicate requirements to relevant action officers, supervisors and managers. The regulatory framework includes legislation and whole-of-government or industry policies and procedures, and will vary according to the organization.

- Designing personnel records systems so that records with short retention periods can be destroyed while retaining records with long retention periods.

- Designing personnel records systems so that sensitive records can be kept secure and protected to meet privacy management obligations. For instance, records created to support personnel functions often contain information of a personnel nature, hence organizations should ensure that such records have appropriate levels of security and that access is restricted to authorized users. All employee files should have restricted access, accessible only by those with "a need to know" to carry out relevant business functions.

- Creating and maintaining adequate summary records of employees. Summary records are records that summarize the content of other records and may include records such

as staff service cards. Nowadays, organizations are increasingly using human resource management databases or other automated systems that can provide a similar summary record of employment and service history. Consequently, the benefit that could be derived from the creation of "adequate" summary records is the authorization of earlier destruction of employee records hence an opportunity for organizations to reduce the storage or management burdens posed by large quantities of employee files. The summary record must be adequate enough to meet the requirements of evidence and therefore should at least contain details of; personal number, name and name changes of employee, date of birth, address, contacts, next of kin, date appointed, date of leaving the service, status, position and dates held, promotions and higher duties and dates held, appointment letter or contract, locations of work, description of duties, salary rates and allowances.

2.5 Management of Records in Public Institutions

Empirical studies by Mnjama and Wamukoya (2007) pointed out that there were real challenges faced by East and Southern Africa member countries in the capture and preservation of records. These include: absence of organizational plans for managing records; low awareness of the role of records management in support of organizational efficiency and accountability; lack of stewardship and coordination in handling records; absence of legislation, policies and procedures to guide the management of records; absence of core competencies in records and archives management; absence of budgets

dedicated for records management; poor security and confidentiality controls; lack of records retention and disposal policies; and absence of migration strategies for records.

The findings by Ngulube and Tafor (2006) of a cross-sectional study conducted between 2004 and 2005 to determine the extent to which archival institutions within the East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) region managed public records and archives. It is important that public records and archives are managed efficiently and effectively because the information they contain is the cornerstone of holding government accountable and fostering good governance.

Personnel records documenting the management of employees are important records in all organizations. Some of these need to be maintained for long periods of time, often after an employee has left the organization, in order to protect ongoing rights and interests of the employee and the organization. Personnel records that contain information about individuals are also likely to be highly sensitive and personal and must be adequately protected from unauthorized access. According to the Annual Report 2007/2008 by Kenya Anti- Corruption Commission it emphasizes that proper records are critical in enhancing service delivery and good governance in any institution. To help in streamlining records creation, tracking, control and maintenance in public institutions KACC have collaborated with the Kenya National Archives and Documentation Services in the following activities: sensitization of Heads of Departments, and senior management on their role in keeping proper records in enhancing good governance and organizational management; training officers on how to review their systems, procedures

and practices in records management; formulation of a National Policy on Public Records Management which will provide a framework for efficient and effective creation, use, storage, maintenance, access and disposal of public records. It will enhance transparency and accountability in management in the public sector.

Records are created as a by-product of the business activities taking place as an organization in carry out its mandated activities. Subsequently, these records will provide the ultimate proof or evidence of the activities being undertaken by the organization. The records will be the means by which organizations can account for their activities. We argued that if this is the case, then, these records must be management properly in a manner that those records that must be there in the organization should actually be there and those that need not be should not be there. Furthermore, those that should be there should be complete, reliable and accurate. They should be equally accessible at all times. This is cardinal because records are a means of which organizations can account for their activities and transaction. In this regard, well-managed records can be seen as an instrument for achieving accountability and transparency *(*Hamooya, Chrispin 2006*).*

2.5.1 Managing paper based personnel records

Most of the civil servants complain about personnel files that they contain incomplete information and finding missing information has always been seen as a significant cause of delay in dealing with personnel issues. Paper personnel files are one of the largest categories of records any government creates. If no effort is made to reduce their bulk

they can occupy vast areas of storage space which might more profitably be used for office work. Cain (1996) argues that personnel records have linkages to other important record systems, such as payroll, pensions, national insurance schemes (the 'social safety net') and of course the files of other government departments. Tampering with the personnel records system can have unforeseen consequences for many other important systems.

Personnel records remain active for very long periods. A person's record needs to be kept until all pension claims have been resolved – which could be 70 years from the date of birth, to allow for the maximum retirement age, plus a period of 20 years to deal with any residual claims. Unlike financial records, many of which can be destroyed in bulk after a set number of years on completion of audit, personnel files are handled on an individual basis; so procedures have to be in place to create lists of individuals whose files have become inactive due to retirement, resignation, notification of death, etc. Where such procedures are not in place, registries become clogged with inactive files, which makes active files harder to handle and pension or other benefits difficult to determine. Finally, because of their vast bulk, the routine nature of much of personnel information and the need for statistics for human resource planning, personnel records are a popular choice for computerization, especially in combination with the payroll system. Some of the problems associated with this type of system according to Cain (1996) are more often; personnel files are not well kept; storage rooms are often overcrowded and security inadequate; indexing procedures are not always in place and file tracking systems are often lacking; many registries have no means of finding who has a file at any particular

time, and files cannot be retrieved without a major search being launched. The result is large amounts of staff time being wasted. Another major problem is the difficulty to compile an accurate list of everyone who works for a department by using the official records since whole categories of government employees may not have individual personnel files. For example, unqualified teachers, non-established workers, or established staff who were promoted out of non-established posts may be categories for which personnel files are not created and kept. Moreover, with movement control it is difficult to know what files should be in the registry and what files are in use. This is a situation which makes it relatively easy for inaccuracies to creep on to the payroll records, either by mistake or design – the 'ghost worker' problem – because it is so hard to compile an authoritative master list of personnel.

Individual documents are normally placed in a personnel file though they vary according to the particular situation; the list may include but are not limited to:

- application form

- offer of appointment letter

- medical reports

- copies of certificates of qualifications

- security-check reports

- acceptance of offer letter

- promotion letters

- postings/secondment/transfer letters

- probation reports

- staff reports/appraisal forms

- disciplinary correspondence

- salary increment(s) form

- appeals/petitions

- requests and responses re special leave

- change of name documents

- personal/service record card

- retirement notifications

According to the World Bank (2000a), paper-based records are required to provide:

- **Audit evidence**: personal files should contain the information needed to explain and authorize changes to the payroll pertaining to an individual, including supporting documentation.

- **Evidence of contract**: personal files document the contractual relationship between employer and employee and the employee's career history in the organization. The information held in these records is used to make decisions about suitability for

promotion, transfer or, in some cases, disciplinary action. Most importantly the records provide the authority for determining pension entitlements for the employee and dependent family members.

- **Protection of individual rights**: personal files contain documents that may have an effect on other rights, including promotion prospects, eligibility for training, and right to entitlements, including pensions, medical contributory schemes and insurance.

2.5.2 Personnel records and good governance

Good governance is closely related to public sector accountability, which in turn requires measurement and verification of government performance Roper and Millar (1999a). Mnjama and Wamukoya (2007); Dzandu (2009) have stressed the importance of personnel records management in relation to Good Governance. According to these authors accountability and transparency are the major pillars of Good Governance in the sense that Citizens trust their governments and become more concerned about their civic responsibilities when they realize that decisions taken by the government are open and they follow laid down rules and regulations. Accountability and transparency depend upon complete, accurate and legally verifiable records. Without reliable records, officials cannot be held accountable and fraud cannot be prosecuted (Schenkelaars and Imram, 2004). According to Roper and Millar (1999c), records play a fundamental role in providing good governance which shows "the ability to remove ambiguity and firmly establish who did what, when, why and how is a powerful means of constraining individuals from engaging in corruption and enforcing accountability. Well managed records provide an unbiased an accurate account in recording responsibilities and

therefore liability." Records management also ensures the public sector's ability to function effectively and provides documentary evidence to assist in ensuring accountable and transparent government (Palmer Marlize, 2000).

Without good records, officials are forced to take decisions on an ad hoc basis without the benefit of an institutional memory. Fraud cannot be proven, meaningful audits cannot be carried out, and government actions are not open to review. In addition, the people of the government cannot make an informed contribution to the governance process or claim their rights (World Bank, 2009).

2.6 Introduction of Computerized Personnel Systems

In the summary report carried out in the personnel records in the Public sector in Ghana, Uganda and Zimbabwe, Cain and Thurston (1997), points out that the paper-based personnel records held in registries tend to be so disorganized and incomplete. In the absence of complete personnel files, the 'ghost workers' problem cannot be addressed in a sustainable manner over and above the often substantial direct cost to the government's budget of salaries fraudulently claimed, there is a cost in terms of the inability to carry out manpower planning because the reliable statistics of how many staff exist on each particular grade are not available (World Bank, 2000b).

According to Wato (2003), most countries in Africa today have developed nation Information and Communications Technology (ICT) policies. While this is a step in the

right direction, it is disheartening to note that only a few of these national ICT policies have addressed records management issues.

Whereas there have been rapid advances in the capacity to share information across organizations, speed up key processes and re-use information, the consequences for ensuring the reliability, integrity and authenticity of records in electronic form in support of the requirements of good government and accountability are only beginning to be articulated and understood (Cain and Thurston, 1997).

The main reason for computerizing personnel records is to provide readily up-to-date information on employees and establishments for manpower planning purposes. According to (Cain and Thurston, 1997) advantages include the ability to:

- monitor the mix of the organization's staff statistically (e.g. age, gender, ethnicity), covering recruitment, promotion, performance, length of time in post; sickness absence; leavers; part-time : full-time ratio; vacancies; job requirements; training

- standardize information and detect missing data

- pinpoint trends, identify bias and institute remedial action

- control staff numbers and grade drift

Empirical studies carried out by Ngulube (2004); Cain and Thurston (1997); Mnjama (2001); Wamukoya and Mutula (2005) on computerization of personnel information systems have revealed that despite the fact that some African countries have introduced

information technology in their personnel systems, this has had major consequences for most recordkeeping in the public sector. Personnel records are mostly in paper form and are vast in number (Mnjama, 2001). Although computerized personnel information systems are becoming increasingly common, there is an ongoing requirement for records managers to understand how to manage paper systems, particularly because a large proportion of personnel records will continue to be on paper for the foreseeable future.

A computerized personnel information system makes it possible to capture, store and update information about personnel in order to enable rapid retrieval, processing and analysis of that information. Thus, they provide an updatable summary of the key particulars about an individual's career. This summary can be used in a range of different ways in support of human resource management and planning (Roper and Millar, 1999a).

The following are some reasons an organization might choose to automate its records and information management functions, or indeed any of its functions (Mnjama, 2001).

- speedy retrieval of information

- reliability of information once input

- ability to ensure greater accuracy and consistency in the performance of routine tasks

- large capacity for storage of information

- cost efficiency of operations

- better utilization of personnel

- savings in space and equipment

- multiple simultaneous access to information

- New approaches to work processes.

The introduction of sound systems will require training for all personnel concerned with the creation, use and management of personnel records. Managers and professionals, including, auditors, administrators, records managers and IT systems designers need to understand the concept, objectives, techniques and benefits of records management and their role in relation to personnel records. Operational staff, including those involved in audit and record keeping, requires training in systems and procedures (Roper and Millar, 1999a).

2.6.1 Integrated Payroll and Personnel Database (IPPD) System

The Government of Kenya has designed a personnel information system referred to as an **Integrated Payroll and Personnel Database (IPPD) System**. It is a computerized system conceived to replace the manual and semi-manual system, which was cumbersome, causing salary delays, inaccuracy in determining staffing levels and leading to bad governance poor accountability of funds. The Integrated Payroll and Personnel Database (IPPD) initiative was proposed to help address the challenges of manual payroll administration ((Ministry of State for Public Service, 2005).

The IPPD system was designed in 1996/97 by the Kenyan Government officers from the Ministry of State for Public Service and other departments. It was prototyped and tested in seven pilot sites (Ministries/departments) in 1997/98, including user training in basic computer skills. System testing was accomplished using the trained staff and the IPPD prototype to capture the 1997/98 headcount data in their respective

Ministries/departments. The IPPD was found to be workable and thereafter extended to all other Government establishments.

The objective of the System is to strengthen control and arrest payroll fraud. The IPPD System is intended to:

- Minimize irregular payments;

- Introduce on-line data capture facilities to minimize delays in updating personnel records;

- Generate timely and accurate reports in formats suitable for managers and decision makers; and

- Link the payroll to the budget and financial expenditure information systems.

- To maintain accurate and consistent personnel data in the Public Service.

- To bring about uniformity in the management of personnel records in the ministries/departments by capturing identity card numbers, educational qualifications, and full dates of appointments and dates of birth.

- To address the challenges in manual complement control, payroll, and personnel registries, skill Inventories and budgeting of Personal Emoluments posed by manual payroll administration and thereby do away with salary delays, promote accurate data capture on staffing levels.

- Create an efficient computer-based system for gathering, storing and processing information for management decision making in such aspects as recruitment, training, postings, transfers, seniority lists, promotions and retirements, salary related issues,

enforcing statutory deductions, processing of request for loans, advances and ensuring their recovery.

- To minimize wastage that used to be incurred through bulky printing of paper whenever personnel related query was raised.

- Make it possible to use data for purposes of expediting decision making on such matters as discipline, assessments of liabilities for calculation of pension and processing and payment of gratuities (Ministry of State for Public Service, 2005).

IPPD System is now running in all Government Ministries. Integrated computerized payroll and personnel systems provide a means of improving the quality and availability of personnel and payroll information. However, for the foreseeable future these systems must to be complemented by paper records. This particularly important in rural areas where infrastructure and resource constraints can make the sustainability of automated solutions problematic (World Bank, 2000a).

A case study carried out by the World Bank and IRMT (2002) in personnel and payroll records and Information Systems in Tanzania found out that good governance and accountability for the payroll and human resource management functions in most Government Ministries are compromised because the system is overwhelmed by huge volumes of unmanaged paper.

Personnel files are used to verify data on IPPD and its introduction provides an opportunity for strengthening the usefulness and reliability of paper-based personnel records for them to be used for accountability purposes and good governance.

2.7 Legal and regulatory framework for management of Personnel Records

In Kenya, there are several legislations and policies that require departments and Ministries to maintain their records. They contain either explicit or implicit record keeping requirements that have an impact on the way personnel records should be maintained. These legislation include the following; -

- The Public Archives and Documentation Service Act Chapter 19 revised 1991.

- Government Financial Regulations Chapter 23; Miscellaneous Accounting Matters, 1989

- The Employment Act Chapter 226, revised in 1977 and 2007, Laws of Kenya

- The Regulation of Wages and Conditions of Employment Act Chapter 229, Laws of Kenya

- The Service Commission Act Chapter 185 of 1967, Laws of Kenya

- Income Tax Act Chapter 470 revised 1989, Laws of Kenya

- The National Social Security Fund Act Chapter 258 Revised 1989.

- Freedom of Information legislation of Kenya

- National Policy on Records Management

2.7.1 The Public Archives and Documentation Service Act (Cap.19)

Kemoni and Ngulube (2007) stated that records and archives legislation exits in many countries in the form of a National Archives Act or related rules and regulations. The responsibility of managing public records and archives in the Kenya Public Service is vested in the Kenya National Archives as is stipulated in the Public Archives and Documentation Service Act (Cap.19).In second schedule of this Act, public records are defined as the records of any Ministry or Government Department, and of any commission, office, board, or other body or establishment under or established by or under an Act of Parliament; records of the High Court and of other court or tribunal; the records of Parliament and Electoral Commission; and records of any Local Authority or other authority established for local government purposes.

The Public Archives and Documentation Act (Cap.19), provides a broad and generalized legal framework under which policies, procedures, regulations, rules and good practices can be developed for the better management of personnel records within the public service. Section 15(c) and (d) empowers the Minister to make regulations generally for the better carrying out of the purposes of the Act, particularly the regulations providing for the responsibilities of persons having the custody of public records and for the examination, disposal or destruction of public archives and public records. This section can be utilized to put in guidelines for the management of personnel records, and especially so in the area of issuance of General Records Retention and Disposal Schedules. Guidelines for the retention and disposal of personnel records are usually documented in such tools.

2.7.2 Government Financial Regulations Chapter 23; Miscellaneous Accounting Matters, 1989

The disposal of accounting records is governed by financial orders issued by the Government. Sections 26 and 27 authorize accounting officers to destroy certain financial records after agreed retention periods. However, no records that are subject to audit queries may be destroyed under these financial orders. Certain financial records with archival value are supposed to be preserved.

Section 23.4 provides considerations for the preservation of accountable documents, books and records as follows; -

- Where they may be of value to the National Archives.

- If they are likely to be needed for pension purposes (e.g. salary records).

Other legislations that affect the retention and disposition of personnel records are laws relevant to the hiring of workers in the country. Some of these are outlined below, highlighting the various sections that impact on records keeping requirements; -

2.7.3 The Employment Act Chapter 226 Revised 1977 and 2007, Laws of Kenya

Various parts and sections of this Act (Part IX) spell out the kind of records to be kept by the employer. Among them are written records of all employees under contract and should contain particulars such as policy statement, rest days, annual leave, maternity

leave, sick leave, house allowance paid, food rations etc. Additionally an employer should permit an authorized officer who may require him/her to produce for inspection the records for any period relating to the preceding thirty six months.

Other clauses in the Act touch on aspects of secrecy of information (disclosure to unauthorized persons) and the falsification of personnel records. However, noticeable omissions in the Act include specific disposal guidelines for these records.

2.7.4 The Regulation of Wages and Conditions of Employment Act Chapter 229, Laws of Kenya

Section 20 (1) on Records and Notices states that the employer of employees to whom this Act applies should keep in English such records as are necessary to show whether or not he is complying with the provisions of the wages regulations orders. Such records should be retained by the employer for a period of at least two years after the date of the last entry therein.

2.7.5 The Service Commission Act Chapter 185 of 1967, Laws of Kenya

The Act made provisions for the Public Service Commission and the Judicial Service Commission. Of importance in this Act is the assertion that the Commission may require the production of any official document relevant to any exercise of its functions and that any public officer who submits any matter before the consideration of the commission should ensure that all relevant documents and papers are made available to the

commission. (Subsidiary Legislation; Public Service Commission Regulations Part II (2). This clause only highlights the importance of records in decision-making but does provide guidelines on the on long these records should be retained before being eventually disposed of.

2.7.6 Income Tax Act Chapter 470 Revised 1989, Laws of Kenya

The Income Tax Rules (P.A.Y.E) section 130, states that an employer could be called upon by the Commissioner of Income Tax to produce in, English or any other language, for inspection the following categories of records;

"All wage sheets, salary vouchers, and other books, documents and records whatever relating to the calculation or payment of the emoluments of his employees in respect of the years or months specified by the commissioner, or to the deduction of tax by references to those emoluments….."

2.7.7 The National Social Security Fund Act chapter 258 Revised 1989

Regulations under Sections 5 (3) and 8 (Registration Regulation No. 7 (2) stipulates that every contributing employer should keep a written record of the Fund membership number of each of his employees who is a contributing member.

2.7.8 Proposed Freedom of Information legislation of Kenya

 The Freedom of Information (FOI) Bill, 2007 of Kenya requires that every public and private body produce a regularly updated manual detailing their records systems and

related contextual information. This is meant to provide citizens with information about the records in the custody of private and public bodies so that they know what is available for use. The Bill is dependent on good records management for its effective implementation.

Section 26 (1) states that every public authority shall keep and maintain its records in a manner which facilitates the right to information as provided for in this Act.

Section 26 (2) It states that for one to qualify to have complied with the duty to keep and maintain records under subsection (1), every public authority shall; (The Freedom of Information Bill, 2007):

- Create and preserve such records as are necessary to document adequately its policies, decisions, procedures, transactions and other activities it undertakes pertinent to the implementation of its mandate;

- Ensure that records in its custody, including those held in electronic form, are maintained in good order and condition; and

- Within no more than three years from the date on which this Act comes into force, computerize its records and information management systems in order to facilitate more efficient access to information.

The bill makes it a requirement for public authorities to set up records management systems and procedures to facilitate the right access to information as it makes it a right for citizens to have access to information held or under the control of public authorities.

The same right is extended to information held or under the control of a private body, where that information is necessary for enforcement or protection of any right.

2.7.9 National Policy on Records Management

The Ministry of State for National Heritage and Culture through the Kenya National Archives and Documentation Service (KNADS) in collaboration with the Kenya Anti-Corruption Commission (KACC) are in the process of developing a National Policy on Records Management (NPRM) which is currently still a draft. According to the draft on National policy on Records Management (Draft on NPRM, 2008), the purpose of the policy is to provide guidance in the management of records from creation to disposal and to facilitate standardization in the application of procedures and practices in records and archives management.

A sound National policy on records Management will provide accurate dissemination of information, efficient retrieval of information, appropriate storage equipment, formalized standards and procedures, appropriate retention and disposal strategies, high level of security and ensuring legislative and regulatory compliance among others.
 The policy, once promulgated, will provide a framework for efficient and effective creation, use, storage, maintenance, access and disposal of public records. It will enhance transparency, accountability and good governance in management in the public sector. A Consultative workshop and forum with Professionals and Records Management officers was conducted on the draft Policy.

2.8 Stakeholders in the management of personnel records in the public sector

Roper and Millar (1999a) defines a stakeholder as any person, group or other organization that has a claim on an organization's attention, resources or output or is affected by that output.

The primary stakeholder for personnel records in the public sector is the state itself, which creates personnel records through its agencies, the government departments, for its own purposes.

 In Kenya, stakeholders in the management of personnel records include:

- The Office of the Head of the Civil Service

- The Public Service Commission

- Directorate of Personnel Management

- Ministry in Charge of Finance

- Accountant General's Department

- Pensions Department

- Audit Department

- The Kenya National Archives and Documentation Service

- Line Ministries and their Agencies.

The role of each of these stakeholders in relation to the management of personnel records is explained in the discussion that follows:

2.8.1 The Office of the Head of the Civil or Public Service

This office is ultimately responsible for the economy, efficiency and effectiveness of the civil service, including the management of personnel records. It may appoint staff, generally at both the clerical and executive level. In most cases, it holds personal records of these staff and may hold records about other specific categories of employee, such as civil servants above a specified level of the civil service. It also obtains and uses personnel information to monitor the performance of the civil service or of specific grades or occupational groups. The office has an interest in the financial aspects of employment.

2.8.2 Public Services Commission

The public service commission handles all appointments above a certain grade. The main purpose of a service commission is to appoint officers, typically from higher executive officer level upwards, for work in the civil service. It will also confirm appointments, exercise disciplinary control over persons employed in the public service and terminate appointments. Other activities include overseeing the deferment of increments, compulsory retirement, fines, transfers and promotions, acting appointments, demotions, advertisements, interdictions, administration of staff Performance System in the Civil Service, suspensions and secondments. Service commissions may also be involved with

training and development and they may audit the Ministries, Departments and Local Authorities for efficiency and effectiveness.

2.8.3 Directorate of Personnel Management

This office falls under the Ministry of State for Public Service and its purpose is to develop and manage personnel policies, to guide human resources development and to improve management services in the civil service in general. In this role, it may hold personal records of civil servants, usually those above a certain level. It will include a division responsible for personnel management, which may be involved with modernizing the personnel records system and overseeing staff development programmes, including staff performance appraisal.

2.8.4 Ministry of Finance

The ministry or department in charge of finance is ultimately responsible for the payment of civil servants. It therefore has an interest in the accuracy of personnel records for budgetary purposes, particularly in relation to the total number of public servants, their grades and levels of pay. Ultimate responsibility for the payment of salaries and wages may rest with the government's accountant general or head of the treasury. The finance ministry is an independent body, and its decisions cannot be altered by any person or authority. It may, however, delegate some of its powers to the heads of departments or to advisory committees.

2.8.5 Accountant General

The department of the accountant general is responsible for paying civil servants. It requires accurate information about the pay entitlements of all staff, including new recruits, and about all changes in their circumstances. These changes may include promotions, demotions, transfers, allowances, retirements, death (whether in service or later) and dismissals. The department generally includes a unit responsible for payroll.

2.8.6 Pensions Office

This office is responsible for paying pensions. It requires accurate information about date of birth in order to calculate retirement age. It needs accurate dates of appointment to establish length of service, including any breaks. Information about payments received is needed to calculate pension entitlements. In some countries, the pension's office is responsible for the administration of a widows and orphans' pension's scheme.

2.8.7 Audit Office

This office is responsible for financial audit and may also be responsible for carrying out efficiency audits. In both roles, it makes use of personnel records.

2.8.8 The Kenya National Archives and Documentation Services

The National Archives has responsibility for preserving records of permanent value to the nation, including a selection of personnel records of key national figures. It is also

responsible for giving advice on the management of current and semi-current records, including personnel records, and the systems by which they are managed.

2.8.9 Line Ministries

Line ministries may have devolved responsibility for recruitment at lower levels, typically clerical staff and manual workers. They are generally responsible for maintaining personal records for some or all of these staff and for transmitting returns and other information about personnel that may be required by the central authorities, including the accountant general.

2.9 Chapter Summary

This chapter has provided literature review on issues pertaining to personnel records management. From the literature review, various themes emerged regarding the management of personnel records such as: effective and efficient management of personnel records; personnel records and good governance; introduction of computerized personnel systems; legal and regulatory framework for management of personnel records; Integrated Payroll and Personnel Database System and the stakeholders involved in the management of personnel records in the public sector.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter discusses the methodology adopted by the study in carrying out the research. The chapter is divided into the following sections: research design, target population, sampling procedures, research methods and instrument, data collection procedures, data validity and reliability, data presentation, analysis and interpretation.

3.2 Research Design

Kothari (2004); Nachmias, C. and Nachmias, D. (1996) describes a research design as a conceptual structure within which research is conducted. It is a "blueprint" that enables the investigator to come up with solutions to the research problems and guides in the various stages of the research such as for collection, measurement and analysis of data.

As Kothari (2004) outlines, the study research design will aim to answer the following questions:

- What the study is about
- Why the study is being made
- What type of data is required
- Where can the data be found
- Periods time the study includes
- Techniques of data collection

- Methods of data presentation and analysis

3.2.1 Qualitative Research

This study used qualitative method as the researcher was interested in focusing in a specific issue i.e. the management of personnel records. Qualitative research is a highly rewarding activity because it engages us with things that matter.

Punch (2005) defines qualitative research as a process of enquiry that draws data from the context in which the events occur, in an attempt to describe the occurrence. Qualitative research method was used because of the following reasons:

- The desire to use flexible and interactive methods of data collection such as face to face interviews and participatory observation.

- The desire to carry out the study in the natural environment of the MOLG

- The desire to analyze and understand the way the personnel records are being managed in MOLG.

3.3 Study Population and Sampling

A population is the entire group of individuals, objects, events or items from which samples are taken from investigation (Mugenda and Mugenda, 2003; Kombo and Tromp, 2006; Graziano and Raulin, 2007).

The study was drawn from the different categories of staff in the MOLG involved with the management of personnel records. The persons selected for the interview were sole

decision makers such as the heads of Departments, Records Management officers, HRM Officers, Registry clerical officers, Information Technology officers, the secretaries, the KNADS Staff and DPM Staff. This kind of selection ensured that greater diversity in population was used which was a representation of the whole population. The respondents that were interviewed are illustrated in **Table 4.**

3.3.1 Sampling Methods

Mugenda and Mugenda (2003), Kombo and Tromp (2006) define sampling as a process of selecting a number of individuals for a study in such a way that the individuals selected represent the large group from which they were selected. Sekaran (2006) refers to sampling as the process of selecting a sufficient number of elements from the population so that study of the sample and an understanding of its properties or characteristics would make it possible to generalize such properties or characteristics to the population elements.

3.3.1.1 Types of Sampling Designs

Sekaran (2006) says that it is useful to distinguish between two methods of sampling, probability sampling and non probability sampling.

- **Simple Random Sampling**

In simple random sampling, all study objects have an equal chance of being included in the sample. It is free from bias. It involves assigning a unique identification number to each study subject in the sampling frame. However, using a random number table to

choose the elementary units can be cumbersome. If the sample is to be collected by a person untrained in statistics, then instructions may be misinterpreted and selections may be made improperly (Hughes,2008; Seaman,2008).

A simple random sample is obtained by choosing elementary units in search a way that each unit in the population has an equal chance of being selected (Hughes, 2008). A simple random sample is free from sampling bias. Instead of using a least of random numbers, data collection can be simplified by selecting say every 10th or 100th unit after the first unit has been chosen randomly (Hughes, 2008).

Simple random sampling was used in this study specifically in selecting the staff to be interviewed with regard to the staffs' satisfaction with existing records management practices.

- **Stratified Random Sampling**

A stratified sample is obtained by independently selecting a separate simple random sample from each population stratum. Most populations can be segregated into several mutually exclusive sub-populations, or strata. Thus, the process by which sample is constrained to include elements from each of the segments is called stratified random sampling. Stratified sampling was not useful in this study due to the speciality of the area under study.

- **Purposive Sampling**

In purposive sampling according to Mugo (1995), a researcher handpicks subjects to participate in the study based on identified variables under consideration. This sampling method is used when the population for study is highly unique.

Purposive sampling is used for: validation of a test or instrument with a known population; collection of exploratory data from an unusual population; use in qualitative studies to study the lived experience of a specific population (Zina, 2004).

Purposive sampling method was used. Representatives in MOLG were selected purposively. This is mainly because this sample aided in obtaining specific data that was required for the data.

This sampling technique was extremely useful in this study in selection interviewees from the various categories of staff under the study. The categories of staff were purposely selected depending on their size and volume of activity.

3.3.2 Population Sample Size and Justification

The sample for this study was drawn from the various categories of staff in the MOLG. The sample size comprised of 68 out of the 75 targeted staff which were selected from various departments on purposive sampling.

The respondents interviewed are as indicated in **Table 4**:

Table 4: Study Sample Size (N= 68)

Cadre	Sample population	Population realized	Percentage
Heads of Department	4	4	100%
HRM Officers	16	16	100%
Records Management Officers	3	3	100%
Clerical Officers	15	15	100%
Information Technology Officers	7	6	86%
Secretaries	20	15	75%
KNADS Staff	7	6	86%
DPM Staff	3	3	100%
TOTAL POPULATION	**75**	**68**	**91%**

Heads of Department were interviewed because they are the head administrators and they are involved in decision making and planning of the activities and budgets in relation to staff emolument and development.

HRM Officers were chosen as respondents because they are the ones who are responsible for the welfare of personnel. The human resource function plays a great role in generating documents such as employees application forms, letters of appointment, confirmation letters, appraisal reports, records courses attended, skills acquired promotion letters, transfer letters, full record of disciplinary proceedings and outcome, leave and sickness cards, staff establishment lists, retirement and pension records among many others.

Records Management officers are responsible for proper control, care and management of personnel records as well as ensuring that proper decisions are made on all aspects of records management and proper security of information and records.

Clerical Officers working in the various records management units are responsible for daily filing of correspondence to appropriate files and retrieval and distribution of files to the appropriate action officers. They were useful in providing information regarding creation, receipt, storage, use and maintenance of records.

Information Technology Officers were involved in assisting with programming new softwares to be used in the creation and management of personnel records. They are the ones responsible for ensuring creation of electronic records using the ICT as well as proper management of the records created in order to ensure their availability in future for posterity.

Secretaries play an important role which involves typing personnel letters which are eventually put in personal files. Their role as respondents in this study is to ensure that proper information is captured in the form of typing which is filed in the relevant personnel files.

The KNADS Staff are charged with the responsibility of proper creation, maintenance, housing, control, preservation and disposal of all public records. The National Archives has responsibility for preserving records of permanent value to the nation, including a selection of personnel records of key national figures. The KNADS Staff are responsible for giving advice on the management of current and semi-current records, including personnel records, and the systems by which they are managed.

The purpose of the DPM office is to develop and manage personnel policies, to guide human resources development and to improve management services in the civil service in general. In this role, it may hold personal records of civil servants, usually those above a certain level. It included a division responsible for personnel management, which was involved with modernizing the personnel records system and overseeing staff development programmes, including staff performance appraisal.

3.4 Data collection methods and instruments

The research tools to facilitate this study were designed to suit the study population described above. Since the population was small, qualitative data collection techniques was administered. They were administered to the respondents who were in a position of

analyzing the personnel records in the MOLG as far as policies and decisions are concerned.

3.4.1 Interviews

Mugenda and Mugenda (2003) define an interview as face-to-face interaction between the researcher and the subjects. The authors highlight some of the advantages of using interviews as follows:

- They provide in-depth data which is not possible to get using a questionnaire.

- They make it possible to obtain data required to meet specific objectives of the study.

- Guard against confusing the questions since the interviewer can clarify the questions thus helping the respondents to give relevant responses.

- The interviewer can clarify and elaborate the purpose of the research and effectively convince respondents about the importance of the research and as a result the respondents can then give more and complete and honest information.

- Very sensitive and personal information can be obtained from the respondent by honest and personal interaction between the respondent and the interviewer.

In this study, semi-structured interviews were used to collect qualitative data from HODs, HRMOs, RMOs, KNADS staff, clerical officers, secretariat staff, ICT staff and DPM staff .These groups were interviewed to supplement the information gathered through the observation.

3.4.1.1 Advantages of using interview method

According to Mugenda (2003), the reasons why a researcher may use interview method of data collection include:

- Interviews provide in-depth which is not possible with other collection tools.

- They help to collect the data required to meet specific objectives of the study.

- They are more flexible since the interviewer can adapt to the situation and get as much information as possible

- Very sensitive and personal information can be extracted from the respondent by honest and personal interaction between the respondent and the interviewer.

- The interviews yield higher response rates because it is difficult for a subject to completely refuse to answer questions or ignore the interviewer.

3.4.1.2 Disadvantages of using interview method

Flicke (2006) has cited some disadvantages of using interviews:

- The interviewer's fear of being disloyal to the targets of research

- In general, there seem to be a resistance to questionnaires. In extreme cases, this can result on some participants attempting to sabotage a survey by purposefully responding incorrectly to some questionnaire items.

- The dilemma between the pressure of time due to the interviewee's limited time and researcher's interest in the information.

The researcher was able to overcome these challenges by assuring the respondents that the data obtained from them was going to assist the MOLG to improve the management of personnel records and by requesting them to provide the most appropriate time they needed the researcher to conduct the interview. Through explanation of the importance of carrying out the study, the interviewees showed a lot of willingness and cooperation while collecting the data by providing useful information.

3.4.2 Observation

This study used non-obstructive observation technique. This is where the researcher immersed in a research setting so that the researcher could experience and observe at first hand a range of dimensions in and out of the setting. The researcher therefore used non-obstructive observation guide to remain focused and to give equal attention to issues to be observed. Observation method gives more valid results.

Observation enables the researcher to see things which might otherwise be unconsciously missed, to discover things which participants might not freely talk about in interview situations and during focus group discussions and therefore to move beyond perception based data and to access personal knowledge (Cohen, Manion and Morrison, 2007).

3.4.2.1 Advantages of using observation method

The main advantages of using observation method include the following:

- Subjective bias is eliminated. This is because one observes features, events, objects etc. as they are. There is no chance for another person to tell the situation differently.

- Observation is free of respondent interferences while answering questions.

- This method suits best in situations where the subjects are busy and may not have time to go through all the questions which may be presented in a questionnaire or in an interview. The researcher observes and at the same time records.

In this study, observation facilitated the collection of data from the MOLG. The observational categories that were employed included types of storage facilities used, how information was handled, conditions under which the records were managed, security level in managing personnel records, tools for accessing and tracking records and the extent of computerization of personnel records.

3.5 Validity and reliability of research instruments

Mugenda and Mugenda (2003) defines validity is the accuracy and meaningfulness of inferences which as based on the research results. In order words, validity is the degree to which results obtained from the analysis of the data actually represent the phenomenon under the study.

Reliability is a measure of the degree to which a research instrument yields consistent results or data after repeated trials (Mugenda and Mugenda, 2003).The researcher pre-tested the validity and reliability by carrying out a test on a small population before the study begun using the above instruments. This was the only way the researcher could be in a position to find out if the data collection instruments were reliable and valid and if the selected questions measured up to the standard required.

Validity was achieved by making sure that interview questions were related to the management of personnel records in support of good governance in the MOLG and by counter checking the findings with the respondents to ensure correctness of the data collected. On the other hand, reliability was achieved through pre-testing which was done in the month of September, 2010. The pre-testing was conducted on information professionals, Kenya National archivists and Records management officers. Participants were selected on the basis of their ability to provide professional opinions concerning the instruments. Reliability was enhanced through conducting similar interviews to many respondents.

3.6 Data collection procedures

The researcher obtained a research permit from Ministry of Education (Council of Science and Technology) before embarking on the study as per the Kenyan Government requirements. The researcher administered the research instruments to the identified respondents. An advance letter was sent to the sample respondents, explaining the purpose of the study and how the answers would be used. Upon securing the relevant documents to undertake the research, the researcher went ahead to systematically conduct the research as per an agreed schedule between the researcher and the respondents. After completing the data collection, the researcher began the process of data analysis and interpretation which culminated in the writing of the thesis.

3.7 Data presentation, analysis and interpretation

Quantitative data collected was presented in the form of tables and charts. In qualitative method, data collected was presented by the researcher using words which were organized in phrases, sentences and paragraphs to explain the findings.

This study is qualitative in nature and involved qualitative data analysis approaches. According to Lewins, Taylor & Gibbs (2005), the qualitative research techniques is used if one wishes to obtain insight into certain situations or problems concerning which one have little knowledge. Qualitative techniques such as the use of semi-structured interviews were therefore appropriate in this study, to assist in probing as much information as possible around the objectives and research questions of the study.

Data for the study was done by categorizing the data into themes. Data interpretation was done thematically. Presentation of data was done along the lines of the study objectives as revealed by the themes emanating from data analysis.

3.8 Ethical considerations

Resnik (2007) defines ethics as norms for conduct that distinguish between or acceptable and unacceptable behavior. According to Shamoo and Resnik (2003) ethics can also be defined as a method, procedure, or perspective for deciding how to act and for analyzing complex problems and issues.

In carrying out research, there are ethical issues to be taken into consideration such as confidentiality, plagiarism, honesty, objectivity, dissemination of findings, nondiscrimination, voluntary and informed consent, anonymity, and respect for colleagues (Mugenda and Mugenda, 2003; Dooley, 2004; Hart, 2005).

Ethical issues were addressed in conducting this study in the following ways: The study adhered to the Moi University research ethics policy. The researcher complied with the University's code of conduct for research throughout the study.

Other procedures during data collection involved gaining the permission of individuals in authority to provide access to study participants at research sites. The researcher ensured that relevant research permit was obtained from the National Council of Science and Technology before the commencement of data collection. Hard copies of the data were stored in a secured place.

Further, all sources used in the study were acknowledged so as to avoid plagiarism. An informed consent was obtained from the respondents and used to facilitate voluntary participation in the study. The researcher assured participants that the information collected would be used for academic purposes and not otherwise. The collected data were aggregated to reflect categories of responses, rather than individual responses in order to ensure confidentiality and privacy of respondents. Further, the researcher ensured the privacy of research participants by ensuring that the information collected was kept confidential.

3.9 Conclusion

This chapter has highlighted the research methodology used which formed a basis for the type of data collection tools that were used and how the data was presented, analyzed and interpreted. The information obtained in this chapter ensured that the aim and objectives of the study were realized.

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1 Introduction

This chapter presents, analyses and interprets research findings which address the research objectives. Data was collected using interview and observation schedules which helped to improve the validity and reliability of the research findings. An observation checklist was used to verify data obtained from the respondents (See Appendix XII).

 The data was presented in both textual and tabular form. Data was coded thematically and frequency of response indicated. Analysis was enhanced with the aid of frequency distribution tables.

4.2 Interview response rate and characteristics of the Sample Population

The interview schedules were administered to 68 out of the targeted 75 respondents. Thus the researcher obtained a 91% interview response rate which was considered adequate for data analysis. The distribution of the respondents is indicated in **Table 4.1.**

Table 4.1: Distribution of respondents with the sample size (N=68)

Cadre	Sample population	Population realized	Percentage
Heads of Department	4	4	100%
HRM Officers	16	16	100%
Records Management Officers	3	3	100%
Clerical Officers	15	15	100%
Information Technology Officers	7	6	86%
Secretaries	20	15	75%
KNADS Staff	7	6	86%
DPM Staff	3	3	100%
TOTAL POPULATION	**75**	**68**	**91%**

4.2.1 Distribution of respondents with the sample size

Interviews were administered to the various categories of staff as shown in the **Table 4.1.** In the case of observation, the researcher used the observation schedule and completed all the items under the pre-defined categories of variables to be observed. An observation

checklist was used to verify data obtained from registry personnel and the Human Resource Management Officers (HRMOs) in the MOLG.

Data from interviews and observations were collated during analysis and reported in aggregate.

Most of the respondents were available at the time of data collection except the secretariat staff who had been transferred to other Ministries. The researcher was able to collect the data from 15 (75%) out of the targeted 20 secretariat staff.

4.2.2 Distribution of respondents by gender

Table 4.2 summarizes respondents' distribution by gender. A total of 35 (47%) respondents were male while 33 (48%) respondents were female.

Table 4.2: Distribution of respondents by gender (N= 68)

Value	Frequency	
Male	35	52
Female	33	48
Total	68	100

The table reveals that there was gender balance in the various departments since the number of women and men were reasonably represented.

4.2.3 Respondents work experience

Regarding respondents work experience, the responses are tabulated in Figure 4.3.

Figure 4.3: Respondents work experience (N=68)
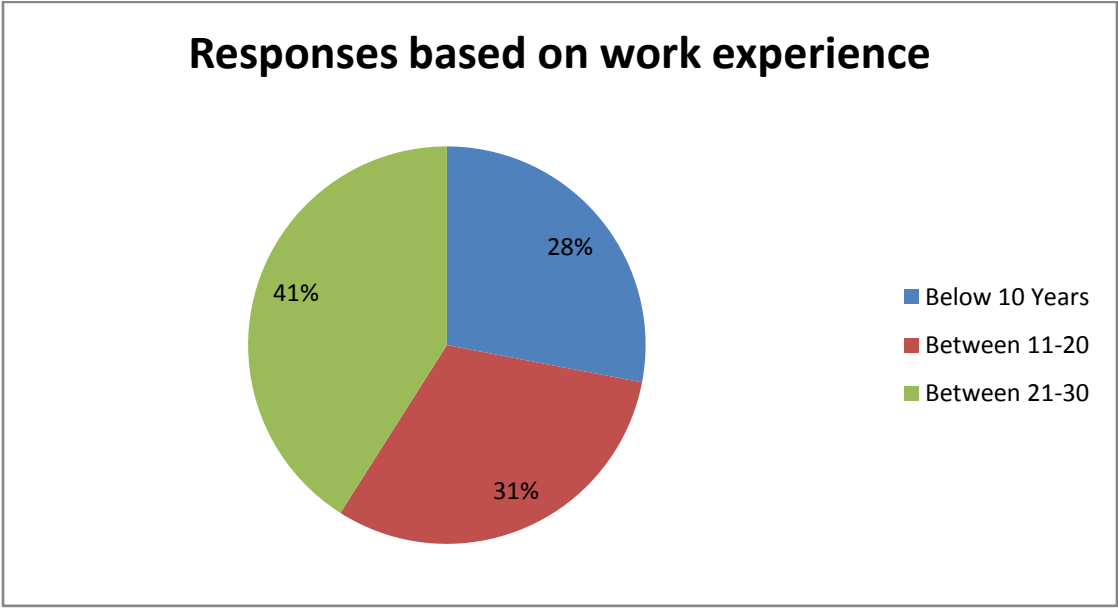
Figure 4.3 reveals that 19 (28%) respondents had less than 10 years working experience; 21 (31%) respondents had between 11-20 years work experience while 28 (41%) of the staff were over 20 years.

It appears that most of the staff had worked for over 20 years in the civil service. This suggests that most of the staff were well acquainted with the management of personnel records due to their long stay in service.

4.2.4 Respondents Academic Qualifications

The study also sought to establish academic qualifications of the respondents. The responses are as indicated in **Figure 4.4.**

Figure 4.4: Respondents Academic Qualifications (N= 68)
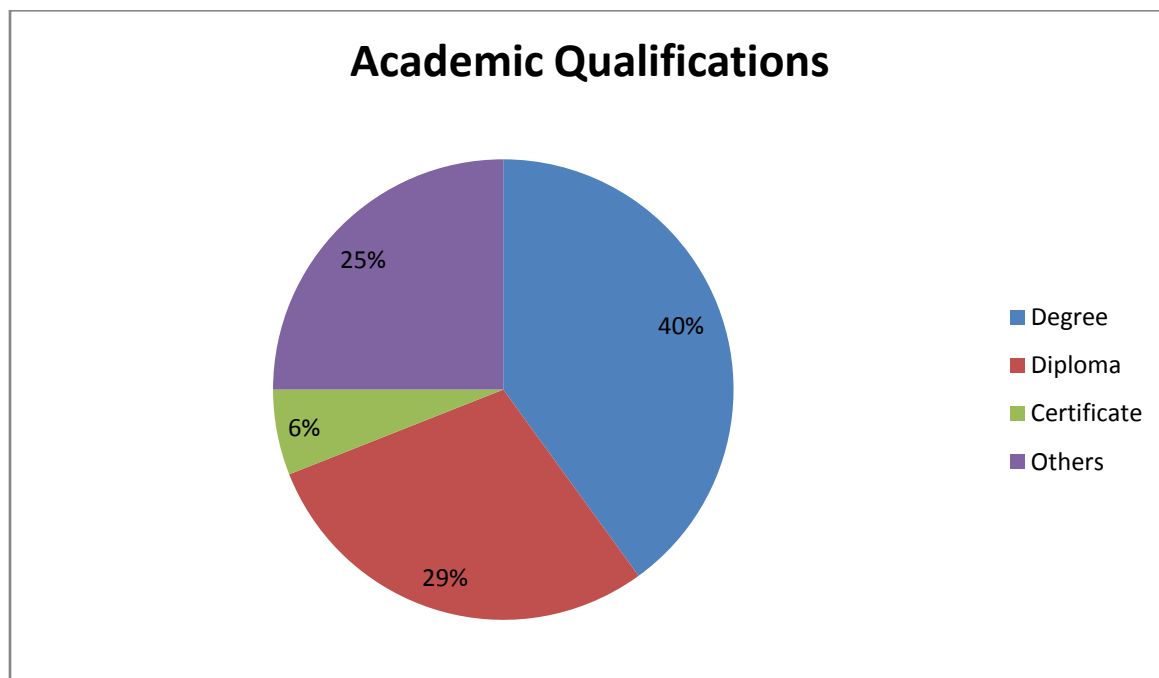
Figure 4.4 shows that 27 (40%) respondents were degree holders, 20 (29%) respondents had Diploma level of education, four (6%) had certificate level of education while 17 (25%) had other qualifications.

The study established that the academic qualifications of most respondents were not directly related to records management. Only the three records management officers had undertaken Diploma courses in records and archives management while some clerical

officers had done certificate course in records and archives management in Government training institutions such as Kenya Polytechnic and Kenya Institute of Administration.

According to Yusof and Chell (1999) 'education and training are essential elements in the lifelong development of skills and expertise'. Ngulube (2001) argues against holding records personnel accountable when they are not trained, 'since they would not have been empowered to do so'. Preferably, records management training should be pursued in recognized training institutes or universities.

4.3 Management of personnel records during their continuum

The first objective of the study was to determine how personnel records are managed during their continuum in support of good governance. Respondents views varied as indicated in the following discussions.

4.3.1 Data from Heads of Departments (HODs)

Interviews with HODs revealed that they were conversant with some relevant circulars on management of personnel records and the requirements of the Kenya National Archives and Documentation Service Act, (Cap.19, laws of Kenya).

The HODs acknowledged the existence of policies that guide the management of personnel records and they cited the following policies:

- The Directorate of Personnel Management General Letter No. 1/2008 Ref. No. DPM.12/6A VOL.I (71) dated 12th March 2008 which outlines four broad categories

of personnel records, providing the retention period for each category that is; records on Recruitment and Selection, Selection for Training, Promotions and Appointments, and Personal Files.

- They emphasized the importance of Kenya National Archives and Documentation Service Act (Cap.19) as far as disposal of public records and the laid down procedures for seeking authority to destroy them.

Although the four heads of departments cited the two policies, it appeared that they were not conversant with earlier circulars that guide the management of personnel records such as:

- The Chief Secretary Circular on Destruction of Non –Current Records. Circular No. 48A/66 of 28th August, 1988 and Circular Letter No.OP/1/48A/11/10 dated 7th July, 1989 reminds the public offices their responsibility in the management and disposal of public records and archives.

- Office of the President Circular, OP/39/2A dated 14th April 1999, "on cases of Missing and Lost Files and documents in the Public Service" stated that cases of missing and lost files in the public service was caused by poor records management practices which in turn has undermined public service delivery.

- Circular, DPM.4/10A (9) of 27 October 2003 on Streamlining the performance of registries in Government Ministries, Departments, Local Authorities, Provinces and Districts. A task force was constituted under the on-going Civil Service reform Programme (CSRP) to critically examine the current records management systems

and practices in Government registries and make appropriate recommendations to enhance the quality of service delivery.

- Office of the President, Permanent Secretary, Secretary to the Cabinet and Head of Public Service Circular OP.40/1/1A dated 6th June 2003, on Improvement of Records Management for Good Governance. The Circular stressed that, despite the many efforts by the Office of the President to curb the problems associated with records management, the state of records management in public offices has continued to be demanding.

The four HODs stated that personnel records support the functions of their departments because:

- "They are able to know how many people work in their departments"

- "Who they are",

- "Where they are",

- "What responsibilities they have" and

- "How effective they are."

Three respondents pointed out that personnel records support good governance by providing the basic information for manpower policy, plans and procedures; enable management to know more about their workforce; the knowledge and skill available for the improvement and maintenance of productivity in the organization.

4.3.2 Data from Human Resource Management Officers (HRMOs)

The HRMOs stated that good records management practice has a role to play in supporting legitimacy, accountability and transparency. Without the availability of reliable, verifiable and authentic records there can be no transparency, rules are not known, accountability cannot be ensured and uncertainties prevail. Fifteen respondents acknowledged that proper management of personnel records leads to better accessibility, easy retrieval of records thus contributing to enhanced decision making and improved service delivery. Access to reliable information is thus essential to protecting citizens' rights.

The respondents noted that management of personnel records was important because *they were the memory of the organization and guaranteed individual rights in the long-term.* They outlined the importance of managing personnel records as a way of providing information of an employee from the time one joined the service to the time of exit.

On the management of personnel records and how it facilitates the human resource function, all the sixteen respondents stated that personnel records contain complete details about all employees such as, name, date of birth, marital status, academic qualifications, professional qualifications, previous employment details, etc. Thus HR function consists of tracking existing employee data which traditionally includes personal histories, skills, capabilities, accomplishments and salary which are basically found in personnel records. They pointed out that:

- "Records act as a reference point when dealing with HR issues such as discipline, rewards, transfers etc."

- "They contained all the relevant data of employees."

- "Provide the authority for the payment of salaries and benefits to employees."

It was observed that the HRMOs showed a great deal of responsibility in the management of personnel records by ensuring that all records are properly filed in the right files and folioed.

The researcher observed that HRMOs had put in place mechanisms to ensure prompt payment of salaries to employees, promptly effecting promotions to the qualified officers to avoid audit queries, ensuring sensitization of performance appraisal system was done regularly to the staff especially the newly appointed and transferred employees. All these were being done because of sound management of personnel records.

4.3.3 Data from Records Management Officers (RMOs)

The records management officers are involved in the day-to-day management of records in MOLG and were therefore in a position to provide relevant data relating to how records were managed throughout their continuum.

The three RMOs explained that *the management of records during their continuum was still being handled manually* though they acknowledged that they had keyed in their computers but not yet rolled out to other offices. They further highlighted the tools used to capture and store the files such as registers, cabinets and open shelves. One respondent who was in charge of the personnel records unit stated that *the personnel files are*

arranged numerically based on the year one was employed and that they did not have a retention/disposal schedule hence the records had not been appraised.

The three respondents stated that they played a key role in ensuring proper storage, arrangement, indexing and classifying records; overseeing the management of paper-based information; identifying the most appropriate records management resources; advising on and implementing new records management policies and classification systems; training and supervising records staff; advising staff in other departments on the management of their records and information. According to the three interviewed RMOs*, mail management is the process of ensuring rapid handling and accurate delivery of mail throughout the organization at a minimum cost and within the shortest time possible*. They pointed out the existence of a central mail receiving point and that mail are recorded in registers before being taken to the action officers. When one (33%) respondent was asked whether they maintain mail registers, he responded that "we maintain two mail registers i.e. outgoing mail register and incoming mail register."

Observation of data revealed that records managers did not have proper storage facilities in the various records units, no retention/disposal schedule hence many records had not been appraised contributing to storing unnecessary records in the records units and occupying space for meant to keep the active records.

Though they acknowledged being aware of the disposal procedures, it was found that the closed files had not been disposed of at all. It was noted that in some instances action

officers received fresh mail and made copies which they acted upon after releasing the original copy to the appropriate records unit. This led to duplication of action, misplacement, misfiling, loss, delay of action and lack of control of mail. It was further observed that the records units had the registers in place, though not the standard registers from Government Printers.

4.3.4 Data from Clerical Officers

When asked how personnel records are created, the clerical officers interviewed explained that personnel records are created by:

- "Opening a personal file and the relevant documents such as application form, a letter of appointment, medical form, birth and qualification certificates, next of kin, Official Secret Act, etc. are the among the first documents to be put in the file."

- "During the official exchange of information between the organization and the newly employed staff."

    When asked to explain how personnel records are used:

- All clerical officers responded that "personnel records are used to facilitate issues of promotion, payments, disciplinary cases and transfers ; Maintenance of the records are done by ensuring safe custody, prompt repairs of worn out files and ensuring proper environmental conditions are observed."

- One respondent stated that "the records are maintained by use of the tracking system."

    When asked what information should be captured on a personal file, the responses were as follows:

- Most of the respondents stated that all the information that is captured in personal file are important documents about an employee such as: *Identification data (personal number, personal identification number, date of birth and marital status)*; *Employment data (designation, job group, terms of service and the work station) and Supporting documents (application forms PSC-2, Identity card, Tax pin, Academic certificates, medical certificates and Secret Act).*

- They further pointed out that "the information to be captured as staff matters, disciplinary matters, promotion and salary matters."

  When asked to explain why personal files must be protected and kept physically secure, their responses were as follows:

- All the respondents acknowledged the need for protection and security of personnel records as they contained personal information which is to be used to protect individual rights as well as for reference purposes. The respondents further stated that the vital information which these records have supports the organization in running their operational activities.

  Regarding appraisal system for personnel records:

- Most of the clerical officers were not very conversant with what an appraisal system was. At the same time they stated that *none existed in MOLG.*

- Two out of the fifteen interviewed respondents said that "we don't have an appropriate appraisal system in place."

Regarding how documents should be made accessible for use in order to protect them from loss or damage, they gave their response as follows:

- The respondents cited *the use of filing cabinets, filing shelves, use of finding aids, file movement registers, use of climbing ladder, file census and regular dusting as some of the ways used to ensure that personnel records are made accessible for use and to protect them from loss or damage.*

- The respondents reported that *we need to have a spacious room for storing the records and the filing cabinets should be made of steel and lockable.*

- While two of the respondents stated "the need to have proper filing/ classification systems that ensures documents are retrieved easily when required and the need to have the movable filing racks that occupies less space and that store more records". When asked to explain the purpose of the retention and disposal schedule:

- Most of the clerical cadre stated that "the purpose of the retention and disposal schedule is to destroy records which are no longer useful to the organization; to ensure that records required for operational, legislative or legal purposes are retained for the appropriate period of time and to identify and preserve records which may be of historical or evidential importance."

- Three of the respondents noted that "the purpose of the retention and disposal schedule is to decongest the record areas with the non active records hence create room for active records through destruction and preservation." While two of the respondents stated that "the retention and disposal schedule show the period records should be kept hence minimizing the risk of an organization damaging or destroying the records before they are due."

There was lack of awareness among the MOLG staff on disposal procedures, as they lacked top level support and direction to follow. Though they acknowledged the importance of protection and security of record, all the clerical officers had not been vetted.

Observation of data revealed that most of the clerical officers had not been trained on the management of records though they were familiar with what appraisal of records and retention and disposal of records were. Therefore the interview conducted integrated with the observation findings.

Further observations revealed that the record tracking system was not eminent in personnel records unit. The only way of tracking files was either using the outgoing file register or search from one office to another. In other words, they hardly conducted file census to ensure the whereabouts of files hence difficultly in knowing where a particular file was causing delay in decision making.

4.3.5 Data from Information Technology Officers

The interviewed information technology officers pointed out that the management of personnel records during their continuum was crucial since it facilitates in making informed decisions. One of the respondents said that "when information in personnel files is incomplete then no proper decision can be made hence denying justice to an individual". The respondents all pointed out that "Personnel records in all formats require

continued attention for them to be reliable for accountability purposes and good governance."

Two out of the six interviewed respondents stated that:

- "Personnel records can be created and stored using many different media and formats, including paper-based files or computer systems, on a single medium or as multimedia."

- "Records can also be transferred from one medium to another and from one context to another through copying, imaging or digital transfer."

- "Electronic records are easily updated, deleted, altered and manipulated. If appropriate measures are not taken, the essential characteristics of records -- content, structure, context can be altered or lost in the process."

The respondents were of the opinion that computerization of personnel records would enable personnel records to be accessed in a timely manner thus enhancing decision making. They stated that computerization would improve the creation and retention of records by ensuring that all the records created and retained were captured and stored from the onset.

On the aspect of considering and determining whether to computerize paper-based personnel records, most of the respondents highlighted certain issues to be considered such as security of records, authenticity and accuracy of records, unauthorized alteration or deletion of records, maintenance of electronic records that is to say records are

dependent upon the computer environment in which they were created and if those computers cease to be available then the records may become inaccessible. Only one respondent pointed out the issues of poor management of paper-based records and alteration of records in computer system to be considered before determining whether or not to computerize paper-based personnel records.

Observation of data revealed that most of the personnel files had been captured in the computer but had not been rolled out fully to the action officers because the software meant to be used had not been purchased. Another interesting point to note is that all those staff working in personnel records unit were computer literate but lacked enough computers to use in computerization of personnel records.

4.3.6 Data from Secretaries

The interviewed secretaries pointed out that management of personnel records was important because these records are used for future reference and they contain all the data about the staff which facilitate enhanced decision making. The respondents believed that their management was important because "they help the Ministry to know the resources required, for future planning e.g. recruitment and retirement". They further stated that these records contribute in knowing the needs of the staff such as training. They further acknowledged the importance of managing personnel records as a means of ensuring easy and speedy retrieval of records and that they enhance accountability and effectiveness in decision making.

It was observed that the most of the secretariat staff were working in offices where they were not directly accessible to the personnel records. Only two secretaries had a direct link with the management of personnel records.

4.3.7 Data from KNADS Staff

The KNADS Staff stated that they played a role in the management of personnel records in MOLG by advising public offices on the management of personnel records. Two out of the six interviewed respondents said that *"we do not play any role in the management of personnel records at the MOLG."*

When asked if they provided guidance on management of personnel records to the Ministry, the interviewed archivists indicated that:

- "They provide guidance by reviewing systems and procedures for management of records and advice on disposal procedures of personnel records in accordance with the requirements of the Public Archives and Documentation Service Act, (Cap.19, Laws of Kenya)."
- "They provide guidance through seminars on importance of opening, closure and disposal of personnel records."

Observation data contradicted interview responses by archive staff. It was observed that the KNADS Staff played little role in the management of personnel records in MOLG and that is why the lack of retention and disposal schedule was eminent.

The KNADS had not made much effort to ensure that disposal of records from MOLG was carried out. They had also been unable to create much awareness among the records management units staff on procedures for disposal of records.

4.3.8 Data from DPM Staff

The interviewed DPM staff emphasized that personnel records played an important role as basis for accountability. They acknowledged the concept of continuum as more critical process because "record keepers must ensure that all stages in the management of records are undertaken efficiently, as a smooth and effective continuum of care, so that access can be provided in a timely fashion."

The respondents stated that "the management of personnel records during their continuum facilitates easy retrieval of information and decisions making is enhanced leading to improved service delivery." They noted that "the management of personnel records allows consistency in information flow and reliable references for various uses."

4.3.9 Interpretation of Data

These findings clearly revealed that management of personnel records during their continuum plays an important role in support of good governance. The findings are a

reflection of views shared by different authors on the management of personnel records during their continuum like Millar L. (2009); World Bank (2009) who pointed out that good governance depends upon an effective records management infrastructure. Without a records management infrastructure, governments and organizations are incapable of effectively managing current operations, and have no ability to use the experience of the past for guidance. Records are closely entwined with increased transparency, accountability and good governance.

It was established that personnel records are a valuable resource because of the information they contain. They are essential to the delivery of high quality evidence in decision making. The study further established that the DPM Staff, RMOs, KNADS Staff and HRMOs are involved in one way or another in day-to-day management of personnel records and therefore their care is important. This is because managers are expected to be actively involved and make timely decisions for issues including personnel emoluments, budget control and ownership of data.

The findings agrees with other research that have been carried out such as (The World Bank, 2000b), pointed out that the rights and entitlements of citizens are based on records, and the ability of a government to continue to respect these rights and entitlements is based on the quality of the policies, standards, and practices employed for the care of those records

When RMOs were asked how personnel records are managed during their continuum, one of them answered that, "personnel records cannot be managed efficiently because of deploying the wrong personnel to work there especially the clerical officers with disciplinary cases." The RMOs and clerical officers sated categorically that while they value the management of personnel records, there has never been retention and disposal schedule in place and that is the reason why congestion was imminent in the personnel records unit.

4.4 Management of personnel records and good governance

The second objective of the study was to establish the role of personnel records in support of good governance. Respondents' views are pointed out below.

4.4.1 Data from Heads of Departments

The four HODS in MOLG appreciated the fact that management of personnel records had a direct link with good governance. The interviewed HODs stated that proper management of personnel records is necessary since it allows the best use of available staff and thus promote efficiency and good governance in the organization. Further, personnel records provide information which can be used in making decisions which is seen as good governance in that personnel information can be used to know the number of staff and be able to plan for them in terms of salary, training and development. The HODs pointed out ways in which personnel information can be used to support human resource management and planning. For instance the respondents noted:

- "Personnel information can be used to know how many staff exists in an organization and therefore easy to plan for them in terms of remunerations, training and development needs."

- "Personnel information can be used to support human resource management in areas of recruitment, promotion and retirement" etc.

4.4.2 Data from Human Resource Management Officers

When asked if management of personnel records support good governance in the MOLG, the HRMOs who were interviewed gave their responses as follows:

- Most of the respondents stated that "the management of personnel records support good governance in the MOLG by ensuring that the right information is captured stored and availed timely thus leading to informed decision making."

- Some of the respondents said that "the management of these records leads to a motivated and satisfied workforce."

- Few said that "when personnel records are managed properly there is accountability and transparency in making decisions e.g. in appointments and promotions of employees."

Records are essential for the effective and productive functioning of an organization. According to the respondents, personnel records contains information necessary for decisions making and serve as a benchmark by which future activities and decisions are measured.

4.4.3 Data from Records Management Officers

The RMOs emphasized that "well-managed records are a foundation for accountability and transparency." The Personnel records also help the MOLG to make good use of scarce resources and help provide an accurate source of data, which can be used in other information systems throughout the organization such Integrated Payroll and Personnel Database (IPPD) System. Only one respondent stated that "the management of personnel records helps to enhance efficiency and effectiveness and minimize the dangers of corruption." "It promotes timely and quick access to the records required to make informed decisions thereby enhancing organizational performance and that they provide evidence of business transactions."

All the respondents said that the existing records management strategies support good governance because employees will be held accountable for their actions. One of the respondents cited the example of corruption where one can be prosecuted. They further responded that "existing strategies assist the action officers to act promptly and thus leading to improved service delivery in the organization."

4.4.4 Data from Clerical Officers

The clerical officers gave their views as reported below:

- Most respondents stated that "the management of personnel records is important because they help the organization in planning, decision making and in running day to day activities of the organization."

- The respondents explained that "for an organization to achieve effectiveness and efficiency in delivering services it depends upon the availability of and access to information held in records."

- They further explained that "personnel records are important because they act as evidence in case of legal matters and are used for reference purposes."

4.4.5 Data from Information Technology Officers

The six respondents reported that:

- "The application of ICT in computerizing personnel records provides relevant, complete, accurate and timely information to the customers and the organization as a whole."

- They asserted that "the use of ICT in computerizing personnel records contributes to improved quality and easy availability of information through the development of efficient and effective records management system."

- The respondents further stated that "the use of ICT eliminate a lot of errors and elements of ghost workers; ensures easy retrieval of information thus facilitating the process of decision making."

4.4.6 Data from Secretaries

When asked if the management of personnel records support good governance in the MOLG, their responses were as follow:

- Nine out of the 15 interviewed secretaries emphasized that "with good management of personnel records, there is a high degree of proper utilization of resources in terms of manpower and finances hence good governance is depicted."

- Some respondents asserted that "sound management of personnel records encourages transparency and accountability." One of the respondents gave the example of *the promotion in ones job that is based now days on merit and qualification and the respondent attributed this to good management of personnel records in the civil service.*

- Another respondent went ahead and said that *gone are the days of ghost workers in Government Ministries* and attributed this to having good management of personnel records thus supporting good governance.

- Most of the respondents explained vividly that "the management of personnel records supports easy retrieval of records when required and that they facilitate legal matters therefore supporting good governance."

4.4.7 Data from KNADS Staff

The respondents mentioned that personnel records play an important role in supporting good governance because when *they are well managed there is efficiency in service delivery and this contributes to motivation of the staff.* One respondent stated that personnel records play a crucial role in supporting good governance because *the records contain information regarding one's qualifications, education and salary thus promotions are offered on merit.* Some respondents asserted the important role the personnel records play as basis upon which an organization is able to defend their

decisions and actions thus supporting good governance. The respondents acknowledged the important role personnel records play in documenting employees' rights and entitlements which in essence *protect individuals' rights thus supporting the rule of law.*

4.4.8 Data from DPM Staff

According to the three interviewed respondents, personnel records support good governance because records management impact directly in effectively and efficiency service delivery. Proper management of personnel records hastens the pace of decision making hence improving service delivery.

The respondents pointed out that efficiency depends on timely provision of information and accountability depends on accuracy of information which leads to provision of quality of decision being made.

The three DPM staff were interviewed on the role of stakeholders involved in the management of personnel records. Their responses are as follows:

- One of the stakeholders is Directorate of Personnel Management (DPM) whose role is to ensure that records management circulars are issued from time to time in order to enhance recordkeeping in government ministries and departments. A good example is Directorate of Personnel Management circular on Streamlining the Performance of Registries in Government Ministries, Departments, Local Authorities, Provinces and Districts (Office of the President 2003) and Personnel general Letter No.1/2008 of 12th March, 2008 on disposal of Personnel Records.

- The Public Service Commission handles personnel subject files on matters such as appointment, promotion and disciplinary cases just to mention but a few. The management of these records are important not only in decision making but also for accountability and support for good governance.

- The pension's office is mandated with payment of pensions. One of the respondents pointed out that this can only be achieved through "proper management of personnel records which contains information such as date of birth in order to establish the retirement age" and accurate dates of appointment to establish length of service, including any breaks". This information is important in making informed decisions on payment of pensions.

- Kenya National Archives and Documentation Service (KNADS) as one of the stakeholders play an important role in the management of personnel records in that they provide guidance and advice on how personnel records are to be managed from the time of creation, use, storage to disposition. The respondents cited the Kenya National Archives and Documentation Service Act, (Cap.19, Laws of Kenya) as the basis on managing personnel records. Another respondent pointed out that KNADS "has responsibility for preserving records of permanent value to the nation, including a selection of personnel records of key national figures".

- Line Ministries are generally responsible for maintaining personal records for all of the staff working under them and for transmitting returns and other information about personnel that may be required by the central authorities, including the accountant general. Therefore, the DPM staff stated that the line Ministries ensures that proper

management of personnel records is enhanced because it leads to good planning and having the right decisions made in terms of promotion, training, transfers and recruitment thus supporting good governance.

When asked to state the measures taken in ensuring proper management and care of personnel records in support of good governance, respondents cited the following:

- "Introduction of the integrated Records Management System which according to one of the respondents had been rolled out to several Ministries/Departments."
- "Provision of facilities for use and storage e.g. computers, mobile shelves, workstations, lockable cabinets and stationery."
- "Provision of guidelines and procedures in the management of personnel records"
- "Publishing and distribution of records management procedures manual to all Ministries/Departments and other Institutions."
- "Training of staff working in records management units on records management through seminars/workshops and sponsored courses in Government institutions like Government training Institute (Mombasa), Government training Institute (Baringo), Government training Institute (Embu) and Kenya Institute of Administration."

4.4.9 Data Interpretation

The above findings clearly revealed the nexus between personnel records and good governance. From the findings, the respondents noted the importance of managing personnel records in support of good governance. The DPM staff pointed out that personnel records management impacted directly on service delivery which has a direct

link with good governance. The RMOs stated that the management of personnel records helps to enhance efficiency and effectiveness and minimize the dangers of corruption. It promotes timely and quick access to the records required to make informed decisions thereby enhancing organizational performance and that they provide evidence of business transactions.

The findings concur with the views of Roper and Millar, (1999a); Mnjama and Wamukoya, (2007) and Dzandu, (2009) who pointed out that there exist a very close relationship between governance and records keeping. Well-managed records are essential tools for good governance. They facilitate the achievement of transparency and accountability in public administration. Accountability and transparency depend upon complete, accurate and legally verifiable records. Without reliable records, officials cannot be held accountable and fraud cannot be prosecuted (Schenkelaars and Imram, 2004).

Musembi (2005) categorically stated that there exists a very close relationship between governance and records keeping. Well-managed records are essential tools for good governance. They facilitate the achievement of transparency and accountability in public administration. Poorly managed personnel records directly undermined any efforts to achieve good governance.

The significance of these findings is that good governance cannot be achieved in an environment in which personnel records are poorly managed, and in situations in which

records are regularly missing or lost. When some of these records are missing or lost, this is likely to lead to poor decisions, and sometimes delayed decisions. In other words, citizens will be denied quality decisions. Therefore there is need to ensure that personnel records are well managed in order to enhance good governance. Good governance is depicted when the Government manages public institutions in an efficient and effective manner. Good governance entails elements such as accountability, transparency, efficiency, participation, predictability, and human rights. All these elements depend upon good records management system.

4.5 The extent to which KNADS has assisted the MOLG in the management of personnel records

The study sought to establish the extent to which KNADS has assisted the MOLG in the management of personnel records. Respondents' views are as reported below.

4.5.1 Data from Heads of Departments

According to the four HODs, the KNADS had not assisted much in the management of personnel records. They pointed out the following;

- "Despite the fact that KNADS has a role to play in advising Ministries and Departments on the management of personnel records in the various stages, much had not been achieved due to the fact that the KNADS staff are more confined to the records that are taken to the KNADS for preservation and rarely do they visit Ministries and Departments to assess the status of the records."

- "The KNADS had only issued the Public Archives and Documentation Service Act, (Cap.19, Laws of Kenya) which was not enough without a follow up to ensure that guidelines were adhered to."

4.5.2 Data from Records Management Officers

When asked whether the KNADS had played any role in the management of personnel records, the respondents' views were as follows:

- "KNADS had assisted in reviewing the classification scheme."

- "Though KNADS had established retention and disposition schedules they had not been implemented in the MOLG."

When further asked if there was a legal framework, they pointed out that:

- "Legal and regulatory framework was in place for the management of personnel records." They cited *the Public Archives and Documentation Service Act, (Cap.19, Laws of Kenya)* which stipulates the laid down procedures for seeking authority to destroy public records and which also provides a broad and generalized legal framework under which policies, procedures, regulations, rules and good practices can be developed for the better management of personnel records within the public service.

The respondents further pointed out the various DPM Circulars been issued on management of records in the Public Service:

- "DPM circulars on the management of personnel records such as Circular Letter No. OP/48A/66 of 28 November 1985, Office of the President Circular on the Destruction of Non-Current Records";

- "Office of the President, Permanent Secretary, Secretary to the Cabinet and Head of Public Service Circular OP.39/2A of 14 April 1999 on Cases of Missing and Lost Files and Documents in the Public Service";

- " Office of the President, Directorate of Personnel Management Circular, DPM.4/10A (9) of 27 October 2003 on Streamlining the Performance of Registries in Government Ministries, Departments, Local Authorities, Provinces and Districts" and

- "Personnel General Letter No.1/2008 of 12th March, 2008 on Disposal of Personnel Records."

- The RMOs stated that "despite the existence of the legal framework for the management of personnel records, they had not been administered to the letter."
When asked about the nature of advice KNADS gives to the Ministry in the management of personnel records, RMOs responses were as follows:

- "KNADS provides advisory services in the management of records."

- "Give recommendations on the records to be preserved and the ones to be destroyed"

- "Provide safe custody of those records taken there for preservation."

- "Assist Ministries and Departments in preparing retention and disposal schedule"

- "Advices on review of records classification and indexing systems."

- "Developing records management policy, and training registry personnel."

Observation of data revealed that most of the personnel records had not been appraised hence no records had been earmarked for preservation and destruction. The researcher observed that there was lack of retention/disposal schedule.

4.5.3 Data from Clerical Officers

When the respondents were asked to state the role of the KNADS, their responses were as reported below:

- The respondents cited the role of the KNADS as "the custodians of records meant for preservation in the archives and that they assist in appraising personnel records."

- They stated that "the KNADS plays an important role in ensuring that personnel records without enduring value are destroyed thus contributing in economic and efficiency in the management of personnel records."

- Some of the respondents said that "KNADS offered consultative services in the management of records to the entire public service and that they facilitate in training staff working in various records units through seminars and workshops on how to manage records during their life cycle."

When the respondents were interviewed on whether there was an appropriate appraisal system for personnel records in the MOLG, most of them especially the ones working in the various records management units responded that *there was no appropriate appraisal system in place and that is why there are many records which are closed but no action has been taken on them.* Some of the respondents openly stated that they had no idea

whether an appropriate appraisal system existed and since they never knew what an appraisal system was, gave no response at all.

Most of them stated that there was a legal framework for managing personnel records and gave the example of:

- The Public Archives and Documentation Service Act, (Cap.19, Laws of Kenya) and

- DPM.12/6A VOL.I (71) dated 12th March 2008 on the Destruction of Personnel Records.

- The respondents argued that *despite the existence of the legal framework, it has not been administered at all in the MOLG"*.

- Three of the respondents working in other sections had no idea of the existence of any legal framework for managing personnel records.

The observation of data revealed that many personnel records which had been closed by virtue of officers, who have long retired, died, dismissed or left the service were not yet appraised thus occupying large space meant for the active records. In addition, the clerical staff working in personnel records units did not know what retention/disposal schedule was. The researcher noted that the observation of data had a close link with the interview findings.

4.5.4 Data from KNADS Staff

When archives staff were asked to indicate the extent to which KNADS had assisted the MOLG to manage their personnel records, all six cited the following:

- "Providing advice on review of records classification and indexing."

- "Assisted in preparing the records retention and disposal schedule."

- "Conducting seminars and workshops for records management officers."

- "Providing recommendations on the personnel records to be preserved and the ones to be destroyed by emphasizing the adherence to the Public Archives and Documentation Service Act, (Cap.19, Laws of Kenya) and DPM Circular 12/6A VOL.I (71) dated 12th March 2008 on the Destruction of Personnel Records."

When the respondents were asked whether there was a legal framework that is used to manage personnel records, all the respondents pointed out the Public Archives and Documentation Service Act, (Cap.19, Laws of Kenya) Section 7 on the disposal of public records and the personnel General letter No. 1/2008 of March, 2008 on disposal of personnel records in the public service.

It was observed that the KNADS staff looked overwhelmed with a lot of work and little or no attention was given to assisting the Ministries/Departments on implementation of the retention/disposal schedule.

4.5.5 Data from DPM Staff

The three respondents pointed out that the KNADS play a crucial role by:

- "Providing advice to Ministries/Departments on records management

- "Establishment of retention/disposal schedules."

- "Reviewing the classification and index systems."

- "Training the records units' staff on the management of personnel records."

- "Authorizing the destruction of valueless records and ensuring that the records to be preserved are well managed" and

- "Assisted the Government Ministries/Departments in appraising the records."

The three interviewed DPM staff were further asked whether there was a legal framework in place for managing personnel records and they all acknowledged the existence of legal framework and they gave the following examples:

- One of the respondents mentioned the Employment Act, 2007 which states that "an employer shall keep a written record of all employees employed by the organization."

- Two of the respondents pointed out the Public Archives and Documentation Service Act, (Cap.19, Laws of Kenya) though they noted that there was need to review it in line with the Constitution of Kenya.

- The other legal framework they mentioned was the DPM.12/6A VOL.I (71) dated 12th March 2008 on the Destruction of Personnel Records.

- According to them all the above legal frameworks though in place had not been implemented in most Government Ministries/Departments.

4.5.6 Data Interpretation

As stated by Roper and Millar, (1999a), a national archives is responsible for giving advice on the management of current and semi-current records, including personnel records, and the systems by which they are managed.

The data findings shows that despite the crucial role played by KNADS in providing advice to Ministries/Departments on records management, the HODs were not satisfied with the role of KNADS in the management of personnel records in the MOLG as they stated that "little assistance was eminent in the MOLG" and this was largely because the KNADS staff were confined to those records that have been transferred to the national Archives for preservation.

The RMOs and HROs acknowledged that the circulars of Directorate of Personnel Management on management of personnel records had not been effectively enforced and this according to them was largely due to the HODs not passing the information on the circulars to the records management staff. Further data findings have revealed that the KNADS has not assisted the MOLG in ensuring the enforcement of DPM circular on management of personnel records.

The significance of these findings is that majority of the staff have not felt the assistance of the KNADS in the management of personnel records as seen in the many non- active personnel records found in the personnel records unit; lack of retention and disposal schedule and poor classification system. Therefore, the findings clearly supports Mnjama, (2003) who stated that national archives only focus the management of records in the archival preservation stage rather than on the management of the entire life cycle of records .

4.6 Role of ICT in the management of personnel records

The study sought to find out the role of ICT in the management of personnel records. Respondents from the various categories gave their views regarding the role ICT played in the management of personnel records as indicated in the following discussion.

4.6.1 Data from Heads of Departments

The four HODs appreciated the fact that ICT provide accurate, timely and reliable personnel information for decision making thus enhancing efficiency and performance, which leads to improvement in processing and generating data, reducing much paper and time.

The three respondents noted that ICT had been applied in the management of personnel records in the MOLG through the capturing of information regarding the personal numbers, designation and the names of employees in the computer system. The respondents pointed out that "there was need to capture all the details kept in the individual files."

The respondents acknowledged that ICT assists in providing relevant, complete, accurate and timely information extracted from personnel records leading to enhanced decision making and prompt service delivery to the employees. According to the respondents ICT addressed the problems of time taken in search of information from personnel files; and also accuracy and complete information required to make decision. When asked if there was personnel records management system used, they were quick to say, *the system is yet*

to be procured but we do not know the kind of software to be purchased and used because this is the work of the ICT staff.

4.6.2 Data from Human Resource Management Officers

The respondents were asked the role of ICT in the management of personnel records and they reported as follows:

- Most of the HRM officers interviewed noted that "with the computerization of personnel records, there will be faster accessibility of information, no misfiling, files can easily be traced and retrieval of information is easy."

- The respondents acknowledged that "computerization of these records would minimize loss or theft; wear and tear; and uses little space to store huge amount of information."

- Most of the respondents pointed out that ICT will "facilitate proper maintenance of records thus enhancing efficiency and effectiveness in decision making."

- Some respondents stated that "computerization of personnel records would reduce delays in processing tasks such as appointments, promotions and retirements caused by gaps in the paper files."

Observations made by the researcher revealed that most of the HRM officers were computer literate and used the computers to do their official duties like writing letters and reports relating to personnel management.

4.6.3 Data from Records Management Officers

Asked whether they had computerized the personnel records, they pointed out that *we are in the process of computerizing the personnel records. What we have done is keying in of personnel files; we have captured the personal file numbers, names and designations of all the employees. We have not computerized all the information in the personnel files because the personnel records management software has not been purchased due to lack of funds.*

Regarding their role in computerization of personnel records, RMOs responses were as follows:

- One respondent said that "his role in computerization of personnel records was to co-ordinate, oversee and facilitate proper indexing of personnel records so that they could be captured in the computer."

- Some respondents explained that "their role was to establish and implement standards and procedures required in computerization of the records and to spearhead the introduction and use of new technologies and business practices."

- The RMOs stated that their role was "to work closely with a technical IT system experts" and be aware of some of the factors that must be carefully identified and analyzed before acquiring an IT system such as *the existence of a regular and consistent power source (including backup); the availability of adequate and appropriate accommodation to house the hardware; servicing aspects, including regular maintenance and timely repair of hardware and trouble-shooting of software*

and the need for the computer technology to interface with other technology, either currently in place or anticipated for future acquisition.

Observation of data revealed that little had been done in computerization of personnel records. In other words, only personal file numbers, names of employees and designations had been captured. It was further observed that the software to be used to capture all information in personnel files had not been procured.

Further observation revealed that all the records managers were computer literate and appeared to take pride and charge in their work though they were waiting to roll out the Integrated Records Management System once the software is purchased. Observation made by the researcher revealed that there was linkage with the data obtained from interviews.

4.6.4 Data from Clerical Officers

All the respondents asserted that computerization of personnel records had been partly done. When respondents were asked what function had been captured in the computer, 12 (80%) out of 15 respondents stated that "the function that had been captured included the personal numbers, names of the employees and the designations." The other three (20%) of the respondents acknowledged that computerization was under process but stated that *we do not know the kind of information being captured because we work in other departments not directly related to HR function.*

Regarding the role these respondents play in computerization of personnel records, some stated that *their role was to key in the information of individual personal files (personal numbers, designation and names of employees)* while two (13%) stated that *their role was to capture the personnel subject files.*

Observation made by the researcher was that the clerical officers working in the personnel records unit had some knowledge in computer and had started computerizing the records but did not have enough computers to facilitate them work efficiently in order to achieve their set targets.

4.6.5 Data from Information Technology Officers

When asked on the initiatives they have undertaken to computerize personnel records in MOLG, the ICT staff responses were as follows:

- All respondents pointed out that*, we have been able to gather the necessary information that would be captured in the database, trained and sensitized the officers working in the various records units on the importance of computerizing the personnel records.*

- Two respondents who were in charge of ICT noted that *we have assisted in procuring the software that is driven by the needs of the organization though the software has not been purchased due to lack of funds.* The two officers further stated that *we have given specifications for the software and equipment to be used" and "in addition we*

have trained and sensitized the heads of various departments on the importance of computerizing the personnel records.

Observation made by the researcher revealed that there was a misunderstanding between the ICT staff and the records personnel on who should be responsible for installing, operating and running the software after it has been purchased. Further observation showed that despite the efforts the ICT staff had put in requesting the top management to purchase the personnel records management software, it had not been purchased due to lack of funds and support from the top level officers.

4.6.6 Data from Secretaries

Secretaries appreciated the role ICT plays in computerization of personnel records.

- Most of the respondents explained that "with the computerization of personnel records, faster retrieval of records would be noticed and there would be a great reduction of errors."

- Some of the secretaries acknowledged that "computerizing personnel records provides readily up-to-date information on employees and establishments for manpower planning purposes."

- All of the respondents believed that "the computerization of personnel records saves time and space since computers tend to store a lot of information."

- Some respondents stated that "when records are computerized, the element of security is prominent because of the use of a password to access information by the authorized officers, unlike the use of personnel records where those who ought not to

see the information can easily manipulate the records thus tampering with information."

- All the respondents noted that "ICT play an important role in computerization of these records because this would lead to faster tracking of records and this saves time."

4.6.7 Data from DPM Staff

When asked whether ICT plays any role in computerization of personnel records, the DPM staff gave their responses as follows:

- One of the respondents noted that "the rapid development and use of information and communication technologies has transformed the way that organizations look at transparency and openness." The respondent further pointed out that *ICT plays an important role in computerization of personnel records in order to provide up to date information of employees and other staff details, including authorized establishment, in posts and vacancies.*

- All the respondents pointed out that "through computerization, information is accessed and retrieved easily thus resulting in accurate and timely decision making". They further pointed out that "computerization provides good data backup and reliable security by use of passwords, access levels, audit trails, encryption and installation of the right antivirus software."

- DPM staff noted that "ICT also provide the ability to store huge amounts of personnel information in a relatively small physical space on servers."

4.6.8 Data Interpretation

The findings revealed that there has been conflict between the ICT staff and RMOs because the records managers feel that they are never involved in the planning, designing and implementation of the electronic records management system. This agree with the views of Millar (2009) who has in various studies pointed out that records managers are never involved in the design process of electronic records management, resulting in poor results over evidentiary inputs to, and outputs of the computer systems.

The RMOs and the ICT staff pointed out that the software to be used in the management of personnel records had not been purchased hence they relied only on the little data they had captured in tracking of personnel records.

On the role played by Information and Communication Technology in the management of personnel records, the findings clearly show that ICT ensures that the records created and managed conforms to the required standards and at the same time ensures that the records are managed securely. In addition, computerization of personnel records provides readily up-to-date information on employees and establishments for manpower planning purposes. Further findings revealed that with the adoption of technology, organizations will be able to communicate changes in personnel policies and procedures more easily, managers will be able to access staff records without having to keep multiple copies or wait for the paper file to be delivered and employees are able to access personal information about their work status and entitlements.

Regardless of whether records are electronic or paper, the evidence of decisions, actions, communications and transactions related to employees must be kept and safeguarded.

4.7 Challenges faced in the management of personnel records

Respondents were asked to state the challenges they faced in the management of personnel records and how this had impacted on good governance. Respondents views varied as indicated below.

4.7.1 Data from Heads of Departments

When asked to indicate the challenges they faced in managing personnel records HODs interviewed cited the following:

- "Lack of enough and qualified staff in the management of personnel records." One head of department gave an example of a situation whereby *when one records management officer is on annual leave, sick or away on other official duties, the records are left under the care of clerical officers who are not skilled or trained in records management or conversant with the management of these records thus providing poor service to the customers.*

- "Lack of space to store the records and this was witnessed by files kept on the floor exposing them to environmental hazards." All the interviewed HODs were in agreement by emphasizing that these challenges affect the use of personnel records through *mis-filing, records getting torn due to the nature of storage and poor record*

keeping practices by the unskilled staff thus affecting service delivery and poor decision making.

When asked to state the best ways of dealing with these challenges, they responded as follows:

- All respondents stated that "through provision of adequate and qualified staff to man personnel records."
- "Provision of modern storage equipment such as the moveable filing racks."
- "Training and re-training of all manpower working in the records units on records management related courses."
- They all stated that "there was need to move to another place out of Jogoo house where they could get enough space to accommodate not only the records but also all the staff belonging to the MOLG."

4.7.2 Data from Human Resource Management Officers

They cited the following challenges faced in the management of personnel records.

- "Wrong indexing of letters especially the personnel subject files where letters not belonging to those files were put in them."
- "Failure by the action officers to fully utilize the file movement registers and this had led to poor tracking of files when required thus causing delay in decision making."
- "Loss of documents through negligence especially by the unskilled personnel in the records units and this implied that the information in the file was not complete

therefore making wrong decisions." *One of the respondents gave an example of an employee who had retired in the MOLG but could not be paid his pension dues because his documents could not be found in his personal file thus denying the pensioner his individual rights.*

- "Poor file classification and indexing as challenges in managing personnel records." They noted that "this leads to putting wrong correspondence in the wrong files which eventually causes delay in implementing decisions."

- "Lack of appropriate computer system for managing personnel records." Though they acknowledged that personnel records had been entered into the database much still needed to be done to ensure that all the relevant information was captured, stored and protected in the system.

- The respondents pointed out "lack of space as a major challenge in managing these records." Lack of space had resulted in files being squeezed in the shelves thus leading to tearing of files and loses of documents.

When asked how these challenges would be addressed the HRMOs pointed out the following measures:

- "Ensuring the right documents are in the right file and that they are folioed properly."

- "Sensitizing all staff especially the clerical officers on the importance of managing personnel records."

- "Emphasizing the use of file movement registers in all sections."

Observation of data revealed that most of the HROs had file movement registers which they hardly used.

4.7.3 Data from Records Management Officers

Respondents were asked to cite the challenges faced in managing records in their unit. The following were cited by the respondents:

- "Lack of senior management support; poor understanding from the management on the vital role played by the records units in the organization and low awareness of the role of records management in support of organizational efficiency and accountability."

- "Lack of funds allocated to records units and as a result, no access to stationery, dustcoats and storage equipment. Without money allocated to the entire management of records i.e. for purchase of records storage facilities, computers and electronic records systems and training of staff just to mention a few t proper management of the public sectors records cannot be realized."

- "Improper coordination in handling records."

- "Non adherence to policies used to provide guidance to creators and users of records posing risks that also cannot be ignored; the lack of systems, policies and procedures to ensure that records are well organized and accessible from the point of creation, means that action officers face continual frustrations in attempting to locate the records required to carry out their work."

- "Poor security and confidentiality control and lack of records retention and disposal policies."

- "Most of the staff are not trained, they know very little about records management." *A case in point was mentioned by one of the respondents whereby a clerical officer was re-deployed to work in personnel records unit with no records management qualifications because of messing up in procurement section.*

- "Poor storage equipment for storing records. In the personnel records the kind of storage equipment used though steel filing shelves, were opened and not strong enough to support the huge amount of records".

- "Insufficient space in that the personnel records unit staff sat in the same space where files are kept subjecting them to environmental hazards."

- "Poor working conditions for staff working in the personnel records unit had leading to low morale among them."

- "Despite the fact that most of the clerical officers deployed to work in the records units did not have the necessary skills required to manage the records, the units had been seen as dumping place for those officers with disciplinary cases or whose performance was low."

The respondents noted that all these challenges had impacted negatively in the management of personnel records and good governance. All these had led to poor decision making, corruption, denying individual staff their rights and entitlements; and this had affected systems and service delivery not only in the MOLG but also in nearly every sector in the civil service.

Observation made by the researcher revealed that most of the staff in records personnel unit looked demoralized and dissatisfied lot; knew very little about file indexing; worked in a pathetic state; the space was small to accommodate the staff as well as the records and most of them were less than four years in the service hence had no wide experience in the management of these records. In addition, the retrieval tools were not of good quality e.g. the file folders were of poor quality hence prone to tear. Lack of dust masks and gloves exposed the personnel staff to health hazard.

4.7.4 Data from Clerical Officers

When asked to cite the challenges they faced in the management of personnel records, the respondents gave their responses as follows:

- "Lack of space as an impediment in managing the personnel records" and they further cited "lack of enough room to hold all the files thus subjecting them to wear and tear."

- "Lack of working tools as hindrance to good management of personnel records." They gave examples of lack of tools such as file folders, shredder machines; duplicating machines and dust masks which they said affected performance. Three of the respondents mentioned that *for the last four months they had not been provided with file folders leaving most of the torn files not repaired and having pending letters awaiting the files.*

- "Lack of records management procedures manual which provides guidelines and procedures to be followed on day to day management of records."

- "Some officers take too long to act on files causing delay in taking action on other pending letters in the record unit."

These challenges according to the respondents:

- "Impacted negatively on the management of personnel records and good governance."

- "Poor skills contributed to ineffectiveness and inefficiency in managing the records."

- "Lack of funds allocated to the records personnel unit and delay from action officers to respond to letters marked to them resulted in delay in taking action on even important matters."

- "The failure to provide adequate storage facilities contributed to lose of morale and motivation thus leading to poor performance."

Observation of data revealed that majority of clerical officers had limited training or experience with record keeping work; they were exposed to poor working conditions, portrayed negative attitude towards work and there were many letters left unattended due to lack of files. Most of the clerical staff working in the records units were not vetted. The way information was handled was not proper since anyone could walk in and see what they were doing because of lack of service counter. Further observation revealed the negative attitude portrayed by the staff working in personnel unit and records units as a whole. Most of them felt that they were not taken care of when training needs were been factored in during the training evaluation exercise thus demoralizing them. In addition, the researcher made observation on poor environmental conditions in that most of the records were kept in open shelves next to the windows thus exposing them to light and

water especially when it rains. Accumulation of dusts on the records especially the inactive records posing health hazards to the staff working in the personnel records unit.

4.7.5 Data from Information Technology Officers

All the interviewed IT personnel pointed out the following as challenges faced in the application of ICT in the management of personnel records:

- "Lack of funding to be used in application of ICT"; they further explained that lack of money to purchase the software, computers and to train the records personnel were some of the problems they encountered.

- "Most of the records unit staff have little knowledge on computer usage, they lack the required skills as far as the application of ICT in the management of personnel records is concerned".

- "Lack of relevant and accurate information to be captured in the system caused by poor filing and management of personnel records."

- "Breakdown of the network as a challenge in application of ICT in the management of personnel records."

- "Lack of adequate communications and sustainable technical support as impediment in its implementation."

- "Lack of backup system." One of the respondents pointed out that *the system can fail due to the fact that the storage device can 'crash' or the computer becomes 'infected' with a virus resulting in loss or corruption of the data.*

- "Individual ICT personnel who are knowledgeable about specific aspects of the system create a void when they leave leading to the failure of the system."

- "Lack of adequate procedural guidelines makes controls impractical and therefore the system open to abuse."

4.7.6 Data from Secretaries

When the respondents were asked the challenges they faced in the management of personnel records their responses were as below:

- The respondents acknowledged that some of the challenges were attributed to wrong folioing of letters as well as misfiling which led to wrong decision making.

- Other respondents mentioned that "some personnel files contained incomplete information because of failure by the action officers to put letters in the relevant files thus no action was taken in the right files."

- "Lack of confidentiality in handling personnel files." They pointed out that "there have always been cases of information leakage even when it was not supposed to especially on issues of disciplinary proceedings against some employees thus resulting into mistrust among the staff and false accusations."

- "Lack of computerization of personnel records making retrieval of personnel records slow and cumbersome; at the same time tracking the movement of personnel records is time consuming causing delay in decision making thus affecting service delivery to the customers and the civil service at all."

Observation made revealed that the secretaries handling personnel records were always overwhelmed with work to the extent that most of the letters written were filed in their daily file and not the relevant files making it difficult to know or make a follow up on what action was taken in the worked on files.

4.7.7 Data from KNADS Staff

The KNADS staff were asked to cite the challenges faced in the management of personnel records, their response are as indicated below:

- "Record capture was poorly done resulting in drawbacks especially when trying to dispose them."

- "Accumulation of records due to unimplemented disposal procedures i.e. most of the personnel records had not been disposed because of failure by the respective Ministries to adhere to the laid down procedures thus having so many records which ought to have been appraised for destruction and preservation."

- "Lack of enough space and storage equipment to put the personnel records thus having records placed on floors or even open shelves subjecting the records to environmental hazards."

- "Untrained personnel were mentioned as a challenge. Most of the staff were incompetent especially the clerical officers."

- "Lack of adherence to the DPM circulars on the management of personnel records especially on disposal of personnel records thus contributing to many unnecessary records being kept which tend to occupy space meant for the active files."

- "Most of the records and archives legislations are outdated and there was need to amend them. The legislations only focused on the end phase of a records life cycle, providing little support for current records."

- "The rapid advance of technology and its growing availability had made these legislations inadequate."

The interviewed KNADS staff pointed out that these challenges could be overcome *by seeking for resources to put in place facilities and equipment; training of officers especially those working in records units in records management skills through workshops and seminars.*

Three (50%) of the respondents were for the opinion that "the best way of coping with these challenges was through reviewing systems and procedures for records management; sensitizing officers who create and manage records; regular review of circulars concerning personnel records e.g. personnel General Letter No.1/2008."

4.7.8 Data from DPM Staff

The DPM staff cited the following challenges faced in the management of personnel:

- "Overcrowded records units and inadequate space for storing records. This could be managed by ensuring that the valueless records were destroyed and the unnecessary idle assets were removed from the records units."

- "Lack of disaster preparedness which could lead to loss of information". This is evidenced by lack of fire extinguishers, fire drills, backup systems and fire proof cabinets for storage of records."

- " Lack of funds for records personnel to assist them run their programmes such as rolling out the Integrated Records Management System (IRMS); training the staff on record management; carrying out the disposal of records; purchasing of the mobile shelves and other working tools."

- "Lack of skilled and qualified personnel to run the records units has been a major problem in the entire civil service. In most cases, records units are headed by clerical officers who have no skills and interest in the management of records. Even in cases where there are qualified officers, most of the time they are deployed to do other duties not in line with their qualifications thus demoralizing them."

- "Constraints on making the long-term investment required to introduce sustainable computer-based systems or upgrade hardware and software may affect the viability of proposed systems. DPM has informed all Ministries/Departments the need to factor in their budget provision for funds to the Records Units so as to sustain the systems."

- "Lack of adherence to DPM, OP circulars on personnel records management and the KNADS legislation on Public Archives and Documentation Service Act, Cap.19, laws of Kenya which have led to records not been appraised and necessary action not taken to dispose them."

One of the respondents further noted that "without effective programs to manage electronic records, the goals of e-government may be lost. Resources will be wasted, and

the inadequacies of technology will undermine the government's aims of accountability and transparency."

4.7.9 Data Interpretation

These findings revealed most respondents faces challenges in the management of personnel records in support of good governance. The HODs and HROs pointed out challenges such as unqualified staff, shortage of staff in personnel records units, poor environmental conditions, lack of enough space and storage facilities and poor records keeping practices. The RMOs and clerical officers mentioned congestion in the personnel records unit, lack of enough space and storage equipment, lack of retention and disposal schedules, lack of support from top management and poor environmental conditions as some of the challenges faced in the management of personnel records. The ICT staff cited poor environmental conditions for the server room, lack of support from the top management, lack of adequate procedural guidelines, breakdown of the network, lack of backup system and lack of relevant and accurate information to be captured in the system whereas the DPM staff mentioned lack of disaster preparedness and lack of adherence to DPM, OP circulars on personnel records management such as: *The Head of Public Service Circular Letter No. OP/1/48A/66 dated 28th November, 1985 on Destruction of Non –Current; Circular No. 48A/66 of 28th August, 1988* and *Circular Letter No.OP/1/48A/11/10 dated 7th July, 1989* reminds the public offices their responsibility in the management and disposal of public records and archives. They stress the procedures to be followed on the destruction of non-current Government records; *Circular, DPM.4/10A (9) of 27 October 2003 on Streamlining the Performance of Registries in*

Government Ministries, Departments, Local Authorities, Provinces and Districts. A task force was constituted under the on-going Civil Service reform Programme (CSRP) to critically examine the current records management systems and practices in Government registries and make appropriate recommendations to enhance the quality of service delivery; *Office of the President, Permanent Secretary, Secretary to the Cabinet and Head of Public Service Circular OP.40/1/1A dated 6*[th] *June 2003, on Improvement of records Management for Good Governance*. The Circular stressed that, despite the many efforts by the Office of the President to curb the problems associated with records management, the state of records management in public offices has continued to be demanding; *Directorate of Personnel Management General Letter No. 1/2008 Ref. No. DPM.12/6A VOL.I (71) dated 12*[th] *March 2008 on destruction of personnel records* and *the KNADS legislation on Public Archives and Documentation Service Act, (Cap. 19, Laws of Kenya).*

The results of this study point to the fact that there are a number of problems associated with record keeping in the MOLG ranging from negative attitude of staff, badly implemented record management system, insecurity of records, use of paper convention, lack of training, manual operation, inadequate computer terminal and resources to ineffective retrieving, retention and disposition schedule, as well as lack of policy and filing procedure manual. These agree with the views of Ngulube (2004), Kemoni (2007), Mnjama (2003), Wamukoya and Mutula (2005) and Cain and Thurston (1997) who have in their various studies pointed out the problems faced in the management of records in the public sector as lack of support from the senior officers; inadequate storage space;

lack of training among the records units personnel; records management units viewed as a dumping ground for unproductive and in disciplined officers; lack of policies and guidelines on the retention and disposal schedules among others. The above authors were of the opinion that for good governance to prevail in any institution there must be good records management practices since decisions made are based on information from the records. Well-managed records are essential tools for good governance.

4.8 Recommendations to improvement of management of personnel records in MOLG

The respondents were asked to propose the recommendations on the management of personnel records in the MOLG in support of good governance. Their responses are reported below.

4.8.1 Data from Heads of Departments

The four HODs gave their recommendations on how to enhance the management of personnel record in support of good governance namely:

- "The need to ensure that personnel records are properly managed." Since information recorded in paper and electronic files help managers, to direct, control communicate, plan, formulate policies, and make decisions.

- "Provide support in terms of funds and adequate manpower to the records units so that they could be able to manage the records well and by so doing services could be achieved easily."

- "To ensure that records management policies and legislations were always implemented in MOLG especially on the disposal of personnel records which would facilitate creation of more space once the records were appraised and earmarked for preservation and destruction."

- "Promote good practice in the creation, maintenance and disposal of those records which would lead to sound records management."

- "DPM should ensure that all seminars/workshops organized at any time in the public service incorporate a module on records management to enable officers at all levels to appreciate the importance of records in service delivery."

- "To ensure that circulars from DPM or Office of the President containing information meant to be seen by employees are circulated to all those persons who need to know." For example, the circular on Disposal of Personnel Records (2008).

4.8.2 Data from Human Resource Management Officers

The HRMOs gave various recommendations on improvement of personnel records management in MOLG.

- "The filing system should be streamlined to facilitate easy retrieval of records and that the classification and indexing system should be reviewed regularly to ensure that information in the personnel records correspond with the system."

- "A need for personnel records to be fully computerized to allow easy tracking of files and access to information; and at the same time training the records unit staff and users on information technology."

- "Retention and disposal procedures to be followed to the letter to allow creation of more space for the active records in the personnel unit."

- "The need to train all those staff working in the records unit on records management especially the clerical officers in order to improve performance in those units."

- "Sensitization to all officers in the MOLG on the importance of proper records keeping."

- "A need for storage facilities and equipment for properly management of personnel records." They further pointed out that "there was need to purchase the mobile filing shelves, computers and the software."

- "Induction programmes for new staff and refresher courses for old staff so that they would be acquainted with the importance of management of records in the MOLG."

- "The need to have records management procedures manual which is guidance in the management of records."

4.8.3 Data from Records Management Officers

The RMOs emphasized the importance of improving the quality of records management as a basis for decision making, timely service delivery and financial savings. The RMOs made their recommendation as follows:

- "The top management should embrace the importance of records management and the role played by records management officers by providing them total support towards developing a comprehensive records management programme for the MOLG."

- "Professionally trained records management staff be employed and deployed to work in the records units and existing staff be provided with the necessary training through in-service training programmes. In addition, induction programmes for fresh staff."

- "To have full computerization of MOLG records which would facilitate decision making hence improved service delivery."

- "Provision of records management procedures manual for the public service which would assist in offering guidance on the management of records in MOLG."

- "Allocation of funds to facilitate in records management programmes such as training, seminars and workshops; purchase of mobile filing shelves; for purchase of the right working tools e.g. file folders, fasteners just to mention a few."

- "Provision of enough working space and improvement of working environment for the records units staff."

- "Implementation of the retention and disposal schedules and to transfer the semi-active records to KNADS."

- "To prevent the build up of inactive records in future, there was a need to develop procedures for the routine appraisal and disposal of records."

- "Development and implementation of records management policy."

- "Reviewing and updating filing systems and the files index for efficient management and retrieval of information."

- "Ensuring security of information and records."

- "By providing the personnel in records units opportunities to undertake training in recognized institutions and universities on records management; offering seminars and workshops in records management so as to make them efficient and effective in

record keeping; regular training in records management issues and training them in information technology in order to facilitate them in computerization of the records in the MOLG."

4.8.4 Data from Clerical Officers

Clerical officers made the following recommendations:

- "A need to sensitize and create awareness to all the staff in the MOLG on the importance of management of personnel records because they are in one way or another involved in handling these records."

- "Computerization of personnel records in order to compete with the modern technology."

- "Provision of training in records management and more so to those working in the records units so that they could acquire the necessary skills and knowledge for them to be able to perform and discharge their duties diligently."

- "The need to implement the appraisal system of records which would help in ensuring that the unnecessary records were disposed."

- "The need for proper storage facilities such as the lockable cabinets and mobile filing shelves so that the files were not exposed to dust and light from the sun."

Regarding the working conditions and staffing level for staff working in personnel records unit, the respondents gave their recommendations as outlined below:

- "The need to improve the working conditions in the personnel unit through provision of the necessary working tools such as dust coats, gloves, dust masks and computers."

- "A need to boost the morale and motivate the records units staff by providing them with the necessary support both in terms of manpower and finances to carry out the records management functions. In addition, to avoid dumping staff with disciplinary cases to the records units."

- "Training of personnel staff working in the personnel records units at least in courses in records management and be encouraged to attend workshops and seminars relevant to records management. In addition, there should be regular training for the records staff to improve service delivery."

- "Disaster management to be put in place in case of a disaster outbreak and all the MOLG staff be sensitized on the same."

- "The need to be computer literate especially those staff working in the records units in order to enhance effectiveness and rapid access and response to correspondence."

- "Disposal of the inactive records should be carried out regularly so as to create more space for the active records."

- "Deployment of the right personnel is the records units and provision of adequate and qualified personnel in the personnel records unit."

- "Adequate storage facilities for proper management of the records and avoid files littering about."

4.8.5 Data from Information Technology Officers

As earlier said in this chapter, the main reason for computerizing personnel records is to provide readily up-to-date information on employees and establishments for manpower planning purposes. The IT manager made the following recommendations:

- "By ensuring that the paper records upon which the new personnel system would be based were in good order before the computerization project begins." This was because computer systems require structured and well organized information.

- "To automate disorganized, inconsistent data would result in a chaotic database which would generate questionable if not misleading information."

- "Involving the records manager responsible for the management of the existing paper personnel records before computerization exercise begins." *This was because the records manager would contribute much by ensuring that the records were well organized to facilitate automation, by working with the system designers to ensuring that the combined computer-plus-paper system was well integrated and works efficiently.*

- "Availability of sufficient funds and infrastructure." They further elaborated that once the funds have been allocated, then the right software could be purchased which allows for advanced information retrieval systems and providing online search functions to the public. "The system would also provide the ability to store huge amounts of information in a relatively small physical space on servers."

- "Training of the personnel staff working in the personnel records unit and the users of the records on how to use the system."

- "Adequate administrative provisions to support the ongoing maintenance of the system, including financial resources, adequate physical conditions and sufficient staff." For example, *there must be a reliable power supply; the need for secure backup and storage procedures and facilities; the electronic and paper records need to be stored in appropriate environmental and physically secure conditions.*

- "Careful planning and system design are required to ensure that characteristics of records (content, context and structure) are both captured and maintained."

4.8.6 Data from Secretaries

The secretariat staff made the following recommendations:

- "The right personnel should to work in the personnel records unit instead of deploying those with disciplinary cases or those who had not been trained on records management in order to have proper management of personnel records."

- "Computerization of personnel records was ideal since it facilitates easy retrieval of information and that it stores a lot of information in a small space." In addition, they suggested *that both paper and electronic records should be maintained because the paper records provide evidence of what was captured.*

- "The need to sensitize the staff in the MOLG on the importance of proper management of personnel records."

- "The best way of managing these records was through the provision of lockable cabinets and mobile shelves in order to ensure that the records are secure and safe."

4.8.7 Data from KNADS Staff

Recommendations by KNADS Staff were:

- "Recruit qualified records personnel to facilitate in the management of personnel records in order to enhance good governance".

- "Enforcement of DPM circular on disposal of personnel records e.g. Personnel General Letter No. 1/2008 and the requirements of Cap 19 of the Laws of Kenya. This according to majority of the respondents would eliminate the voluminous records which were inactive and thus create space to accommodate the active records".

- "Regular review of circulars and legislations in line with the new constitution"

- "Allocation of adequate space, equipment and storage facilities. This would ensure that personnel records are well maintained in a conducive environment."

- "Allocation of finances (budget) to facilitate in records management programmes."

- "DPM should ensure that all heads of department undergo sensitization and awareness seminars/workshops on policy issues pertaining to records management."

- "The need for all Ministries/Departments to have records disposal/retention schedule and ensure that it was being implemented."

- "Automation of personnel records which they said was going to increase efficiency in service delivery and thus enhancement of good governance."

- "Regular training of staff working in personnel records unit in order to ensure that they were conversant with the management of personnel records." They added by

saying that, *this could be done through seminar, workshops and training in records management courses from recognized institutions and Universities.*

- In order to strengthen the current legal and legislative policies relating to the management of personnel records the respondents pointed out "the need to review (Cap 19 of the Law of Kenya) to give specific responsibilities for management of records". The respondents further emphasized the need to place the management of records from creation to preservation under one authority.

- "The implementation of records management policy which would go a long way in improving services in the records units in the civil service."

- "Standardizing the regulations on management of records to cater for central Government; parastatals and the disciplined forces."

- "The old Laws need to be reviewed in line with the new constitution."

- "A need to review the circular on personnel records because it was too general."

4.8.8 Data from DPM Staff

The DPM staff made the following recommendations regarding the management of personnel records in support of good governance.

- One of the respondents stated that "the automation of personnel records is important in ensuring that information retrieval becomes faster and saves time wasted in locating files in order to make decisions." Therefore, the respondent emphasized the need for MOLG *to embrace the recently introduced Integrated Records Management System in the Civil service because this would hasten their services to the clients hence improve performance.*

- The respondents pointed out "the need for support and cooperation from senior management to the records officers when complying with record keeping policy, regulations and procedures." One of the respondents pointed out that "the senior management officers must particularly avoid the practice of opening and maintaining parallel files to serve their own interest which in essence prevent the rest of the staff from getting and sharing of official information."

- "Adequate accommodation for the proper functioning of the records management."

- "The right equipment and materials for the maintenance and storage of records need to be provided such as relevant software programs; computers and related equipment; good quality shelving including both secure file cabinets and mobile bulk filing units; file folders of the right quality and office furniture."

- "Motivation of records management staff through career development and provision of facilities which would enable them to work better thus improving service delivery."

- Enforcement of security measures in the management of records by having the following in place: *ban on smoking; smoke detectors; fire alarms; ban on eating; cooking and drinking; installation of service counters; security vetting training for all staff working in the records units; restriction notices to deter unauthorized personnel to the records units; installation of fire extinguishers, fire alarms, smoke detectors and organize fire drills for disaster preparedness*. This according to them was meant to ensure that the records were well managed and information was secured and only delivered to those who need to know thus protecting individuals rights which is a symbol of good governance.

- "Training units in Ministries/Departments must ensure that circulars/course announcement emanating from DPM reach all the staff members and the training funds should be appropriately distributed and priority given to records management. In order words, records staff are required to equip themselves with the relevant skills so as to improve the management of records in the Ministry."

- "Provision of protective gear to the staff working in personnel records unit such as: dust coats, masks, gloves etc. to safeguard their health. In so doing, performance in the work place would be improved."

4.9 Conclusion

The chapter has presented, analyzed and interpreted the findings on the data collected from the various cadres on the management of personnel records in support of good governance as stipulated above. The data was collected by administering interviews to the different cadres and by use of observation checklist to verify data obtained from the respondents.

From the findings of this study, it was established that there were many problems experienced in the management of personnel records in the MOLG such as lack of support from the top managers; lack of qualified and trained personnel in the personnel records unit; lack of proper working tools; in conducive working environment; lack of budgetary provision and the need to review the procedures and regulations for managing personnel records. All the respondents gave their recommendations on the way forward as explained above.

CHAPTER FIVE

SUMMARY OF THE RESEARCH FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

The chapter provides a summary of the major findings, conclusion and recommendations. The summary of the research findings provided is based on the research questions and they are discussed briefly to offer an overview of the major revelations. Recommendations and a model are proposed for the management of personnel records in the MOLG in support of good governance. This chapter finally provides suggestion for further research.

5.2 Summary of major research findings

This section provides a summary of the research findings based on the research questions that were formulated by the study.

5.2.1 Research question one: How are personnel records managed during their continuum?

Research findings revealed that:

- Proper management of personnel records leads to better accessibility, easy retrieval of records thus contributing to enhanced decision making and improved service delivery as stated by all respondents (100%). Access to reliable information is thus essential to protect citizens' rights.

- The management of records during their continuum was still being handled manually and poorly in the MOLG thus posing a challenge in the management of electronic records.

- The information captured in personnel files includes but not limited to: application form; offer of appointment letter; medical reports ;copies of certificates of qualifications; acceptance of offer letter; promotion letters; postings/secondment/transfer letters; probation reports; staff reports/appraisal forms; disciplinary correspondence; salary increment(s) for; change of name documents; personal/service record card and retirement notifications.

- Record keepers stated that though the management of personnel records in all stages is undertaken efficiently, as a smooth and effective continuum of care, so that access can be provided in a timely fashion, the support from the top management was lacking.

- Management of personnel records allows consistency in information flow and reliable references for various uses.

5.2.2 Research question two: To what extent do existing personnel records management practices in MOLG support good governance?

Research findings revealed that:
- The existing personnel records management practices in the MOLG largely do not support good governance.
- MOLG lacks proper Records Management systems and practices which have resulted in poor record-keeping, poor filing, ineffective use of records and delayed decision making.

- The current state of personnel records unit has contributed to its inability to provide accurate records and information needed for quick and timely decision-making leading to poor service delivery and opening opportunities for corruption.

- Inadequate facilitation of staff working in personnel records unit in terms of budgetary and implementation of guidelines and circulars has impacted negatively on good governance.

- Lack of new infrastructure facilities in the personnel records unit; poor ventilation and immense dust which has accumulated on the records are some of the existing practices in MOLG.

- Accumulation of records due to unimplemented disposal procedures i.e. most of the personnel records have not yet been disposed because of failure to adhere to the laid down procedures.

- Lack of implementation of the guidelines on the management of personnel records such as (Cap. 19), National Policy on Records Management and the DPM Circular on Personnel records to mention a few.

- Absence of budgets dedicated for records management functions which has led to many activities not undertaken

- Failure to strictly comply with the available records monitoring tools by the RMOS and action officers leading to delays in tracking and retrieval of required records

However, some personnel records management practices in the MOLG support good governance such as:

- The MOLG is in the process of computerizing all personnel records at the Ministry/Department headquarters, Provinces and Districts. This will be done with

the help of the Ministry of State for Public Service which has developed a Registry

Management and Workflow system to be rolled out to all Ministries/Departments.

5.2.3 Research question three: What role does ICT play in the management of personnel records in support of good governance?

The research findings revealed that ICT plays pivotal role in the management of personnel records by:

- Ensuring that an appropriate system is put in place that is capable of managing and linking all the records relating to particular individuals, including emails, forms, paper and digitized records so that, in effect, each employee has a virtual file.

- Ensuring computerization enables information to be shared more easily leading to easy retrieval of information thus enhancing good governance.

- Ensuring quality, reliability and accuracy of information is provided by the appropriate personnel records system for timely and enhanced decision making which in turn supports good governance.

- Ensuring that electronic records in all electronic systems remain accessible by migrating them to new hardware and software platforms when there is a danger of technological obsolescence.

- Ensuring that personnel records are properly managed, protected and appropriately preserved for as long as they required for official business

- Ensuring that the backup files for the electronic records, e-mail system as well as the digitized personnel records are recognized as being part of the overall records management system and are stored in a secure off-site environment.

5.2.4 Research question four: What legal framework informs the activities of managing personnel records and good governance in the MOLG?

The management of personnel records is guided by various legislations and circulars such as:

- Public Archives and Documentation Service Act, (Cap.19, laws of Kenya) revised 1991

- The Employment Act Chapter 226, revised in 1977 and 2007

- The Regulation of Wages and Conditions of Employment Act Chapter 229.

- Income Tax Act Chapter 470 revised 1989.

- The National Social Security Fund Act Chapter 258 revised 1989.

- The Service Commission Act Chapter 185 of 1967.

- DPM.12/6A VOL.I (71) dated 12th March 2008 on the destruction of personnel records.

5.2.5 Research question five: How can personnel records be effectively managed in support of good governance?

The recommendations highlighted by the respondents on the management of personnel records shows how personnel records can be effectively managed in support of good governance:

- Enforcement and regular review of circulars and legislations in line with the new constitution especially on the disposal of personnel records.

- All seminars/workshops organized should incorporate a module on records management to enable officers at all levels to appreciate the importance of personnel records in service delivery.

- Computerization of personnel records to allow easy tracking of files and access to information.

- Training of personnel records staff on records management in order to improve performance.

- Budgetary provision to facilitate in records management programmes such as training, seminars and workshops as well as provision of storage facilities, equipment and adequate space.

- Implementation of the retention and disposal schedules.

- Reviewing and updating filing systems and the files index for efficient management and retrieval of information.

- Proper management of personnel records since they form a basis by which individuals can claim their rights.

- Enforcement of security measures in the management of personnel records.

- Support and cooperation from senior management to the records officers when complying with record keeping policy, regulations and procedures.

5.3 Conclusion

The study revealed that the management of personnel records during their continuum played an important role in supporting legitimacy, accountability and transparency. However, from the observations and interviews carried out from the different categories

of respondents, it was found out that there were many challenges encountered in the management of personnel records during their continuum. There were lapses in the way the records were created, organized, maintained and preserved thus compromising the element of good governance. It can be concluded that: there was inefficiency and ineffectiveness in the way personnel records were being created, organized, maintained and disposed hence affecting good governance.

Respondents observed that management of personnel records had a direct impact on good governance. One of the respondents pointed out that "*personnel information can be used to know how many staff exists in an organization and therefore easy to plan for them in terms of remunerations, training and development needs".* This information can be used effectively in decision making which is attributed to good governance. Well managed records are seen as a foundation for good governance and personnel records served both to document the policies, transactions and activities of government and to provide a trusted source of information to support decision-making and accountability.

The study findings further revealed that there is lack of proper management of personnel records in the MOLG to support good governance. Therefore, it can be concluded that personnel records in MOLG do not support good governance as there are no proper ways in place to effectively manage these records. As a result employees are denied a chance to demand for their rights such as pension, social security payment dues.

The findings showed that most of the respondents were aware of the legal framework for managing personnel records and cited the Public Archives and Documentation Service

Act, (Cap.19, laws of Kenya) and DPM.12/6A VOL.I (71) dated 12th March 2008 on the destruction of personnel records. The interview conducted and from the observation made, it was clear that KNADS had not made adequate effort to ensure that disposal of records from MOLG had been carried out. This was evident from the many non-active records that had been appraised but not yet destroyed in the MOLG due to lack of initiative from the records personnel staff. Further observation showed that there was no retention and disposal schedule in place and that KNADS had not assisted the MOLG to come up with a proper retention and disposal schedule which can assist in decongesting the personnel records unit and create space for the active records. Further findings of the study revealed that the KNADS staff had not created awareness among the Records management staff on the procedures for disposal. This was largely because the KNADS staff were overwhelmed with other duties in the archival institution and the shortage of manpower at the KNADS. From the findings it can be concluded that MOLG lacks proper procedures and guidelines for the management of personnel records which impacts negatively on good governance.

Research findings revealed that ICT plays a vital role in the management of personnel records in MOLG in support of good governance. The capturing of personnel files details e.g. personal number, designation and employees names enables easy access and retrieval of information and saves time in searching for certain information manually thus enhancing service delivery in MOLG. The researcher observed that the MOLG lacked the relevant software for managing personnel records. Further, there were plans to procure the software and train staff on the system, the lack of support from the top level was also

eminent. This looked to be a demotivating factor among the records staff. Based on the study findings, it can be concluded that computerization of personnel records in MOLG relies on paper records which are incomplete and fragmented and hence difficult to automate the records to give meaningful data. Little has been done to capture the personnel records comprehensively due to lack of the relevant software. This has impacted negatively on good governance.

From this study, all the respondents cited various challenges faced in the management of personnel records. There are no professionally trained records managers in the personnel records unit as cited by all HODs. The HROs cited wrong indexing of letters especially the personnel subject files and the failure of the action officers to fully utilize the file movement registers which according to them led to difficulty in tracing and tracking of files. RMOs and the clerical officers cited challenges faced in the management of personnel records such as poor file classification and indexing; lack of senior management support; lack of systems, policies and procedures to ensure that records are well organized and accessible; poor storage equipment for storing records and congestion in the records unit; poor environmental and working conditions for staff working and records; and budget constraints. KNADS cited accumulation of records due to unimplemented disposal procedures; lack of adherence to the DPM circulars on the management of personnel records and outdated archives legislations as challenges faced in the management of personnel records. ICTs cited inadequate communications and sustainable technical support; lack of awareness and mindset among staff leading to unqualified resistance and wanting to be stuck to the old ways of handling records; lack

of top level management commitment thus bringing forth bureaucracies and red-tape in system implementation; lack of backups and lack of the relevant software to be used in computerization of personnel record. Therefore it can be concluded that incomplete personnel files and missing information was a significant cause of delay in dealing with personnel issues; personnel files are not well kept; storage rooms are often overcrowded and security inadequate; indexing procedures are not always in place and file tracking systems are often lacking; personnel records unit has no means of finding who has a file at any particular time, and files cannot be retrieved without a major search being launched resulting into large amounts of staff time being wasted which lead to ineffective and inefficient decision making hence poor governance.

In conclusion, the study findings have revealed that there has been poor management of personnel records in MOLG hence no support for good governance. This has been emphasized in the research problem in that lack of clear guidelines and procedures in the management of personnel records and senior management support seemed to be bottle necks in ensuring the proper management of personnel records in support of good governance. Lack of enough trained manpower in the personnel records unit and budget constraints affect the management of personnel records in the MOLG. All these have impacted negatively on good governance. From the findings it can be concluded that MOLG does not have an appropriate system for managing the personnel records hence good governance is compromised.

5.4 Recommendations

The study findings revealed that the MOLG faced challenges in management of personnel records and weakness in personnel records management which undermine good governance. Therefore, based on the findings and conclusions of the study, the following recommendations are made to the MOLG and the Public Service as a whole for enhancing good governance in the management of personnel records:

5.4.1 Capacity building for Records Management Officers

The study revealed that the most of the staff working in personnel records unit have not acquired professional training in the area of records management and that majority of them have re-designated from other cadres to the line of RMOs and they are not well conversant with regulations and procedures of records management. Therefore, the MOLG should ensure that the records personnel are provided with the necessary support through training and retraining on records management courses; by conducting seminars/workshops which will help them to sharpen their skills and build their competencies and as a result improve their performance in records management. There is an increasing need for skilled records professionals to manage the complex records systems required to support the management of the interface between paper and electronic records systems and to address the records issue involved in managing electronic document systems.

DPM in consultation with the Permanent Secretary of MOLG should ensure that all seminars/workshops organized at anytime in the public service incorporates a module on

records management to enable officers at all levels appreciate the importance of records in service delivery. In addition to this, Permanent Secretary of MOLG should ensure that Human Resource Office in charge of training factor in and prioritize records management training for the staff working in records management units in their annual training projections and sponsorship. The HODs should ensure that induction courses for newly employed staff and those officers who have been transferred to MOLG are made mandatory in order to provide them with proper understanding on the operations of records units for effective service delivery.

5.4.2 Retention and Disposal Schedules

The study revealed absence of disposal and retention schedule to facilitate preservation or destruction of records which has led to accumulation of non-current personnel records unit. Therefore, records retention and disposal schedule should be developed in consultation with KNADS to ensure that records are not overflowing in the records units. HODs and staff directly involved in disposal of files/records should be sensitized to acquaint them with policy procedures and guidelines for disposal, these includes legislation and circulars on policies relating to disposal of records for example the Public Archives Act Cap. 19 and DPM Personnel General Letter No.1/2008 of 12th March, 2008 regarding destruction of personnel files. The RMOs should establish retention schedules from the records inventory lists to indicate retention periods for individual records.

5.4.3 Review of archival legislation and DPM circulars on records management

The findings of the study revealed that though KNADS play a key role in advising Ministries and Departments on the management of personnel records in the various stages, much has not been achieved due to the fact that most of the records and archives legislations are outdated and there is need to amend them. Some of these legislations were enacted many years ago and time has passed by to the extent that there are many changes that require the Acts to be reviewed in order for them to be in tandem with the changes that have come to effect over time. Following the promulgation of the Kenyan Constitution in 2010, there are many changes in the way information should be managed including disclosure of information. Currently information has been categorized by the Government in terms of top secret, secret, confidential and restricted. Chapter 4 article 35 of the constitution on accesses to information states that: Every citizen has the right of access to information held by the state and every person has the right to the correction or deletion of untrue or misleading information that affects the person. Therefore, the Director of National Archives and Documentation Service should initiate the review of the Public Archives and Documentation Service Act (Cap. 19) in order to align it with the constitution and to allow electronic records to be considered acceptable evidence in a court of law. At the same time, DPM should ensure that circulars governing management of human resource records are reviewed regularly so as to clear out the discrepancies that have occurred over a time. KNADS in liaison with RMOs should ensure implementation of sound records management programs which provides MOLG and the Public Service as a whole with a high level of security, more practical requirements such as correct record

storage, accurate dissemination of information, efficient retrieval of information, formalized standards and procedures, appropriate retention and disposal strategies in addition to ensuring legislative and regulatory compliance.

5.4.4 Role of ICT in the management of personnel records

The findings revealed that there has been conflict between the ICT staff and RMOs because the records managers feel that they are never involved in the planning, designing and implementation of the electronic records management system. Therefore, there is need for RMOs to play the major role as far as computerization of personnel records is concerned. This is because they are conversant on the information which needs to be captured in the system. The ICT staff and the RMOs in the MOLG should establish a reliable link between the information held on paper and the information held in the computer, such as the national identity number or the Personal Identification Number. Since automated personnel systems rely heavily on personnel records stored in the personnel records unit as the only authentic, reliable and legally valid source of most of the data required for the system, the need for efficient management of paper-based records by RMOs is paramount if the personnel management information system is to be considered and made reliable. Personnel Paper records are essential at all stages of information processing: firstly, for ensuring that the source data are accurate and reliable; secondly, for checking that the data have been input on the computer correctly; thirdly, to recover in the case of data corruption or failure; and, finally, to reconcile discrepancies between different computer systems. Therefore, there is need for ICT staff and RMOs to ensure that personnel records in all formats are given special attention and care for them

to be reliable for accountability purposes and good governance. ICT staff should provide proper software that will be able to capture all the information required from the personnel records. Backup systems and challenges associated with technological changes needs to be looked into before computerization of personnel records can be effected.

DPM should be able to fast track the rolling out of Integrated Records Management System to all Ministries/Departments. This will provide relevant, complete, accurate, uniformity and timely information to the customers and public sector which will improve the quality and availability of information.

5.4.5 Implementation of records management policy

The study revealed lack of National records management policy. Though the policy has been developed in Kenya it has not been implemented. The purpose of the policy is to provide guidance in the management of records from creation to disposal and to facilitate standardization in the application of procedures and practices in records and archives management.

This can be compared with the international standard for the development of records management programmes, ISO15489-2 *Information and Documentation-Records Management-Part II*, which emphasizes the importance of records management policies and support for records management from senior management of an organization (International Standards Organization (ISO:2001).The International Standard emphasizes the importance of having a records management policy to achieve good recordkeeping and good governance. It is against this background that there is need for the policy on

records management to be implemented so as to provide guidance in the management of records from creation to disposal and standardization in the application of procedures, systems and processes in all Government Ministries/Departments. The implementation of the National records management policy will enhance good governance because records will be managed in a systematic way by following the laid down procedures and practices. Having a records management policy helps staff to understand the importance of managing records well, and sets the broad standards that staff should follow to achieve good records management.

5.5 Proposed model/framework for management of personnel records in the Ministry

The study recommends a model/framework that could be used to ensure appropriate personnel records management in MOLG in support of good governance. The model/framework has been adapted from existing models on records management such as: The Records Continuum Model developed by Frank Upward and the Integrated Records Management Model advanced by Roper and Millar (1999). The recommended model/framework identifies new issues which are not captured by Upward's Records Continuum Model and which could be of much help to the MOLG and other Government Ministries/Departments in order to practice good personnel records keeping for good governance.

There are seven proposed steps in this model/framework to be followed in the management of personnel records in the MOLG which will assist in enhancing good governance as shown in Figure 5.1.

Figure 5.1: Proposed model/framework for Personnel records management in the MOLG

Step 1	Step 2	Step 3	Step 4	Step 5	Step 6	Step 7
Functional analysis	Assignment of responsibilities	Risk management and security of records	Conducting regular Records survey	Design of a system for personnel records	Training and staff development	Monitoring, evaluation and reviewing
• Identification of types of personnel record • Records created	• RMOs • ICT staff • HRMOs • HODs • KNADS staff	• Safeguarding records • Conducting a risk analysis	• Identification and location of information • Importance of records survey • Retention & Disposal Schedules	• Meets organizational requirement • Supports personnel records keeping • Comply with the legislation	• Building capacity through training, workshop and seminars • Sensitization of staff • Induction programme	• Regular monitoring and reviewing of policies, procedures & archival legislation • Staff assessment

5.5.1 Step 1: Functional Analysis

This step will ensure information received will be analyzed according to the purpose or function for which the records were created.

- Functional analysis provides a relationship between organization's business and its records

- Creation of records

- Identification of types of personnel records

- Protection of personnel records.

- Provides effective and efficient management of personnel records to enhance good governance.

5.5.2 Step 2: Assignment of responsibilities

This process is meant to ensure that various players such as RMOs, ICT staff, HROs, KNADS staff, training unit and HODs know their roles in the management of personnel records so that these records can be kept for as long as they are needed for administrative, accountability and historical purposes.

- Heads of Department, RMOs and KNADS must ensure that staff are aware and understand the   policies and procedures for managing personnel records.

- Training Unit must ensure that all staff are sensitized on the importance of managing personnel records.

- ICT staff and RMOs must play a key role in computerization of personnel records e.g. choosing the right software, capturing in the system the relevant information and protection of personnel information from inappropriate access or destruction.

5.5.3 Step 3: Risk management and security of records

The organization should ensure maintenance and proper safeguarding of the records by:

- Protecting the records against unauthorized access, malicious destruction and alteration.

- Preventing leakage of information which is classified as restricted, confidential, secret or top secret.

- Protecting records against fire, water, physical and biological damage.

- Conducting a risk analysis in order to analyze and evaluate potential hazards and therefore to take protective measures.

5.5.4 Step 4: Conducting regular records survey

A records survey is a systematic exercise to locate and identify all the records held by a particular business area.

- Identification and location of information contained in personnel records is critical for the operation of the organization. Identification of records that are valueless and which should be destroyed immediately.

- Carrying out a record survey ensures that an organization does not spend resources on keeping unnecessary records.

- Information obtained from the survey facilitates information sharing throughout the organization and also help to identify those records or information that could be consolidated, and also the elimination or reduction of duplicated information.

- Measures required to protect the records from loss, damage, etc

- To draw up retention and disposal schedules

- To comply with the various legislations and policies

5.5.5 Step 5: Design of a system for personnel records management

• Design a system which meets the organization strategies and the requirements of public records legislation.

• Ensure that the system supports personnel record keeping processes.

• Ensure that the system is easily understood and can be used effectively by the users.

5.5.6 Step 6: Training and staff development

Building the capacity of staff is the cornerstone of any organization's ability to address issues pertaining to their core functions.

- Workshops and seminars should be conducted for personnel records staff and users of records in order to enhance their skills in records management.

- Training of RMOs and the other personnel working in the records units in courses related to records management will equip them with the necessary skills to enable them to carry out their records management functions properly.

- All staff in the MOLG should be sensitized on the importance of personnel records, and the development of skills used in the processes for creating, using, managing and

preserving official records, throughout their life, while enhancing fast retrieval of documents in response to the demands of both internal and external customers.

- Induction of the newly recruited employees on records management policies and procedures.

5.5.7 Step 7: Monitoring, evaluation and reviewing

This step analyses the monitoring and evaluation, and review of personnel records management policies, procedure and practices. Continuous monitoring of personnel records management in support of good governance requires:

- Regular review of the policies, procedures and legislations on personnel records in consultation with the National Archives to ensure that they remain relevant to all government bodies.

- Senior officers who are responsible for recordkeeping in MOLG should regularly monitor their compliance with these policies and procedures.

- Carrying out staff assessment in order to find out if they understand the importance of personnel records management and provide training where necessary.

5.6 Suggestions for further research

The study proposes the following areas for further research.

5.6.1 Research in the management of personnel records in Local Authorities

This study limited itself to MOLG headquarters. There is need to conduct a similar study in Local Authorities (LAs) to determine how the personnel records are being managed for comparison purposes. According to the report on Streamlining the Operations of Registries in Government Ministries/Departments and LAs for improved service Delivery (2003), it was found out that he Local Authorities records management practices were pathetic, therefore the proposed study should be carried out to determine whether there are any improvements made in the management of personnel records in support of good governance in the LAs.

5.6.2 Role of ICT in the management of personnel records

This study indicated that there are many challenges in automating personnel records held in paper form. Therefore, there is a need to evaluate in greater detail the consequences of computerization of personnel records, challenges associated with the management and use of existing paper-based personnel information. There is also a need to consider the means of giving greater emphasis to information management alongside information technology. This information will make a contribution to effective human resource management.

5.6.3 Research in other Government Ministries

A similar study should be carried out in the other Government Ministries to establish the current state of the management of personnel records in support of good governance. The

study findings will lead to enactment of the best practices in the management of personnel records in support of good governance and at the same time improvement on the management of personnel records.

5.6.4 Management of personnel records in the private sector

There has hardly been any research undertaken on the management of personnel records in support of good governance in the private sector in Kenya. Therefore, there is need for more extensive research to investigate the status of personnel records management in support of good governance in the private sector.

5.6.5 Research to the management of sectoral records in MOLG

This study was confined to investigate the management of personnel records in support of good governance. It is recommended that similar studies should be carried out to establish the state of current records such as administrative, financial and procurement records in the MOLG.

5.6.6 Research in personnel records and service delivery

The scope of the study was only limited to the management of personnel records in support of good governance. Therefore, there is need for further studies to reveal the current state of personnel records management at MOLG and its impact on service delivery which will directly impact on efficiency and effectiveness in service delivery.

REFERENCES

An, X (2001). A Chinese View of records Continuum Methodology and implications for Managing Electronic records. Available: http://www.celdeson.com/RIMOS/xanuum.html. Accessed 18 June 2009

Annual Report 2007/2008. Prevention programmes

Available: http://www.kacc.go.ke/WHATSNEW.ASP?ID=144. Accessed 10 June 2009

Atherton, J. (1985). From Life-Cycle to Continuum: Some thoughts on records Management-Archives Relationship Archivaria 21:41-51. Available: http://journals.sfu.ca/archivar/index.php/archivaria/article/viewFile/11233/12172 Accessed 12 June 2009

Bantin, P. (2002). *Electronic Records: A review of a Decade and a Reflection of Future Directions*. In Kent, A. and hall, C. (eds). *Encyclopedia of Library and Information Science Vol. 74. New York: Marcell Dekker. Pp. 47-81*

Bearman, D. (1994). Electronic evidence: strategies for managing records in contemporary organizations, Pittsburgh: Archives and Museum Informatics Available: http://www.archimuse.com/publishing/electronic_evidence/ElectronicEvidence.Intro.pdf. Accessed 20 June 2009

Bourner, T. (1996). The research process: four steps to success, in Greenfield, T. (ed), Research methods: guidance for postgraduates, Arnold, London.

Cain, P. (1996). Records as a Basis for Human Resource Management: Creating an Integrated Paper and Electronic System
Available: http://www.acarm.org/documents/basis.pdf. Accessed 23 June 2009

Cain, P. and Thurston, A. (1997). Personnel Records: A Strategic Resource for Public Sector Management. Available: http://www.irmt.org/documents/research_reports/personnel/IRMT_personnel_recs.PDF. Accessed 18 June 2009

Cohen, L., Manion, L. and Morrison, K. 2007. *Research methods in education. 6th ed.* London: Routledge Falmer.

Data Protection Act 1998 (DPA).Personnel Records and Data Protection Available:http://www.dfpni.gov.uk/4.01-personnel-records-and-data protection.pdf). Accessed 11 July 2012

Dooley, D. *Social Research Methods 3rd Edition*. New Delhi: Prentice Hall of India, 2004

Duranti, L. (1998) Diplomatics: *New Uses for an Old Science* (Scarecrow Press, 1998), *(p.74).*

Duranti, L. (2001). *"Concepts, Principles, and Methods for the Management of Electronic Records" in the Information Society Vol. 17, pp. 271-279.*

Dzandu, S. (2009). Record-Keeping: Key to good governance Available: http://www.modernghana.com/news/208439/1/record-keeping-key-to-good-governance.html.Accessed 20 June 2009

Flicke, U. (2006*). An Introduction to qualitative Research (3rd ed.) London: Sage*

Government Financial Regulations Chapter 23 (1989) Nairobi: Government Printer

Government of South Australia (2009).Records Life Cycle. Available: http://www.decs.sa.gov.au/rmp/pages/cg0000941/welcome/. Accessed 15 July 2009

Graziano, A.M. and Raulin, M.L. (2007) *Research Methods: a process of inquiry. 6th ed. Boston: Pearson A & B.*

Guidelines for Staff Official Personnel Files 1996-2009. Available: //hrwebberkeley.edu/tools/pfileqa.htm. Accessed 13 July 2012

Hart, C. *Doing your Masters Dissertation: Realizing your potential as a social scientist. New Delhi, Vistaar Publications, 2005.*

Hofman, H. (1998). "*Lost in cyberspace: where is the record*?" in K. Abukhanfusa (Ed.), *The concept of record: report from the Second Stockholm Conference on Archival Science and the Concept of Record, 30-31 May 1996 (pp. 115-129),* Stockholm: Swedish *National Archives.*

Hamooya, Chrispin (2006). Records and Good Governance: Running away from accountability. The case of Zambia Esarbica Journal Volume 25. Available: http://ajol.info/index.php/esarjo/article/view/31006. Accessed 20 June 2009

Hughes, J. M. (2008). "*The Performative Pull of Research with New Media" In International Journal of Qualitative Methods. Vol.7 No.2 Pg 16-34.*

International Council on Archives (1997) *Committee on Electronic Records.* Guide for Managing Electronic Records from an Archival Perspective *(p. 22).*

International Foundation for Election Systems (2002). Good Governance. Available: http:// www.ifes.org/governance/description.htm. Accessed 16 June 2009

International Standard ISO 15489-1 (2001). *Information and Documentation-Records Management Part-1: General. Geneva: ISO.*

International Standard ISO15489-2 (2001) - *Information and Documentation-Records Management-Part II: General. Geneva: ISO.*

International Records Management Trust (2009) Training in Electronic Records Management. Glossary of Term Available: http://www.irmt.org/doc. Accessed 25 June 2011.

Kemoni, H. and Ngulube, P (2007). *National Archives and the Effective Management of Public Sector Records in Kenya. MOUSAION 25 (2): 120-140*

Kemoni, H. (2008). Theoretical Framework and Literature Review in Graduate Records Management Research. *African journal of Library, Archives and Information Science.* Vol.18 (2) October, 2008

Kombo, D.K and Tromp D.L.A (2006). *Proposal and Thesis writing: an introduction. Pauline's Publications (Nairobi)*

Kothari, C.R. (2004). *Research Methodology: Methods and techniques. New Delhi: New Age International (P) Limited Publishers.*

Lewins, A., Taylor, C, and Gibbs, G. R.(2005). What is Qualitative Data Analysis (QDA) Available: http://www.onlineqda.hu.ac.uk Accessed 20 August 2009.

Lyons, K. (2005). How to conduct a Literature Review. Available: http://www. library.ucsc.edu/ref/how to/literaturereview.html. Accessed 16 July 2009

Marion L. N. (2003). Records management: the key to good governance and Sustainable development. Available: http://www.ahm.uem.mz/esarbic/docs/marion.pdf. Accessed 16 June 2009

McKemmish, S. (1998). Yesterday, Today and Tomorrow: a Continuum of Responsibility. Available http://www.infotech.monash.edu.au/research/groups/rcrg/publications/recordscontinuum-smckp2.html Accessed 27 October 2009

Millar L. (1997). *Principles of Records and Archives Management. London: ICA/IRMT*

Millar, L. (2004). Authenticity of electronic records in a report prepared for UNESCO and the International Council on Archives (ICA Study 13-2). Paris: International Council on Archives. Available: http://www.ica.org/biblio/Study13 2 Erev.pdf Accessed 24 June 2009.

Millar L. (2009). *Managing personnel Records in an Electronic environment Module 5-London (IRMT).*

Ministry of Local Government (2007). *Information, Education and Communication Strategy for Ministry of Local Government. Horizon Communications Ltd-Kenya*

Ministry of State for Public Service (2005).Integrated Payroll and Personnel Database (IPPD) initiative. Available: http://unpan1.un.org/intradoc/groups/public/documents/AAPAM/UNPAN032705.pdf. Accessed 26 June 2011

Ministry of State for Public Service (2009): *Permanent Secretary, Ref. No. MSPS.12/6A VOL.11 (21) of 20th May 2009 on Development of a Registry Management and Workflow system*

Mnjama, N (1996). *National Archives and the Challenges of Managing the Entire Life-Cycle of Records. South African Archives Journal, 38:24-32*

Mnjama N (2001). *The Management and Preservation of Personnel records in ESARBICA members' states. Records Management Journal Vol 11: (Issue 2) Pg 111-120*

Mnjama N and Wamukoya J (2007). *E-government and records management: an assessment tool for e-records readiness in government. The Electronic Library Journal Volume: 25: 3 Year: 2007 pp: 274-284*

Mugenda and Mugenda (2003). *Research Methods: Qualitative and Quantitative Approaches. Revised ed. Nairobi: African Centre for Technology Studies (ACTS).*

Mugo, F. W. (1995). Sampling in Research. Available at http://www.socialresearchmethods.net Accessed 17 August 2009

Musembi, M. (2005): Efficient record management as a basis of good governance Available: http://africa.peacelink.org/wajibu/articles/art_9633.html Accessed 17 May 2011

Nachmias, C. and Nachmias, D. (1996). *Research Methods in the Social Sciences. 5th ed. London: Hodder Education*

National Archives and Records Service of South Africa (2006). *Managing Electronic Records in Government Bodies: Policy, Principle and Requirements 2nd Edition*

Ngulube, P. (2001). "*Guidelines and Standards for Records Management education and Training: a model for Anglophone Africa" In Records Management Journal. Vol.11 no.3 pg.155-173*

Ngulube P. (2004). *Implications of technological advances for access to the cultural heritage of selected countries in sub-Saharan Africa Government Information Quarterly: Volume 21, Issue 2, 2004, Pages 143-155*

Ngulube P. and Tafor V. (2006). The management of public records and archives in the member countries of ESARBICA Journal of the Society of Archivists, Volume 27, pp. 57-83.

Nicholson, J. (2007) Human Resources: Maintaining Personnel Files for Every Employee Available: http://www.associatedcontent.com/article/219430/ human resources maintaining personnel files for every employee.html. Accessed 10 July 2012

Oberg L.M and Borglund, E (2006). *What are the characteristics of records? International Journal of Public Information Systems, Vol 2006:1, pp 55-76 (Sweden).*

Office of the President: (1985) Chief Secretary Circular OP.1/44A/66 of 28 November 1985 on Destruction of Non-current Government Records. Nairobi

Office of the President: (1991) Personnel General Letter No. 7 Permanent Secretary, Directorate of Personnel Management Circular DPM/PA/1/20/112 of 29 August1991 on Destruction of Personnel Records. Nairobi

Office of the President: (1999) Permanent Secretary to the Cabinet and Head of the Public Service Circular OP. 39/2A of 14 November 1999 on cases of Missing and Lost Files and Documents in the Public Service. Nairobi

Office of the President: (2003a) Permanent Secretary to the Cabinet and Head of Public Service Circular OP. 40/1/1/A on Improvement of records Management for Good Governance. Nairobi

Office of the President: (2003b) Directorate of Personnel; Management Circular DPM.4/10A on Streamlining the Performance of registries in Government Ministries, Departments, Local Authorities, Provinces and Districts. Nairobi.

Office of the President: (2008) Personnel General Letter No.1 /2008 Permanent Secretary in the Ministry of State for Public Service DPM. 12/6A Vol.1 (71) of 12 March 2008 on Disposal of Personnel Records. Nairobi

Palmer Marlize, (2000). *Records Management and accountability versus corruption, fraud and maladministration Journal: Records Management Journal Vol. 10 Issue 2 Page 61-72*

Penn, I., Pennix G. and Coulson, J. (1994). *Records Management Handbook. Aldershot: Gower*

Piggot S (2002). *Evidence- Based Governance in the Electronic Age" paper presented at the Thirty-Second Annual Conference of the Association of Caribbean University, Research and Institutional Libraries, Jamaica, May 27- 1ˢᵗ June, p.1*

Punch, K.F (2005). *Introduction to Research: Qualitative and Quantitative Approaches. (2ⁿᵈ ed.) Calif: Sage*

Presidential Circular. No. 1 of September 2004 on the Organization of the Government of the Republic of Kenya.

Republic of Kenya (2005). *Ministry of Local Government: Strategic Plan: 2004- 2009*

Resnik, D. (2007). *What is Ethics in Research & Why is It Important? U.S.A National Institute of Environmental Health Sciences.*

Roper, M. and Millar, L. (1999a).*Managing Personnel Records Produced by the International Records Management Trust: London*

Roper, M. and Millar, L. (1999b). *Managing Financial Records, London: International Records Management Trust, p.8*

Roper, M. and Millar, L. (1999c). *The Management of Public Sector Records: Principles and Context. London*

Schenkelaars Fred and Ahmad Imram (2004).Transparency and accountability in the public sector in the Public Sector in the Arab Region: Access to Information, Transparency and Accountability.
Available:
http://unpan1.un.org/intradoc/groups/public/documents/UN/UNPAN007714.pdf Accessed 28 June 2009

Seaman, J. (2008). *"Adopting a Grounded Theory Approach to Cultural-Historical Research: Conflicting Methodologies or Complementary Methods"In International Journal of Qualitative Methods. Vol.7 no.1 pg 1*

Sekaran, U. (2006). *Research method for business: A Skill Building Approach. 4ᵗʰ ed. New Delhi: John Wiley and sons.*

Shamoo, A. and Resnik, D (2003). *Responsible Conduct of Research*. New York: Oxford University Press

Shepherd, E. and Yeo, G. (2003). *Managing Records: A Handbook of Principles and Practice. London. Facet Publishing*

Southern Illinois University Edwardsville (2009). Records Management-Benefits Available: http://www.siue.edu/records/benefits.shtml.Accessed 30 June 2009

State of New South Wales (2003). Recordkeeping In Brief 24 - Managing personnel records. Available: http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/guidance/recordkeeping-in-brief/recordkeeping-in-brief-24 Accessed 19 June 2009

The Employment Act cap 226 Laws of Kenya 1977, 2007 (Revised). Nairobi: Government Printer.

The Freedom of Information Bill, 2007 Kenya Government Printers (2007) Printed and Published by the Government Printer-Nairobi

The National Social Security Fund Act Cap 258 Laws of Kenya (Revised) 1989. Nairobi: Government Printer.

The Public Archives and Documentation Service Act Chapter 19 revised 1991. Government Printer (2003) Printed and Published by the Government Printer-Nairobi.

The Regulations of Wages and Conditions of Employment Act Cap 229 Laws of Kenya. Nairobi: Government Printer.

The Service Commission Act Cap 185 Laws of Kenya 1967 (Revised). Nairobi: Government Printer.

Thomassen, T. (2001). "*A First Introduction to Archival Science", in Archival Science vol. 1, pp. 373-385*

Thompson, S. (2007) what you should know about employee personnel records. Available: http://www.associatedcontent.com/article/96644/what you should know about employee personnel records.html. Accessed 10 July 2012.

United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP) (2003). What is Good Governance? Available: http://www.unescap.org/huset/gg/governance.htm Accessed 18 September 2009.

United Nations Paper (2006). What is Good Governance? Available: www.unescap.org/huset/gg/governance.htm. Accessed 10 June 2011

University of Michigan (2004). Definition of personnel records. Available: http://www.ogc.umich.edu/faq_personal.html. Accessed 11 June 2011.

Upward, F. (1998). Structuring the Records Continuum- Part one: Post-custodial principles and properties. Available: http://www.sims.monash.edu.au> Accessed 18 June 2009

Upward, F. (2000). *Modelling the continuum as paradigm shift in record keeping and archiving processes and beyond - a personal reflection. Records Management Journal, 10(3) 115-139.*

Upward, F. (2004). *The records continuum and the concept of an end product. Archives and Manuscripts, 32(1), 40-62.*

Upward, F. (2005a). *Continuum mechanics and memory banks: (1) multi-polarity. Archives and Manuscripts, 33(1), 84-109.*

Upward, F. (2005b). The records continuum. In S. McKemmish, M. Piggott, R. Barbara & F. Upward (Eds.), *Archives: record keeping in society. (pp. 197-222). Wagga Wagga, Australia: Charles Sturt University, Centre for Information Studies.*

Wamukoya, J and Mutula, S (2005).*E-records management and governance in east and southern Africa: Malaysian Journal of Library & Information Science, Vol. 10, No.2, Pgs: 67-83*

Wato R (2003). *Challenges of Archiving Electronic Records: The Imminent Danger of a "Digital Dark Age" Document*

World Bank (2000a). Current Records Management, Poverty Reduction, and Corruption Control. Available: http://siteresources.worldbank.org/EXTARCHIVES/Resources/Briefing%20Notes.doc. Accessed 8 July 2009.

World Bank (2000b). Managing Records as the Basis for Effective Service Delivery and Public Accountability in Development: An Introduction to Core Principles for Staff of the World Bank and Its Partners. Available: http://siteresources.worldbank.org/EXTARCHIVES/Resources/Core%20Principles.pdf. Accessed 16 June 2009.

World Bank (2003). Controlling and Managing Personnel Costs Issue Paper 6. Available: http://www1.worldbank.org/publicsector/pe/final%20draft%20paper%20from%20KK.doc. Accessed 15 June 2009

World Bank (2009).Records management as a key support for development effectiveness Available: http://web.worldbank.org/WBSITE/EXTERNAL/EXTABOUTUS/EXTARCHIVES/0,,contentMDK:20033283~pagePK:36726~piPK:437378~theSitePK:29506,00.html. Accessed 10 July 2009

Yusof, Z. and Chell, R. (1999).*The Eluding Definitions of Records and Records Management. Is a Universally Accepted Definition Possible? Part 2: Defining Records Management. Records Management Journal 9 (1):9-20.*

Yusof, Z. and Chell, R. (2000). *The life cycle: an inadequate concept for technology-generated records. Information Development 16(3):135-141.*

Yusof, Z. M. and Chell, R. W. (2002). *Towards a theoretical construct for records management. Records Management Journal 12(2):55-64.*

Zina, O. (2004). *The essential Guide to doing research. New Delhi: Vistam Publication*

APPENDICES

APPENDIX 1: INTRODUCTORY LETTER TO RESPONDENTS

My name is Beatrice Chemutai Komen. I am a MSC student in the Faculty of Information Sciences (Moi University). I am conducting a research on management of personnel records in support of good governance in the Kenyan public sector: A case study of the Ministry of Local Government Headquarters in partial fulfillment for the requirements for Master of Science Degree in Records and Archives Management.

The study aims at examining the management of personnel records in support of good governance in the Ministry of Local Government Headquarters and proposes a framework for effective management of these records.

I have identified you as one of the respondents to the study. Information provided will be treated with utmost confidentiality.

For any query/clarification please contact me, Beatrice Chemutai on 0722-405332 or beatkomen@yahoo.com or my supervisor. Dr. Henry Kemoni on 0710-431730.

APPENDIX II

PROPOSED WORKPLAN/TIME

FRAMEWORK

Phase	Activities	Year 2009									Year 2010				
		April	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.	Jan	Feb	Mar	April	May
1	Developing research concept	▓													
2	Developing research proposal			▓	▓	▓									
3	Proposal defense & corrections						▓	▓							
4	Collecting data								▓	▓	▓				
5	Data organization, analysis and interpretation											▓			
6	Writing, typing, editing reporting, collating chapters & submission												▓		
7	Thesis defense													▓	
8	Corrections arising from defense and final submission														▓

APPENDIX 111

RESEARCH BUDGET

Item	Requirements	No. of items	Kshs.(Each)	Kshs. (Total)
1	Computer	1	Available	00.00
	Printer	1	12,500.00	12,500.00
	Stapler and pins	1	650.00	650.00
2	Printing Paper	10	400.00	4,000.00
	Flash disk	2	1,500.00	3,000.00
3	Spiral binding of research Proposal	4 Copies	250.00	1,000.00
4	Photocopying papers	10 reams	400.00	4,000.00
	Binding of Thesis	4 Copies	1,000.00	4,000.00
	5% Contingency			1,460.00
	TOTAL			**30,610.00**

APPENDIX IV

INTERVIEW SCHEDULE FOR HEADS OF DEPARTMENTS

SECTION A

Name of the Department…………………………..

Designation……………………………….

Working experience……………………………………

Gender: Male ☐ **Female** ☐

Date of Interview……………………………..

SECTION B

I) Management of personnel records during their continuum

1. Do you have a policy that guides personnel records management during their continuum in support of good governance? If Yes or No, Please explain

   ....

   ....

2. How do Personnel records support the functions of your department?

   ....

   ....

II) Personnel records and good governance

3. Do what extent do personnel records support good governance?

   ....

   ....

4. In what ways can personnel information be used to support human resource management and planning?

....

....

III) <u>The role of KNADS in managing personnel records</u>

5. Does the KNADS play any role in the management of personnel records? Please explain

………………………………………………………………………………………………

………………………………………………………………………………………………...

IV) <u>Appreciation of ICT in the management of personnel records</u>

6. Do you apply ICT in the management of personnel records in your Ministry? If yes or No, Please explain

………………………………………………………………………………………………………

………………………………………………………………………………………………………

7. In what ways can ICT facilitate the management of personnel records in support of good governance?

………………………………………………………………………………………………………

………………………………………………………………………………………………………

V) <u>Challenges faced in the management of personnel records</u>

8. Do you face any challenges in the management of personnel records in your Ministry? If yes or No, Please explain

………………………………………………………………………………………………

………………………………………………………………………………………………...

9. How do these challenges affect the use of personnel records in support of good governance?

…………………………………………………………………………………………………

…………………………………………………………………………………………………...

10. How do you cope with the challenges?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

VI) <u>**Recommendations**</u>

11. What recommendations can you provide to enhance the management of personnel records in support of good governance in MOLG?

APPENDIX V

**INTERVIEW SCHEDULE FOR RECORDS MANAGEMENT
OFFICERS**

SECTION A

Name of the Section…………………………..

Designation………………………….

Qualifications…………………………

Duties…………………………………………

Working experience………………………

Courses attended in the field of records management…………………......

Gender: Male☐ Female ☐

Date of Interview……………………………..

SECTION B

I) Management of personnel records during their continuum

1. How are personnel records being managed during their continuum?

……………………………………………………………………………………

……………………………………………………………………………………...

.

2. What are your responsibilities in the management of personnel records in your organization?

    …………………………………………………………………………………………

    …………………………………………………………………………………………...

II) <u>**Impact on management of personnel records on good governance**</u>

3. What is the significance of managing personnel records in the MOLG in terms of good governance?

    …………………………………………………………………………………………

    …………………………………………………………………………………………...

4. How do existing personnel records management strategies support good governance?

    …………………………………………………………………………………………

    …………………………………………………………………………………………...

III) <u>**Role of KNADS in the management of personnel records**</u>

5. What is the role of KNADS in the management of personnel records in MOLG?

    …………………………………………………………………………………………

    …………………………………………………………………………………………...

6. Has KNADS assisted in the management of personnel records in MOLG?
    If yes, how have they assisted your organization?

    …………………………………………………………………………………………

    …………………………………………………………………………………………...

7. Is there any legal framework for managing personnel records? If yes! Is it effectively administered?

    …………………………………………………………………………………………

    …………………………………………………………………………………………...

IV) <u>Appreciation of ICT in the management of personnel records</u>

8. Have personnel records been computerized in MOLG? If Yes or No, Please explain

………………………………………………………………………………………………

………………………………………………………………………………………………...

9. What role do you play in computerization of personnel records?

………………………………………………………………………………………………

………………………………………………………………………………………………...

V) <u>Challenges faced in the management of personnel records</u>

10. What are some of the problems you encounter in the management of personnel records?

………………………………………………………………………………………………

………………………………………………………………………………………………...

11. How do these challenges impact on the management of personnel records and good governance?

………………………………………………………………………………………………

………………………………………………………………………………………………...

VI) <u>Recommendations</u>

12. In your own opinion, what do you consider can be done to improve the management of personnel records in MOLG?

………………………………………………………………………………………………

………………………………………………………………………………………………...

13. What do you recommend on the training and staff development for personnel working in personnel registry?

....

....

APPENDIX VI

INTERVIEW SCHEDULE FOR CLERICAL OFFICERS

SECTION A

Name of the Section………………………..

Designation………………………….

Qualifications………………………………

Duties…………………………………………

Working experience…………………………

Courses attended in the field of records management…………………......

Gender: Male ☐ Female ☐

Date of Interview……………………………..

SECTION B

I) Management of personnel records during their continuum

1. How are personnel records created, used and maintained in your organization?

   ………………………………………………………………………………………

   ………………………………………………………………………………………...

2. What information should be captured on a personal file?

   …………………………………………………………………………………………………

   …………………………………………………………………………………………………

3. Why must personal files be protected and kept physically secure?

   …………………………………………………………………………………………………

   …………………………………………………………………………………………………

4. Do you have an appropriate appraisal system for personnel records? If yes, please explain.

   …………………………………………………………………………………………………

   …………………………………………………………………………………………………

5. How should documents be made accessible for use in order to protect them from loss or damage?

   …………………………………………………………………………………………………

   …………………………………………………………………………………………………

6. What is the purpose of a retention and disposal schedule for personnel records?

   …………………………………………………………………………………………………

   …………………………………………………………………………………………………

II) **Impact on management of personnel records on good governance**

7. Explain the importance of personnel records in support of good governance?

   …………………………………………………………………………………………………

   …………………………………………………………………………………………………

8. How do existing personnel records management practices support good governance?

   …………………………………………………………………………………………………

   …………………………………………………………………………………………………

III) <u>Role of KNADS in the management of personnel records</u>

9. What role does KNADS play in the management of personnel records in MOLG?

 …………………………………………………………………………………………

 …………………………………………………………………………………………

10. How has KNADS assisted the MOLG in appraisal and disposition of personnel records?

 …………………………………………………………………………………………

 …………………………………………………………………………………………

11. Is there any legal framework for managing personnel records? If yes! Is it effectively administered?

 …………………………………………………………………………………………

 …………………………………………………………………………………………

IV) <u>Appreciation of ICT in the management of personnel records</u>

12. Have personnel records been computerized in MOLG? If yes, what functions have been captured?

 …………………………………………………………………………………………

 …………………………………………………………………………………………

13. What role do you play in computerization of personnel records?

 …………………………………………………………………………………………

 …………………………………………………………………………………………

V) <u>Challenges faced in the management of personnel records</u>

14. Outline some of the challenges you face in the management of personnel records? How do you cope with the challenges?

 …………………………………………………………………………………………

 …………………………………………………………………………………………

15. How do these challenges impact on the management of personnel records and good governance?

………………………………………………………………………………………………

………………………………………………………………………………………………

VI) <u>Recommendations</u>

16. In your own opinion, what do you consider can be done to improve the management of personnel records in MOLG?

………………………………………………………………………………………………

………………………………………………………………………………………………

17. What do you recommend on the working conditions and staffing level for staff working in the personnel registry?

………………………………………………………………………………………………

………………………………………………………………………………………………

APPENDIX VII

INTERVIEW SCHEDULE KENYA NATIONAL ARCHIVES AND DOCUMENTATION SERVICE **STAFF**

SECTION A

Interview Schedule

Name of the Section…………………………..

Designation………………………….

Qualifications…………………………

Duties……………………………………

Working experience………………………

Courses attended in the field of records management…………………......

Gender: Male ☐ **Female** ☐

Date of Interview……………………………..

SECTION B

1. Do you play any role in the management of personnel records at the MOLG??

    …………………………………………………………………………………………

    …………………………………………………………………………………………

2. Does the KNADS provide guidance regarding management of personnel records? If Yes or No, Please explain

………………………………………………………………………………………………

………………………………………………………………………………………………

3. Do personnel records play any role in support of good governance in Kenya? If Yes or No, Please explain

………………………………………………………………………………………………

………………………………………………………………………………………………

4. What types of personnel records may be worthy of permanent preservation?

………………………………………………………………………………………………

………………………………………………………………………………………………

5. Is there a legal framework for a sound personnel records management programme? If yes, please explain.

………………………………………………………………………………………………

………………………………………………………………………………………………

6. Do you face any challenges in the management of personnel records? If Yes, Please explain?

………………………………………………………………………………………………

………………………………………………………………………………………………

7. How do you cope with the challenges?

………………………………………………………………………………………………

………………………………………………………………………………………………

8. What recommendations can you provide to enhance management of personnel record in support of good governance?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

9. What in your own views should be done to strengthen the current legal and legislative policies relating to the management of personnel records?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

APPENDIX VIII

INTERVIEW SCHEDULE FOR INFORMATION TECHNOLOGY OFFICERS

SECTION A

Interview Schedule

Name of the Section…………………………..

Designation………………………….

Qualifications………………………………

Duties…………………………………………

Working experience………………………

Gender: Male ☐ Female ☐

Date of Interview……………………………..

SECTION B

1. Is there a computerized personnel records management system in place? If yes, explain how it has been implemented?

   …………………………………………………………………………………………

   …………………………………………………………………………………………

2. How might computerisation affect the creation and retention of personnel records?

   ....

   ....

3. What issues must be considered when determining whether or not to computerize paper-based personnel records?

…………………………………………………………………………………………

…………………………………………………………………………………………

4. What is the role of ICT in the IPPD system and how does it relate to personnel records management?

…………………………………………………………………………………………

…………………………………………………………………………………………

5. How does the application of ICT in computerization of personnel records support good governance?

……………………………………………………………………………………………

……………………………………………………………………………………………

6. What initiatives have you made to computerize personnel records in the MOLG?

…………………………………………………………………………………………

…………………………………………………………………………………………

7. What extent has ICT been used in the management of personnel records in MOLG?

…………………………………………………………………………………………

…………………………………………………………………………………………

8. What measures have been put in place to ensure data integrity and security of personnel records?

…………………………………………………………………………………………

…………………………………………………………………………………………

9. What is the future application of ICT in the management of personnel records?

…………………………………………………………………………………………

…………………………………………………………………………………………

10. What are some of the challenges you encounter in the application of ICT in the

    management of personnel records? How do you cope with the challenges?

……………………………………………………………………………………………

……………………………………………………………………………………………

11. What do you recommend to be the most appropriate means of computerization of

personnel records in the MOLG?

……………………………………………………………………………………………

……………………………………………………………………………………………

APPENDIX IX

INTERVIEW SCHEDULE FOR HUMAN RESOURCE MANAGEMENT OFFICERS

SECTION A

Interview Schedule

Name of the Section…………………………..

Designation………………………….

Qualifications…………………………

Duties…………………………………

Working experience……………………………………….

Gender: Male ☐ **Female** ☐

Date of Interview……………………………..

SECTION B

1. What is the importance of management personnel records during their continuum?

 ………………………………………………………………………………………

 ………………………………………………………………………………………

3. How does the management of personnel records facilitate the human resource function?

....

....

4. How does the management of personnel records support good governance in the MOLG?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

4. Do you appreciate the role of ICT in computerization of personnel records? If yes, please explain.

…………………………………………………………………………………………………

…………………………………………………………………………………………………

5. What challenges do you encounter in the management of personnel records? How do you cope with the challenges?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

6. In your own opinion, what do you consider can be done to improve the management of personnel records in MOLG?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

APPENDIX X

INTERVIEW SCHEDULE FOR SECRETARIES

SECTION A

Interview Schedule

Name of the Section…………………………..

Designation………………………….

Qualifications………………………………

Duties……………………………………………

Working experience……………………………………….

Gender: Male ☐ **Female** ☐

Date of Interview……………………………..

SECTION B

1. How important is the management of personnel records in your Ministry?

………………………………………………………………………………………………

………………………………………………………………………………………………

2. How does the management of personnel records support good governance in the MOLG?

………………………………………………………………………………………………

………………………………………………………………………………………………

3. Do you appreciate the role of ICT in computerization of personnel records? If yes, Please explain.

…………………………………………………………………………………………………

…………………………………………………………………………………………………

4. What challenges do you face when handling personnel records? How do you cope with the challenges?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

5. What do you recommend to be the best way of managing personnel records in the MOLG?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

APPENDIX XI

INTERVIEW SCHEDULE FOR DPM STAFF

SECTION A

Interview Schedule

Name of the Section…………………………..

Designation………………………….

Qualifications………………………………

Duties………………………………………………

Working experience……………………………………….

Gender: Male ☐ Female ☐

Date of Interview……………………………..

SECTION B

1. What is the importance of management personnel records during their continuum?

 ……………………………………………………………………………………………
 ……………………………………………………………………………………………

2. Which stakeholders are involved in the management of personnel records?

 ……………………………………………………………………………………………
 ……………………………………………………………………………………………

3. What measures are the stakeholders taking to ensure proper management and care of personnel records?

………………………………………………………………………………………………

………………………………………………………………………………………………

4. How do personnel records support good governance?

………………………………………………………………………………………………

………………………………………………………………………………………………

5. What do you think is the role of the KNADS in ensuring proper management of personnel records?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

6. Is there any legal framework been used in the management of personnel records? If yes, how effective is it?

………………………………………………………………………………………………

………………………………………………………………………………………………

7. Have the circulars of Directorate of Personnel Management on personnel records management been effectively implemented in Government Ministries? Please explain its enforcement?

………………………………………………………………………………………………

……………………………………………………………………………………………

8. Does ICT have any role to play in the management of personnel records? If yes, please explain.

....

....

9. What are the challenges faced in the management of personnel records? How do you cope with the challenges?

 …………………………………………………………………………………………

 …………………………………………………………………………………………

10. What do you recommend about the management of personnel records in support of good governance in MOLG?

 …………………………………………………………………………………………

 …………………………………………………………………………………………

APPENDIX XII

OBSERVATION GUIDE

Date of observation…………………………

No.	Items to be observed	Details/Comments
1.	Access to information	
2.	How information is handled	
3.	Number of staff manning personnel records	
4.	The type of storage facilities	
5.	Conditions under which the records are being managed	
6.	The attitudes of the staff working in personnel records unit	
7.	Whether there is a retention/disposal schedule in place	
8.	Whether proper tools are used in the management of personnel records	
9.	Security level in managing personnel records	
10.	Record Tracking system	
11.	Mail Management (Registration of incoming and Outgoing Mail)	
12.	Retrieval Tools	
13.	The extent of computerization of personnel records	
14.	Others (Specify)	

REPUBLIC OF KENYA

NATIONAL COUNCIL FOR SCIENCE AND TECHNOLOGY

Telegrams:"SCIENCETECH", Nairobi
Telephone: 254-020-241349, 2213102
254-020-310571, 2213123.
Fax: 254-020-2213215, 318245, 318249
When replying please quote

P.O. Box 30623-00100
NAIROBI-KENYA
Website: www.ncst.go.ke

Our Ref:
NCST/RR1/12/1/SS/91/5

Date:
17ᵗʰ March, 2010

Ms. Beatrice Chemutai Komen
Moi University
P. O. Box 3900
ELDORET

Dear Madam,

RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on *"Management of Personnel Records in support of good governance in the Kenyan Public Sector: A case study of Ministry of Local Government Headquarters"* I am pleased to inform you that you have been authorized to undertake research in **Nairobi Province** for a period ending *30ᵗʰ November, 2010.*

You are advised to report the **Permanent Secretary Office of the Deputy Prime Minister & Ministry of Local Government, the Permanent Secretary Ministry of State for Public Service, Office of the Prime Minister and the Director Kenya National Archives** before embarking on the research project.

On completion of the research, you are expected to submit two copies of the research report/thesis to our office.

P. N. NYAKUNDI
FOR: SECRETARY/CEO

REPUBLIC OF KENYA

NATIONAL COUNCIL FOR SCIENCE AND TECHNOLOGY

Telegrams:"SCIENCETECH", Nairobi
Telephone: 254-020-241349, 2213102
254-020-310571, 2213123.
Fax: 254-020-2213215, 318245, 318249
When replying please quote

P.O. Box 30623-00100
NAIROBI-KENYA
Website: www.ncst.go.ke

Our Ref:
NCST/RR1/12/1/SS/91/5

Date:
17th March, 2010

Ms. Beatrice Chemutai Komen
Moi University
P. O. Box 3900
ELDORET

Dear Madam,

RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on *"Management of Personnel Records in support of good governance in the Kenyan Public Sector: A case study of Ministry of Local Government Headquarters"* I am pleased to inform you that you have been authorized to undertake research in **Nairobi Province** for a period ending *30th November, 2010.*
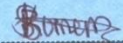
You are advised to report the **Permanent Secretary Office of the Deputy Prime Minister & Ministry of Local Government, the Permanent Secretary Ministry of State for Public Service, Office of the Prime Minister and the Director Kenya National Archives** before embarking on the research project.

On completion of the research, you are expected to submit two copies of the research report/thesis to our office.

P. N. NYAKUNDI
FOR: SECRETARY/CEO

APPENDIX XIV

RESEARCH PERMIT

PAGE 2

THIS IS TO CERTIFY THAT:

Prof./Dr./Mr./Mrs./Miss.... BEATRICE CHEMUTAI KOMEN

of (Address) .. MOI UNIVERSITY P.O. BOX 3900 ELDORET

has been permitted to conduct research in.............

..............................Location,

.... NAIROBI ....District,

.... NAIROBI ....Province,

on the topic.. MANAGEMENT OF PERSONNEL RECORDS IN SUPPORT OF GOOD GOVERNANCE IN KENYAN PUBLIC SECTOR:A CASE STUDY OF MINISTRY OF LOCAL GOVERNMENT HEADQUARTERS.

for a period ending.. 30TH NOVEMBER 20.. 10

PAGE 3

Research Permit No.... NCST/RRI/12/SS/91

Date of issue.... 17.03.2010

Fee received.... SHS 1,000

Applicant's
Signature

Secretary
National Council for
Science and Technology