

**ANALYSING THE MANAGEMENT AND USE OF PERSONNEL RECORDS
IN UASIN GISHU COUNTY GOVERNMENT, KENYA.**

BY

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**A Thesis submitted to the School of Information Sciences in partial fulfillment of
the requirements for the Award of Master of Science in Records and Archives
Management.**

Moi University

2020

DECLARATION

Declaration by the Student:

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DEDICATION

I dedicate this work to my mother Joan Jerono Kibor, without whom none of this would have been possible. I also dedicate this work to my husband James Leboo, son Franklin Leboo, my daughter Tamara Nashipae and my late twins, who are my daily reminders of all that is good in this world. God Bless You!

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The compilation of this thesis was brought to fruition through the efforts of some very special people to whom I wish to extend my sincere appreciation. First and foremost, I wish to acknowledge the almighty God for opening the door for me to further my studies to this level. This far, His grace has been sufficient. On the human effort, the completion of this work was made possible through the encouragement, cooperation, assistance, guidance, help and constructive criticism from various people. I am deeply grateful to the following:

My heartfelt appreciation goes to my supervisors – Dr. Emily Bosire and Dr. Andrew Chege for their supportive guidance and supervision of this work, and for their invaluable advice throughout the duration of this research study. Their professional assistance contributed immensely to the compilation of this thesis.

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Finally, I wish to extend my gratitude to all authors whose works I consulted for the purpose of reference and quotation, and also to all respondents who contributed to this study in one way or another: academia is all about standing on another's shoulders to see beyond.

You are all the light that showed me the way.

THANK YOU AND GOD BLESS YOU ALL

ABSTRACT

Personnel records are the most essential tools in the management of human resources in an organization, they form the basis of accountability of funds and skills required to perform tasks. This study analyzed the use of personnel records in human resource management at Uasin Gishu County Government. The study was motivated by the need to improve on the management of personnel records, so as to ensure that information about employees is available to take decisions and protect their rights. The aim of the study was to analyze the use of personnel records in human resource management and to propose appropriate ways in which human resource management can be enhanced. The objectives of the study were to: Determine the types of personnel records at Uasin Gishu County Government; Assess the contribution of personnel records in human resource management; Find out the application of information and communication technology in managing personnel records; Establish what records management policies exist in creation and management of personnel records; Identify challenges associated with personnel records management and Suggest possible solutions to address the challenges facing the management of personnel records at Uasin Gishu county government. The study was based on the Scientific Management Theory by Frederick Taylor. The population of the study was 92, which constituted of staff members of Uasin Gishu county government. The study sample size was 45 respondents selected and interviewed, using purposive sampling technique. A qualitative research approach was adopted in this study using a case study research design. Interview and observation were used to elicit data from the respondents. Semi-structured interview schedule and observation guide were prepared and used as data collection instruments. The collected data was organized based on various thematic areas and the relationship between categories established. Therefore the collected data was analyzed thematically in line with the objectives and research questions of the study. The findings of the study revealed that record keeping practices in Uasin Gishu County Government are not adequately supported by a record keeping infrastructure which is made up of a policy and regulatory framework, a programme structure, resources and people. Furthermore, there was not in place a monitoring system to ensure sound record keeping standards and practices. In conclusion, the findings of the study can be taken as fundamental to the needed improvement and changes in the management of personnel records in Uasin Gishu County government. The Recommendations from the study are: safeguarding the integrity of the personnel records; staff capacity building and training; development and implementation of effective systems and procedures; recruit qualified records management staff; lobby for additional resources; effective technology-based tools to support records management activities; develop specific records management policies and procedures and develop and implement effective records management programme.

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DEFINITION OF OPERATIONAL TERMS AND CONCEPTS.

Action officer: Staff member with subject matter and an expert who works on behalf of senior officer.

Human resource management: Business process of recruitment, transfer, promotion, retirement, performance appraisal, education, training and staff development.

Local authority: Administrative authorities over areas which are smaller than a country.

Personnel records: Records that are related to individual employment histories and personnel process in general.

Personal File: Main employee file that contains the history of the employment.

Record: 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.

Records Management: Activity responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records.

Registry staff: Personnel responsible in managing records kept in a registry.

Top management: Individuals at the highest level of management in an organization.

ABBREVIATIONS AND ACRONYMS

CG	-	County Government
CSRP	-	Civil Service Reform Programme
ERMP	-	Electronic Records Management Programme
ESARBICA	-	Eastern and Southern Africa Regional Branch of the International Council of Africa
FMIS	-	Financial Management Information System
FoI	-	Freedom of Information
HRIS	-	Human Resource Information System
HRM	-	Human Resource Management
HODs	-	Heads of Departments
ICA	-	International Council of Archives
ICTs:	-	Information and Communication Technologies
IRMT	-	International Records Management Trust
ISO	-	International Standards Organization
IS	-	Information Science
IT:	-	Information Technology
KNADS	-	Kenya National Archives and Documentation Services
NAI	-	National Archives of India
PSC	-	Public Service Commission
RMP	-	Records Management Programme
UNESCO	-	United Nations Education, Scientific and Cultural Organization
UNMDGs	-	United Nations Millennium Development Goals
UG	-	Uasin Gishu
VSAT	-	Very Small Aperture terminal

CHAPTER ONE

INTRODUCTION

1.1 Introduction

This chapter gives background information to the study and the institution where the study was conducted. It also gives an overview of personnel records management and human resource management. This chapter also looks into the statement of the problem that necessitated the need for research, aim and objectives, research questions, assumptions, significance of the study, scope and limitations of the study.

Personnel records refers to all those records that are related to individual employment histories and personal processes in general human resource on the other hand is grounded in the business process of recruitment, transfer, promotion, retirement, performance, appraisal, education training and staff development among others (De Cenzo and Robbins, 2005).

In 1999, a World Bank report identified weak public administration as one of a number of factors inhibiting sustainable economic growth in Sub-Sahara Africa. The report called for a better personnel management in terms of staff testing, competitive entrance, examinations, regular appraisal, promotion on merit, selective improvement in the pay structure and accurate personnel records (The World bank, 1999).

According to the report the development crisis forced many governments to attempt radical reforms by significant reduction in the size of public service; they were confronted with the problem of finding the basic information which they needed to accomplish this task such as accurate staff numbers, staff grades and location. It is against this background that projects to implement digitized personnel management

system have been prominent features of the information technology efforts in many civil services in Africa in the recent years.

This is justified through the importance of personnel records as per discussion of Wamokoya and Mjama (2007) which argued that personnel records provides basis for decision making in every area of personnel. The management of personnel records is an issue that affects every office and every employee. However it is quite clear governments face major challenges in accessing and retrieving the personnel information it requires meeting its obligation. Registries are congested with files of employees who have left the public service or who are deceased.

Today many office-filing systems are not designed and operate to meet the information provision requirement. The files are often poorly organized and no indexes exist to facilitate their retrieval, information is neither precise nor timely and filing system fall short of the goal of delivering to users exactly the information they need as quickly as they need it.

The focus project of the World Bank project was on records on documentary form held in registry system. By implication, the project was not concerned with databases. Decongestion, reconstruction and classification scheme were essential components of the project work. At the end of the 2008 project, registry system judge to be fit for the purposes. On the study has attributed the success of the World Bank Project to the effect that the project was seen to be supporting probity (Tough, 2007).

Yet a major gap of the work was a failure to adequately capture e-records. The gradual proliferation of personal computers on the desk tops of a relative small number of senior civil servants and which were not networked made the imposition of recordkeeping discipline through systems standards almost impossible. At this

juncture the conclusion which can be drawn is that personnel records management is a crucial to all organizations. Unless records are managed efficiently, it is not possible to conduct to account for what has happened in the past or to make decisions about future. Records are vital corporate asset and are required to provide evidence of actions and decisions. Without proper information one cannot be certain with the outcome of the decision. According Kennedy *et al* (2004) since personnel records management is a concern in this study, information must flow throughout the organization in such a way that it can be accessed when it is required. This can be possible in the presence of sound records management programme. It is towards probing as to how personnel records are being managed at UG county government that this study was embarked for.

1.1.1 Human Resource Management

According to World Bank (2008) human resource management function involves a wide range of activities from staff recruitment, deployment, development and training to disciplinary matters and employee appraisal. The above activities generate records that need to be captured and managed in recordkeeping systems regardless of whether the records are in paper or electronic format. The new constitution is indicating a devolved system of governance is based on county level. This therefore calls for prudent management of personnel records which are reflected at the service provision. Personnel records are therefore vital in shaping the overall goal of government's achievements and especially for a devolved unit. The study looked into issues to do with the state of personnel records and how these records were in the process of human resource management. Problems that faced records management were also studied and solutions suggested to improving the management of personnel records.

1.1.2 Personnel Records Management

Every organization employs staff and creates personnel records. Personnel records refer to all records maintained on employees. These records are categorized into two, the master file and the personnel working file. Master files are those permanent files containing the primary comprehensive source of information about an individuals' career. Working files on the other hand are those files held for specific convenient reference or that relate to the management of a particular function, they are usually not permanent records. Like any other asset, staffs are a resource that must be deployed to maximum advantage. The proper management of personnel records can make a significant contribution to this objective by ensuring that information is available to take decisions and to protect the rights of both the state and individuals (IRMT, 2009).

According to Cain and Thurston (2009) managing personnel records aims to help the records manager understand the role that records play in the whole range of issues involved with personnel management. Its goal is to assist both records managers and non-records staff, including line managers and personnel staff, to manage personnel records in support of public accountability and good governance. More than many other records in the organization, personnel records directly affect the employee in question and his or her family.

When personnel records are not managed properly, it becomes very difficult and time consuming to calculate pension benefits. In some countries delays in paying pensions affect almost every civil servant in retirement, from the most senior to the most junior. Improving the completeness of personnel records can speed up this process and bring material benefit to a large number of people. To achieve the objectives of serving the

employer and the employee, it is in the interest of the organization and the individual that the records meet basic criteria. Personnel records must be accurate, contain verified information, contain all the required information and be trusted by all parties involved. The study was undertaken to provide an understanding of the management framework needed for the control of personnel records and their significance as a resource for personnel management and human resources planning. It explores the role of these records as tools for monitoring staff numbers and performance as well as for protecting the rights of individual staff.

1.1.3 Personnel Records and Human resource Management

Chinyemba and Ngulube (2005) states that organizations that manage their records will reap immediate benefits in terms of being able to utilize all available information resource for competitive advantage. Records play a very important role in human resource management from selection to exit of a staff. The personnel file should be the primary source of evidence that a person actually works for an organization, that the grade is appropriate to the salary paid and that any additional benefits are appropriate and have been authorized. In the absence of human resource records, complete and authentic entries on the payroll database cannot be checked against an authoritative source.

IRMT (2009) states that among the functions performed by human resource unit of an organization are: selection, recruitment, retention and exit of its staff. None of these activities can be undertaken effectively without reliable records and good recordkeeping systems. After selecting and recruiting personnel into an organization there is the need for an evaluation of workers at least once a year or periodically. Staffs that are due for promotion must also be promoted from one level to another based on their performance. Staffs who have reached their retirement will retire and

their retirement benefits paid to them. All these can be achieved if there is an efficient recordkeeping system.

1.1.4 Origin and Development of Local Authorities in Kenya

Mboga (2009) state the concept of devolved local authority is receiving attention worldwide, as a tool for implementing sustainable development. Local Authorities are strategic institutions for the provision of basic socio-economic and environment services. Their strategic position makes them valuable and viable for providing effective and efficient services required by the community. According to Southhall and Wood (1996) the early development of local government in Kenya reproduced the contours of settler colonialism, which allocated land, responsibilities and privileges on a differential racial basis. This meant the emergence of a dual system. Local government in areas of White settlement became formalized from 1919, following the creation of town councils in Nairobi and Mombasa, and the establishment of District advisory committees in country areas. Local authorities in Kenya are the bodies controlling local governance. Kenya has four classes of local authorities: City, Municipality, Town and County council.

To add to above sentiments Muia (2005) adds that Local Authorities provide a wide range of services including primary education, health, road maintenance, water and sanitation, public housing and land administration.

1.1.5 The New Constitution on Devolution to Local Governments

Wanjohi (2003) devolution is actually a form of decentralization whereby selected functions are transferred from a central authority to the lowest feasible structure. Devolution mainly entails the ceding of powers from a central authority to local authority i.e. the state powers of revenue collection and expenditure among others.

Since independence, governance in Kenya has been centralized, with a dominant role in decision making on development issues regarding national planning. This resulted in lopsided development of the country with some regions becoming more developed than others. This and other reasons motivated the decisions to have devolved units of governments during the referendum of 2010 of the new constitution.

In Kenyan case the current Centralized System Government headquartered in the capital city of Nairobi will transfer power to the 47 Counties listed on the first schedule of constitution of Kenya 2010. Each of these Counties will form the County Governments comprising of the County Assemblies and County Executives with State powers of legislature – law making and Executive – Implementing the Laws and Policies respectively.

Constitution of Kenya (2010) in chapter eleven establishes 47 counties, each with its own government. County governments consist of a county assembly and a county executive. County governments are in charge of agriculture, health services, public amenities, county trade development and regulations, and county planning and development among other services. Some of the provisions of the new Constitution of Kenya are yet to take effect. Parliament is supposed to enact legislation within five years to support its full implementation. The devolved governments and the Senate are some of the institutions that have just been created.

1.1.6 The Kenya County Governments' Devolved Structure

The constitution spells out the principles of devotion which includes democratic ideals and the separation of powers. County governments are to be provided with reliable resource and revenue to enable their operations in delivery of services

effectively. As spelled out in the constitution of Kenya (2010) these are the objectives of the devolved governments in Kenya:

- i. To promote democratic and accountable exercise of power.
- ii. To foster national unity by recognizing diversity.
- iii. To give powers of self-governance to the people.
- iv. To recognize the right of communities to manage their own affairs.
- v. To protect and promote the interests and rights of minorities.
- vi. To promote social and economic development through easy access to services.
- vii. To ensure equitable sharing of national and local resources throughout Kenya.
- viii. To facilitate decentralization of state organs functions and services.

A comprehensive structure of the devolved county government in Kenya is shown in Figure 1.1

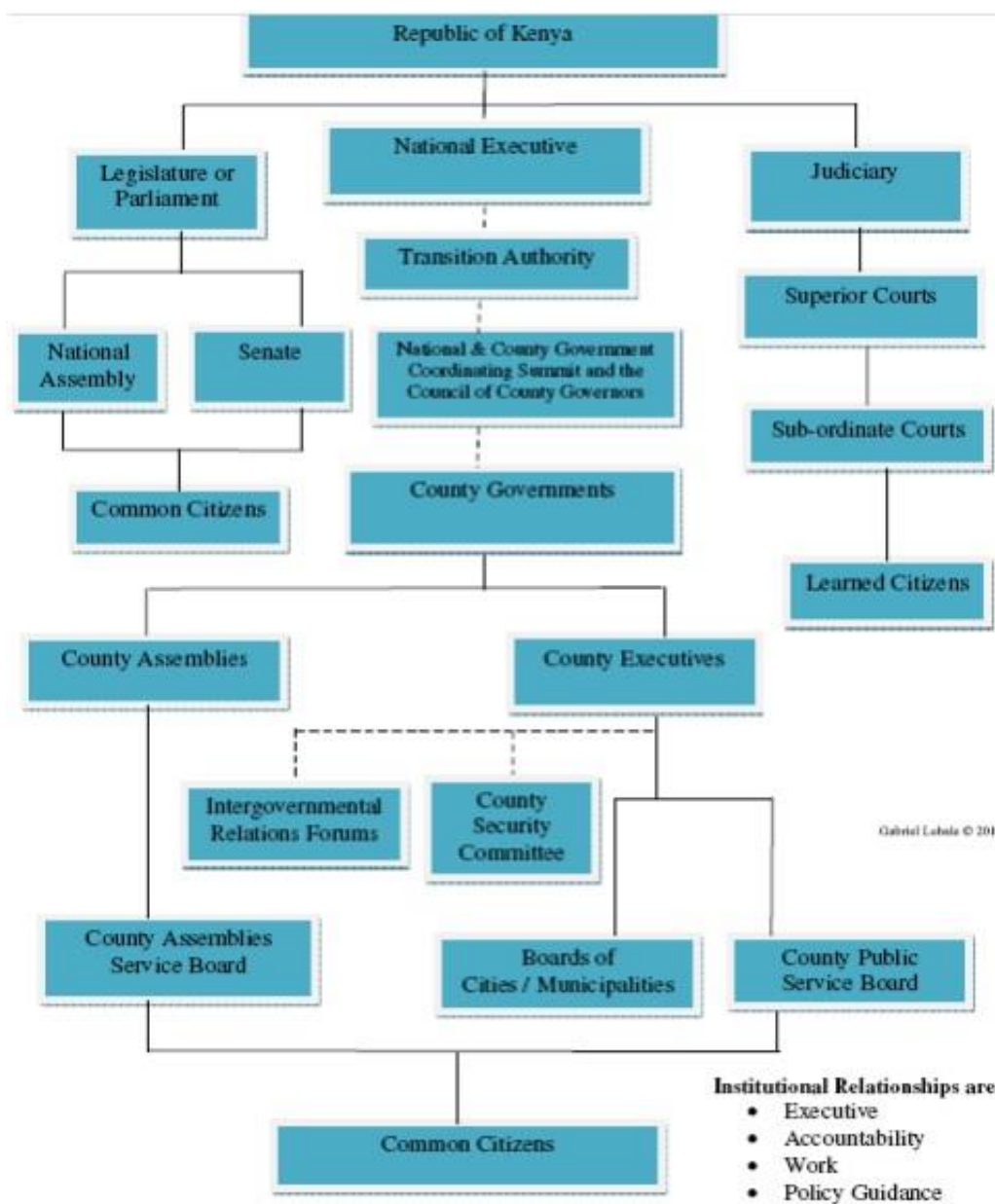


Figure 1.1: Kenya County Governments Devolved Structure

From above structure the County Government constitutes of a County Assembly and County Executive. The responsibilities of the County Assembly are to exercise the powers of enacting laws at the county level, acting as an oversight instrument on the County Executive and approval of plans and policies for smooth operation and management of resources and county institutions. Additional slots are reserved for

nominations and this ensures that membership is well distributed by gender, marginalized groups and persons with disability.

The county assembly is headed by a county Speaker who by law is not supposed to be a member of the assembly. The county executive on the other hand is charged with the responsibility of exercising executive power at the county level, implementing laws for administration of the county as well as carrying out other executive functions of the county. The county executive gives the people an opportunity to be more actively involved in law making. The county executive is led by a governor who is directly elected by the people at the county level. The appointment of the county executive members is placed under the mandate of the governor, and approval is subject to the county assembly.

1.2 Background to the Study Area

According to the Uasin Gishu strategic plan (2013) Eldoret is located about 300km North West of Nairobi on the Trans – African Highway and 65km north of the Equator. Currently, it is the fifth largest town in Kenya. Being the administrative centre of Uasin Gishu County government, it is a major business hub in Western Kenya and particularly the North – Rift Valley region. The official town site of Eldoret started in 1910 with a Post Office on what was known to the white settlers as 64. This was because at that time, it was 64 km from the newly built Uganda Railway railhead at Kibigori. The post office was later developed to include market office serving the community in the area.

In 1912, 64 were declared a township having an area of 11.2 square km (1121ha). When the Governor of Kenya decided to establish an administrative centre, the Post Office was renamed Eldoret in 1912. The town developed slowly until 1924 when the

Kenya- Uganda Railways extension from Kibigori towards Uganda reached Eldoret – starting a new era of prosperity and growth. In 1928, a piped water supply from the Sosiani River was installed. By 1933, Eldoret had electricity generating plant, a small airport and low – rental housing.

In 1956, the current Town Hall was built, in 1958 Eldoret was elevated to Municipal Council status, with Mr. Jew Beard being elected the first Mayor in 1959. Thereafter, the town was presented with its Charter and Mace by the Governor of Kenya. The municipality now the County government is serviced by the Nairobi – Uganda Highway, the Kenya – Uganda Railway and the Eldoret International Airport. It is the most important industrial and commercial centre in the North Rift Valley. The main economic activities include agriculture and horticulture. The town is also home to heavy industries like textiles, food processing, steel mills and timber paper manufacturing among others. Eldoret has also become a major education hub boasting of Moi University, University of Eldoret, Moi Teaching & Referral Hospital, Catholic University of East Africa, Mount Kenya University, Kisii University, Nazarene University, Eldoret Polytechnic and several other tertiary and middle level colleges.

1.2.1 Profile of the Uasin Gishu County Government

According to Uasin- Gishu website (2013) County government of Uasin -Gishu is one of the 47 counties in Kenya, located in the former Rift Valley province. The city of Eldoret (capital and largest town in the county) is the county’s administrative and commercial centre. The name Uasin -Gishu comes from the *Illwuasin- Kishu* Maasai clan. The land was a grazing area of the clan, where thereafter they surrendered the land to the colonial government in the Anglo-Maasai agreement of 1911 and were subsequently pushed towards Trans Mara. The plateau that they once occupied was

then registered in its anglicised version, Uasin – Gishu. The county has six constituencies; Ainabkoi, Kapseret, Kesses, Moiben, Soi and Turbo.

The county government of Uasin Gishu is headed by the County Governor and the Deputy County Governor who are the chief executive and deputy chief executive of the county. The county is run by an executive committee, consisting of a governor, elected directly by the people, deputy governor elected as running mate, a number of committee members not exceeding a third of the members of the County Assembly and a County secretary, nominated by the governor and approved by the County Assembly, who will double up as head of the county public service, and secretary to the County Executive Committee. The County government of Uasin Gishu is made up of ten departments where each department is headed by an executive appointed by the governor and approved by the County Assembly. The departments are namely:

- (i) Finance and economic planning,
- (ii) ICT and E-government,
- (iii) Public service management,
- (iv) Health services,
- (v) Agriculture, livestock and fisheries,
- (vi) Roads transport and physical planning,
- (vii) Trade, industrialization, co-operatives tourism and wildlife
- (viii) Water, energy, environment and natural resources
- (ix) Education, culture, youth affairs and social services
- (x) Lands, physical planning and housing

The county also has a legislative branch that is headed by the speaker of the County Assembly. The Uasin-Gishu County Assembly is housed at the County government headquarters. This premise constitutes an Assembly chamber that houses County Assembly Service board, county committee's secretariats and officers who deal with matters of the county legislature.

1.2.2 Structure of the County Government

Uasin Gishu county government is a rapidly growing Institution. Currently the County government has a total of 3200 number of staff both County Executive and County Assembly. Figure 1.2 shows the current Organisational Chart for the Uasin Gishu County government in which the county services are run through (Gabriel, 2012).

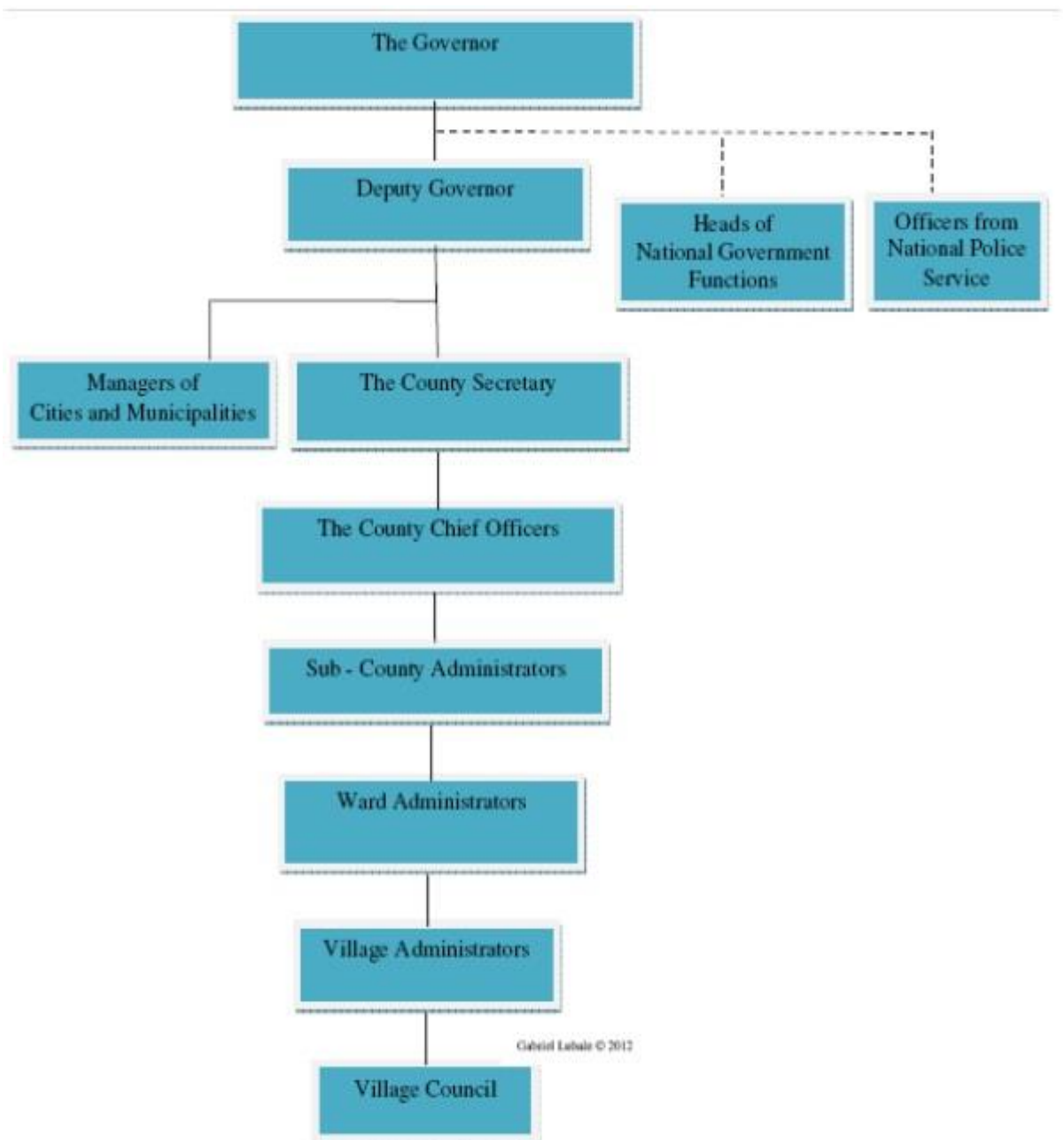


Figure 1.2: Structure of Uasin Gishu County government.

The Uasin Gishu County is also formed of County Assembly Service board, which it is displayed in Figure 1.3

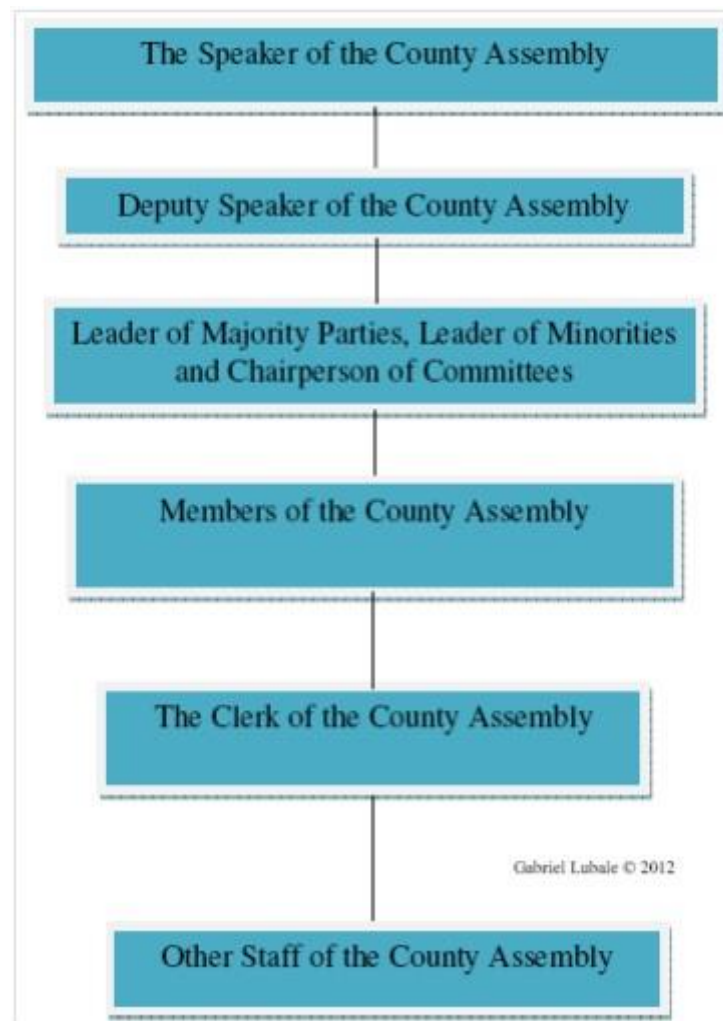


Figure 1.3: Structure of the County Assembly

From the above structure Figure 1.3 Uasin Gishu County Assembly service board consists of:

- a) The Speaker of the county assembly as the Chairperson.
- b) The leader of the majority party or a member of the county assembly deputed by him or her, as the vice chairperson.
- c) The leader of the minority party or a member of the county assembly deputed by him or her.

- d) one person resident in the county, appointed by the county assembly from among persons who have knowledge and experience in public affairs, but who is not a member of the county assembly.
- e) The County Assembly Clerk shall be the secretary to the county assembly service board.

1.2.3 Mission, Vision and Core Values

The vision of Uasin Gishu County government is to be the best managed and accountable metropolis in Kenya. The Mission is to provide efficient and effective services through participatory planning and sustainable use of resources. The County's core Value Integrity; Transparency; Accountability and Customer focus.

1.2.4 Human Resource Management at Uasin Gishu County Government

IRMT (2009) defines human resource Management as that branch of management which is responsible on a staff basis for concentrating on those aspects of operations which are primarily concerned with the relationship of management to employees and employees to employees and with the development of the individual and the group. Human Resource Management derives its origin from the practices of the earlier personnel management, which assisted in the management of people in an organization setup. Uasin Gishu County government manages its staff using the set systems of human procedures for ensuring efficiency, controlling and providing equality of opportunities for all working for the County. Currently the county has a total of three thousand two hundred employed staff, who works in the ten different county departments.

1.2.5 Personnel Records Management at Uasin Gishu County Government

The County creates personnel records when an individual has been granted employment. Records pertaining to these employees provide essential information about the employee and must be filed appropriately in the right file. Unless there is a well-defined infrastructure and well managed systems it is easy for the County to lose control of its personnel records. The County government of Uasin Gishu has 10 different departments equipped with the human resource who perform tasks and duties in these departments. In order to effectively manage all Uasin Gishu county government staff, the county registry is charged with the responsibility opening personnel file for each and every employee. Personnel files mainly will contain accumulation of all records pertaining to an employee of the County government. All county Personnel records are kept and maintained in both central and confidential registry.

According to the (2016) statistics kept by the registry department of Uasin Gishu county government, the county has a total of three thousands two hundred personnel records. This is related to the total number of staff working in the county government. The registry system mainly runs in a manual system as most of records were in paper based form. The registry staff stated that county creates and maintains personnel records because of the following purpose:

- (i) It helps to supply crucial information about the staff to managers.
- (ii) Keep an update record of leaves, transfers among other.
- (iii) Helps the county in framing various training and development programmes.
- (iv) The county is able to gather data in respect to rate of turnover, absenteeism and other personnel matters.

- (v) It helps the county managers to make salary revisions, allowances and other benefits related to salaries.
- (vi) It also provides a reliable source of information the researchers carry out research on personnel records.

1.2.6 General Records Management at Uasin Gishu County Government

Organizations collect, create, and use a wide variety of recorded documentation, similarly since the establishment of Uasin Gishu County government and its gradual evolution, a lot of records have been created. The International Standard ISO 15489-1: (2001) defines records as ‘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’.

The county manages its records through a system of registries, which are charged with the responsibility of managing all the records created or received by the county. The registry system in the institution comprises of the Central registry and confidential registry. Most of the records are created and maintained in a manual system. The Uasin Gishu county government has a total of ten departments and each department also has its own sub-registries, such as human resource department, treasury which creates and keeps current county financial records.

The major records kept by the County central registry are land records which are organized in blocks which represents map of the entire County. Human resource department registry creates and maintains personnel files that dealt with the staff of the executive branch of the County government. According to the Uasin Gishu county government strategic plan, staff files were approximated to three thousand two hundred. Generally all the records created by the county greatly aid in the decision

making and a good source of information for daily operations performed in the county.

1.3 Statement of the Problem

Promulgation of the Kenyan's Constitution in 2010 placed the Country in a new dimension whereby forty five percent of the Country audited budget is supposed to be devolved into Counties. Most functions were also devolved to the county level hence placing a lot of functions on the County Governments. The rate at which personnel records are created has therefore increased drastically as a result of many functions performed by county governments. Consequently there is need to ensure accurate and complete personnel records are created and maintained are they are tools that will direct into the steps that must be undertaken to ensure that right employees are available for the delivery of services.

However since the establishment of Uasin Gishu County Government, no studies have been conducted to analyze the current practices in the management and use of personnel records in the County Government. It is with this goal in mind that this study was convinced to address the above mentioned issues. The study therefore aimed at evaluating the personnel records for the purpose of recommending the most suitable mechanisms in managing personnel records for effective management of staff who are the most valuable resource in the Uasin Gishu County government.

1.4 Aim and Objectives of the Study

1.4.1 Aim of the Study

The aim of this study was to investigate and evaluate how effectively personnel records are managed in human resource management in Uasin Gishu county government.

1.4.2 Objectives of the Study

The objectives of the study were to;

- (i) To establish the types of personnel records and how effectively are they managed in UG county government.
- (ii) To examine the effects of proper personnel records management on human resource management at the County Government.
- (iii) To determine the extent to which personnel information in UG county government has been computerized.
- (iv) To establish records management policies supporting the management of personnel records.
- (v) To determine the challenges experienced in management of personnel records in UG county government.
- (vi) Suggest strategies to address the challenges facing personnel records management at the County Government.

1.5 Research Questions

- (i) What are the types of personnel records created at the County Government?
- (ii) What effects does proper personnel records management have on the performance in managing human resources at the County government of Uasin Gishu?
- (iii) To what extent has the personnel information at the County Government been computerized?
- (iv) What policies are in existence for the creation and management of personnel records?
- (v) What challenges are faced by the County Government as a result of the current state of personnel records management?

- (vi) What strategies can be adopted to enhance the management of personnel records in the County Government registry?

1.6 Assumption of the Study

The following assumptions guided the study:

- (i) The selected respondents from the study population were to answer the questions in honest and candid manner.
- (ii) The criteria of selecting the study sample were appropriate and therefore, assured the researcher that the selected respondents had all experienced the same phenomenon of the study.
- (iii) The selected respondents had a sincere interest in participating research study.

1.7 Scope and Limitation of the Study

1.7.1 Scope of the Study

The study was conducted at the Uasin Gishu County Government. The study dealt on analyzing the management and use of personnel records in human resource management at Uasin Gishu County Government. The targeted groups of respondents were the Top management, Senior administrative officers, Chief officers (Heads of departments), ICT staff, registry staff and secretaries of Uasin Gishu County Government.

1.7.2 Limitations of the Study

There are few researches conducted linking records management and human resource management in the county governments in Kenya; hence availability of relevant literature remains a challenge. To overcome this challenge the researcher consulted studies carried out by other researchers. County government being a relatively new

concept in Kenya devolved structure, the researcher found that personnel records management was comprehended by few staff in Uasin Gishu County government. The researcher therefore chose to utilize face-to-face interviews to collect data, which provided an opportunity for the researcher to explain the aspects which were not understood by some of the respondents.

1.8 Justification of the Study

This study was justified by the fact that personnel records are a key resource for development. The volume of personnel records being created at the County Government needs to be properly managed so as to guarantee the authenticity and trustworthiness of the information contained in these records.

1.9 Significance of the Study

This study is significant in the following ways:

1.9.1 Theoretical Significance

The study will provide a reference material in which other researcher can consult and can also use the study to do other work which has not been stated in this work. The study will benefit records and archive scholars, researchers, donors and practitioners.

1.9.2 Practical Significance

The study provides insights into the contribution of personnel records management on Uasin Gishu county government performance. It also creates new methods and principles of personnel records management to aid management in decision making. This study would help staff of the Uasin Gishu county government to learn more as they provide answers to the research questions.

1.9.3 Policy Significance

The study is a sort of additional guide to the Uasin Gishu county government to re-adjust in order to be stable in the competitive market.

1.10 Chapter Summary

This chapter has provided an introduction to the study by providing the necessary background information to Uasin Gishu County Government. It has also provided the key concerns of the study among them the statement of the problem that precipitated the initiation of the study, aim and objectives of the study serving as a basis for subsequent chapters in the study.

CHAPTER TWO

LITERATURE REVIEW AND THEORITICAL FRAMEWORK

2.1 Introduction

The literature review identifies the gaps and provides rationale for current study. Kothari (2004) and Mugenda and Mugenda (2004) concur that literature review is a summary of materials that have been published by renowned scholars and researchers on a given topic, which is meant to provide background information on the topic.

Researchers have done much on the area of personnel records management though not much has been done to relate personnel records to human resource management. The literature that follows refers to the work done as pertaining to past studies conducted by other researchers in similar.

2.2 Theoretical Framework

A theory is a set of properly argued ideas intended to explain a phenomena or a system of explaining a phenomena by specifying variables and laws that relate the variables to each other. A theoretical framework is a collection of interrelated ideas based on theories. It is reasoned set of prepositions which are derived from and supported by data or evidence (Kombo 2006).

Dale (1998) is of the opinion that theories enable researchers to draw new conclusions, improve actions and generate theories that are more sophisticated. Thus it can be said that theories are a set of interrelated constructs, concepts, definitions and propositions that present a systematic view of phenomena by specifying relations among variables with a view purpose of explaining and predicting phenomena (stacks and Hockings, 1999). A theoretical framework in turn is an examination of the existing theories in relation to the research objectives.

The theoretical framework for this study was modeled on the Scientific Management Theory by Frederick Taylor of 1995.

2.3 The Scientific Management Theory

According to Taylor the Theory is based on five principles propounded by Taylor which are explained as follows;

1. Science, Not Rule of Thumb
2. Harmony, Not Discord
3. Mental Revolution
4. Cooperation , Not Individualism
5. Development of each and every person to his or her greatest efficiency and prosperity.

1. Science, Not Rule of Thumb

In order to increase organizational efficiency, the rule of thumb method should be substituted by the methods developed through scientific analysis of work. Rule of thumb means decisions taken by manager as per their personal judgments. According to Taylor, even a small production activity like loading iron sheets into box car can be scientifically planned. This will help in saving time as well as human energy. Decisions should be based on scientific enquiry with aid to affect relationships.

The principle is concerned with selecting the best way of performing a job through application of scientific analysis and not by intuition or hit and trial methods. The work assigned to any employee should be observed and analyzed with respect to each element or part thereof and the time therein so as to decide the best way of performing that work and to determine the standard output for the same.

2. Harmony, Not Discord

Taylor emphasized that there should be complete harmony between workers and the management, since if there is any conflict between the two; it will not be beneficial either for the workers or the management. Both management and the workers should realize the importance of each other. In order to achieve this state, Taylor suggests a complete mental revolution on the part of both management and workers. It means that there should be a complete change in the attitude and outlook of workers and management towards each other. It should always be kept in mind that prosperity for an employee cannot exist for long time unless it is accompanied by the prosperity of the employee of that organization and vice versa.

It becomes possible by; sharing part of the surplus with workers, training of employees, division of work, team spirit, positive attitude, sense of discipline and sincerity. Management should always be ready to share the gains with the workers and the latter should provide this full cooperation and hard work for achieving organizational goals. Group actions with mutual trust and understanding should be perfect understanding of the focus of working. This principle requires that there should be perfect understanding between the management and the workers and both should feel that they are part of the family. It helps to produce synergy effect since both work in unison.

3. Mental Revolution

The technique of mental revolution involves a change in the attitude of workers and management towards each other. Both should realize the importance of each other and should work with full cooperation. Management as well as workers should aim to increase the profit of the organization. For this the workers should put in their efforts so that the company makes profit and on the other hand management should share

part of the profits with the workers. This mental revolution requires a complete change in the outlook of both management and worker. There should be the spirit of togetherness between workers and the management.

4. Cooperation, Not Individualism

This principle is an extension of principle of harmony, not Discord and lays on mutual cooperation between workers and management. Cooperation, mutual confidence, sense of good will should prevail among both managers and workers. The intention is to replace internal competition with cooperation. Both management and workers should realize the importance of each other. Workers should be considered as part of the management and should be allowed to take part in decision making process of the management. Management should always welcome their suggestions and should also reward them if their suggestions prove to be beneficial for the organization.

At the same time worker should also resist from going on strike or making unnecessary demands from management. Workers should be treated as integral part of organization and all important decisions should be taken after due consultation with workers. Both of them should visualize themselves as two pillars whose soundless alone can ensure achievement of common goals of the organization. Taylor also suggested that there should be proper division of work and responsibility between the two. Management should always guide, encourage and help the worker.

5. Development of each and every person his or her greatest efficiency and prosperity

Efficiency of any organization depends on the skills and capabilities of its employees to a great extent. Thus providing training to the workers was considered essential in order to learn the best methods developed through the use of scientific approach. To

attain efficiency steps should be taken right from selection process of employees. Employees should be scientifically selected. The work assigned to each employee should suit his or her physical, mental and intellectual capabilities. Efficient employees produce more to earn more. This ultimately helps to attain efficiency and prosperity for both the workers and the management.

The scientific theory was found to be adequately applicable for this research study and was therefore selected to inform the study on managing personnel records for effective human resource management. The theory has been widely applicable in the field of management for the last decades and has provided insights into the managerial aspects. The theory has contributed much to the management as it was founded by father of management theories Frederick Taylor. The theory provides guidance to the managers faced with the often difficult task of successfully introducing new managerial techniques.

2.4 Review of Related Literature

The researcher discussed literature related to the area of study guided by the research objectives. The objectives included: types of personnel records; contribution of personnel records in human resource management; computerization of personnel records; existence of records management policies; challenges associated with personnel records management and strategies to address the challenges faced.

2.5 Personnel Records and Human Resource Management

IRMT (2009) argues that head of every organization needs to know how many people work for him or her, who they are, where they are, what responsibilities they have and how effective they are. Human resource planners also need to know the qualifications, competence, dates of promotions and retirements of staff. In some countries records

systems have broken down to such an extent that accurate information on human function is no longer available. Personnel records always provide basis for decision making in every area of human resource activities which includes the following:

- i. Human resource forecasting and planning
- ii. Recruitment and selection
- iii. Employment
- iv. Education and training
- v. Pay administration
- vi. Health, safety and welfare.

The existence of large numbers of false entries on the payroll (known as 'ghost workers') can represent a major cost to the civil service budget. It is impossible to eliminate ghost workers from the payroll unless it is possible to establish an authoritative list of staff. This can only be provided by have well-kept personnel records.

Chinyemba and Ngulube (2005) states that organizations that manages their records well will reap immediate benefits in terms of being able to utilize all available information resource for competitive advantage. Records play a very important role in human resource management from selection to exit of a staff. The personnel file should be the primary source of evidence that a person actually works for an organization, that the grade is appropriate to the salary paid and that any additional benefits are appropriate and have been authorized. In the absence of human resource records, complete and authentic entries on the payroll database cannot be checked against an authoritative source. This scheme will fail where relevant and accurate records cannot be located.

2.5.1 Special Features of Personnel Records

IRMT (2009) states that among the functions performed by human resource unit of an organization are: selection, recruitment, retention and exit of its staff. None of these activities can be undertaken effectively without reliable records and good recordkeeping systems. After selecting and recruiting personnel into an organization there is the need for an evaluation of workers at least once a year or periodically. Staffs that are due for promotion must also be promoted from one level to another based on their performance. Staffs who have reached their retirement will retire and their retirement benefits paid to them. All these can be achieved if there is an efficient recordkeeping system.

Griffin and Mazikana (2007) adds that moreover, personnel records have relations with other valuable records systems for example national insurance schemes and the files of other government departments. Thoughtless tampering with the personnel records system can have unforeseen ramifications for many other important systems. Because of this element of risk, the design and modification of personnel records system requires senior management attention and oversight.

Cain (1996) supports the above sentiments that personnel records contain material that is highly confidential, thus special handling procedures and security are required for some categories of personnel information. The sensitivity of the material means that they have to be safely guarded so as to control unauthorized access to the classified information. Personnel records remain active for very long periods and thus they need to be kept until all pension claims have been resolved. 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. Generally because of their vast bulk personnel records are a popular choice for computerization, especially in combination with the payroll system.

2.5.2 Importance of Personnel Records

Bratton and Gold (1999) observes that the most reliable data source for any human resource management is the well-kept individual file, which should hold the accumulated records of the individual's employment history from the time he or she entered the service until the current time. Well maintained and accessible file provides the evidence of appointments, promotions and other key information about human resource functions.

World Bank (2004) shows that there are many definitions of personnel records but broadly they all encompass concepts such as legitimacy, accountability and competency. Sound records management practices have a role to play in supporting all of these objectives and personnel records are no exception. For example individual citizens need accurate records to claim their pension entitlements. Access to reliable information is thus important to protect citizens' rights.

Lyaru (2005) also emphasizes that in the areas of competency and accountability personnel records have much to contribute. A government's human resource are s strategic importance both because people are the most valuable assets of any organization but also because the civil service wage bill is a major component of the national budget. Countries implementing structural adjustment programme have reduced the size of civil service is all essential component of their overall strategy. Akotia (2000) affirms that the efficient management of the public sector has increasingly come be recognized as a key component of economic development and

the efficient utilization of human resource as a major determinant of efficient management. The ability to retrieve information about personnel is a key factor in successful human resource management. Economists have long recognized that the personnel function in public sector organization in developing countries has rarely treated as a policy. Rather personnel departments have tended to play a relatively passive role of developing and pursuing policies for improving public sector management.

Wamukoya (2007) adds by stating that problems and prospects of Sub- Sahara Africa reinforced identified weak public administration as one of a number of factors inhibiting sustainable growth. Personnel records are better managed in terms of staff testing, competitive entrance examinations, regular appraisals, promotions on merit, selective improvement in the pay structure and accurate personnel records. It should surprise no one that records are required if the human resources management function is to be a pro-active force for change. At operational level, managers need information about staff members' performance on the job for the purpose of manpower planning and disciplinary matters. Policy makers and managers need accurate, up to date and reliable information both aggregated as statistical data and as detailed information about individuals.

2.6 Policies and Legal Framework for Personnel Records Management

William (2006) defines a policy as a set of coherent decisions with a common long term aim that relate to a specific organizational purpose i.e. inform users what is expected of them. Dunlop (2009) affirms that all organization should have a formally agreed policy for the management of their records. The goal of the policy should be the creation and management of authentic, reliable and useable records capable of supporting business functions and activities for as long as they are required. The

policy should be adopted and endorsed at the highest decision making level and promulgated throughout the organization. This policy becomes the official charter for all recordkeeping activities. The legal framework in which human resource records are created, used and maintained will vary from jurisdiction to jurisdiction, but it is the norm that the terms and conditions of public service are governed by some form of employment legislation, such as an Employment Act or Civil Service Act.

According to IRMT (2009) legislation generally defines the rights and obligations of employer and employee and it establishes various mechanisms for solving disputes between management and staff. These acts may also prescribe the establishment of employing authorities such as Public Service Commission. They outline mechanisms relating to compensation, entitlements and pensions. The laws themselves may be supported by some regulations, codes and statutory instruments that further define personnel structures and outline policies procedures. Thus records professionals responsible for personnel records must fully be aware of the recordkeeping implications of all relevant laws, regulations, standing orders and codes. Certain records will need to be created and kept specifically to ensure that ministries, departments and Agencies (MDAs) can demonstrate compliance with these laws and regulations.

Roussseau and Wade-Benzoni (2006) argues that there are other legislation which may also be relevant to the management of personnel records, including public records and archive legislation and laws related to public access and protection of privacy. Many governments and central agencies with the responsibility of HR functions follow written rules and procedures for human resource management which are updated periodically.

Kane and Crawford (2001) opine that the laws, policies, regulations and procedures which govern human resource management are also subject to revision as government functions evolves. It is therefore important to keep track of the development of new or revised employment related legislation, policies and procedures. This is to ensure that recordkeeping practices and reporting requirements continue to support current function. In addition legislation may also need to be updated to allow electronic records to be considered acceptable evidence in a court of law.

2.6.1 Legal Frameworks for Records Management in Kenya

The management of public records in Kenya is guided by the following legal regulations:

(a) ISO 15489 - Documentation and records management

ISO 15489, the international standard for information and documentation-records management, provides guidance on managing records. An organization seeking to conform to ISO 15489 needs to have the following in place:

- (a) A records management policy whose objective is the creation, maintenance and management of authentic, reliable and accurate records which are capable of supporting business functions and activities. The policy should be endorsed and adopted at the highest decision making level, and should be implemented throughout the organization;
- (b) Lead records management responsibility and accountability should be defined and assigned to a person with appropriate responsibility.
- (c) Organizations need to create and maintain authentic and reliable records, and to protect the integrity of those records for as long as required. This will include:

- (i) Ensuring that reliable records are created- a reliable record is one whose contents can be trusted as full and accurate representation of transactions and activities captured on the records;
- (ii) Assessing the risks that would result from failure to maintain authoritative records;
- (iii) Preserving records and making them accessible over time in order to meet business requirements;
- (iv) Complying with legal and regulatory requirements and organizational policy;
- (v) Ensuring that records are maintained in a safe and secure environment;
- (vi) Safeguarding the integrity of records - this refers to their being complete and unaltered;
- (vii) Compliance – records should be managed in accordance with the legal and regulatory environment;
- (viii) Providing an appropriate storage environment and media that afford records adequate protection; and
- (ix) Records systems should provide timely and efficient access to and retrieval of records needed for business and accountability requirements.

(b) The Public Archives and Documentation Service Act, Cap 19

This is the principal law that governs management, preservation and disposal of public records. The Act mandates the Director of the Kenya National Archives and Documentation Service (KNADS) to:

- (i) Examine any public records and advice on their care, preservation, custody and control;

Require transfer to the custody of the KNA and Documentation Service, public records he/she considers should be housed in the National Archives, and;

(ii) Authorize the destruction of public records judged to be of no further administrative or reference value to the creating office.

(iii) Section 5A of Cap 19 states that every Permanent Secretary or head of government department or chief executive of a state corporation or local authority shall supply to the Director two copies of any published or generally circulated documents or report produced by that office whether in hardcopy or microfilm; and the creating office may prescribe the period for which the document shall remain restricted from circulation to other public offices or members of the public. Section 8 of the Public Archives and Documentation Service Act Cap 19, makes it an offence to destroy public records without the Director's authority.

(c) The Records Disposal Act, Cap 14

This Act facilitates the management and disposal of court records in Kenyan courts. The Act mandates the Chief Justice and the Registrar of the High Court, in consultation with the Director of the KNADS to make rules for the disposal of court records.

(d) The Chief Secretary's circular on the destruction of non-current government records (Ref. OP.1/48A/66 of 28th November 1985)

The circular states that it is the responsibility of the public offices to effectively manage their records. Paragraph (b) of the circular states that "in the event that a

government ministry or department considers that particular records are no longer needed for current administrative purposes, the Director of the KNADS shall be notified without delay and requested for their appraisal and disposal.” The circular further states that “no valueless public records shall be kept for longer than necessary as this will result into wastage of public funds through uneconomical usage of office and equipment”.

e) Government Financial Regulation and Procedures, Section 4: 2-5

These were issued to provide guidance on the management and disposal of accounting documents. The relevant section of the chapter states that the Accounting Officer may give permission for the destruction of accounting books and documents provided such records have been audited and are of no archival value. Accounting documents with other guiding regulations for records in Kenya include the following:

- (i) Circular OP.1/48a/11/10 of 7th July 1988 on depositing of reports and other generally circulated documents in the KNA.
- (ii) Directorate of Personnel Management (DPM) Circular on personnel records – Ref. No. DPM.12/6A Vol.1 (71) of 12th March 2008.
- (iii) Circular OP.39/2A of 14th April 1999 on cases of missing and lost files and documents in the public service.
- (iv) Circular OP.39/2A of 14th November 1999 on cases of missing and lost files and documents in the public service.

2.7 Record Management in Africa

In many countries, public sector record keeping systems are weak or have actually collapsed to the point where they barely function. This situation is particularly evident in countries that were once part of European-dominated colonial regimes. In these countries, structured record keeping systems were common, supporting the information needs of a small, centralized civil service, often with a well-trained and experienced records staff. In many of these countries the European model of registries, a central point for the registration and control of documents, was introduced, and it was not unusual to civil servants to begin their careers working in registries and then move upwards. They tended in this way to develop a good understanding of the importance of information management (Barata, 2001).

According to Mnjama and Wamukoya (2004) paradoxically in many countries despite the low usage of records, there is extreme reluctance to destroy records even after they ceased to have any value to the institution. In the professional literature has been almost impossible to acquire owing to poor communications and lack of foreign exchange even when learning materials could be acquired. As result, modern records management practices have not been introduced. In government ministries of many African countries records management is widely seen as a lower grade area and virtually no attention is given to the way information is created, structured and managed.

Millar (2004) notes that the lack adequate training is closely related to the lack of appreciation for and awareness of the importance of records management. Studies undertaken by Kemoni (2007) distinguish records management problems as the root cause of poor service delivery in public sector organizations and parastatals in Kenya, where untrained staff are deployed to perform records management tasks.

According to Mnjama and Wamukoya (2004) when records are not managed using the stipulated policies the organizations will suffer adverse challenges which include the following:

- i. Loss of control over creation and use of records.
- ii. Loss of control over access.
- iii. Fragmentation of official records.
- iv. Existence of different versions of the same information and absence of definite or authentic records.
- v. Loss of contextual information.
- vi. Manipulation of electronic records.
- vii. Technology related difficulties in retrieving records.
- viii. Misuse of records such as unauthorized access to or alteration of records.

2.8 Computerization on Personnel Records

According IRMT (2009) human resource management has been undergoing considerable change over the past few decades, as governments and decision makers have recognized the potential of technology to improve HR management and information. At the same time, there has been a desire in many public agencies around the world to increase efficiency, reduce costs, save space, improve service delivery and enhance transparency and accountability. Traditional paper-based records systems, even if well organized and complete, cannot easily provide the information. Governments need to manage the public service and to develop policies and plans based on accurate and current data. The expectation has been that computerization will not only improve HR processes but will also provide more accurate, consistent and usable information.

2.8.1 Challenges of Computerization of Records in Africa

Katuu (2004) indicate that the problems faced in the management of electronic records include: lack of knowledgeable and adequately trained personnel to handle electronic records; high staff turnover; lack of adequate funding for the human and physical resources required to establish and maintain the programs; lack of ICT legislation and/or the lack of adequate integration of the legislation with national archival legislation; technological obsolescence, fragility of storage media, the ability to alter or delete information without trace and the need to preserve a lot more contextual information than the record itself. Katuu concludes that various individual countries seem to be struggling with the same issues, albeit in their own local environments, but little seems to be done in terms of regional or international consultation or cooperation in order to avoid reinventing the wheel. Similarly, IRMT point out that as governments around the world embrace the tremendous potential of information and communication technologies, there are problems in managing documentary evidence in electronic format (IRMT, 2003).

William (2006) affirms that introduction of computers without adequate preparation can worsen existing problems and can actually be dangerous. It can put administrators in a position whereby they cannot ensure transparency and legal accountability. Not only are they not able to access source documents, but electronic records are difficult to maintain over time due to changes in hardware or software.

Information technologists from industrialized countries tend to assume that developing countries have a records management capacity in place which will be capable of providing support to systems. Unfortunately, in many countries in sub-Saharan Africa, the national archives, which have statutory responsibility for government records, remain locked into a role as custodian of pre-colonial records.

Very few play an active role in the management of the current or semi-current records held by ministries, and still fewer have either the training or the experience to provide records management support to information technology projects.

2.8.2 Challenges affecting E- records Readiness in Africa

A study carried out by Mutiti (2001) to assess technological infrastructure and needs in the East and Southern African region revealed that limited progress has been made in the area of managing electronic records created by public institutions. The study revealed common application of computers was word processing. He also pointed out that most countries had no specific legal framework within which to operate an electronic records management program and had not begun to address the broader issues involved.

IRMT (2003) also points that problems facing African countries included lack of digitization projects, general lack of prioritization of automation functions and services; lack of standards, practices and procedures for the management of electronic records; records creating agencies tends to overlook long term preservation of electronic records; mismanagement and loss and inability to determine appropriate hardware and software.

Mnjama and Wamukoya (2004) 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.

A case study undertaken by Akotia (2000) in the Ministry of Finance in Uganda on the management of financial records in government established that throughout the government of Uganda, ICT was considered an indispensable tool for enhancing productivity, yet little attention was paid to the information management issues and to understanding the forces of change that affect the form and integrity of the record created within an IT environment.

Akotia further noted that the Ministry had no capacity for managing the basic elements of an electronic records programme including: staff who understood the functional requirements for record keeping and had the competencies and skills required to manage electronic information delivery systems; legal and administrative requirements for managing electronic records; and accurately documented policies, standard operating procedures and formal methodologies for managing e-records.

2.8.3 The E-government Readiness in Kenya

According to a study carried out by Wangutusi (2013) the first e-readiness tools in Kenya were introduced by the British colonizers in the 19th century and were necessitated by their need to communicate with their government, friends, relatives and business partners in the United Kingdom. A major milestone in the development of e-readiness in Kenya is the 1997 statement of government policy on telecommunication development to the year 2015. This policy statement was necessitated by the need of a new strategy to guide the operations of the sector as it transformed from monopoly to a liberalized market.

The 1990s also witnessed the great e-readiness revolution leading to the emergence of internet and mobile telephony in the Kenyan market. These two developments played a pivotal role in building the current ICT landscape in the country today. To ensure faster and affordable connectivity to the internet, the government also liberalized the supply and installation of Very Small Aperture terminal (VSAT).

Even though there are indicators of Kenya being e-ready, adoption levels are much lower than in other countries in Africa such as South Africa, Botswana, Senegal and Togo. Some of the factors hindering the widespread adoption of e-readiness in Kenya include inadequate infrastructure, high costs of acquiring, accessing and maintaining ICT services, illiteracy whereby effective ICT use requires certain skills that not many people in Kenya have, proximity of ICT services does not spread to all parts of the country and inadequate ICT legislation.

Until 2006, there was no serious legislation to regulate and facilitate the ICT sector in Kenya. Recently the Kenya Communication (Amendment) Act 2008 was enacted but it is still be devilled by controversies such as the minister of internal security being given power to confiscate broadcasting and telecommunication equipment which the media owners feels that the section 88 of Communication Act (1998) be amended to allow sanctions by either the court system or parliament. It was also noted that there is lack of championship in the country to market the benefits of e-readiness tools to the citizens. Finally socio-cultural factors which involve gender, age, social class, economic status biases that result in inaccessibility, lack of awareness and inability to afford ICT and IT services.

The Kenyan Government recognizes that Information and Communication Technology (ICTs) is the core of development and economic growth. The government

is thus striving to provide an environment that can enable and sustain the development and utilization of ICT in the country. In the 2002-2008 development plans, the government spelled out its plan for developing an ICT literate population through retraining and skills building that will place special emphasis on the information sector and the current workforce. (Government of Kenya, 2002-2008).

2.9 Challenges of Managing Records in Local Authorities

The International Council of Archives (ICA) (1997) in proposal on the management of public sector records state that, records are geared towards improving organizational competence and fostering greater professional development of those civil service administrators in charge of records and information.

Ringera (2007) notes in his report on the Nairobi City Council that corrupt practices heavily depends on records that play a crucial role in the manifestation of corrupt practices therein. Major weaknesses were noted with respect to RM such as lack of a comprehensive RM policy for creation, storage, maintenance and retrieval of records. It was noted it has contributed to the loss of the city council assets and endless disputes because of lack of documented evidence of transactions. It also notes the lack of proper management of vital records such as title deeds, contract documents, development plans, drawings, human resource and general administration records. This means developing an environment ideal for corruption.

Moss (2005) notes record keeping was thought as essential in the administration of government. Records management has evolved from the ancient world to present times. Government bodies should recognize their responsibility to the public by implementing and maintaining sound records management practices. To ensure that records management receives attention that it deserves.

2.9 Relationship between Personnel Records and Human Resource Management

Hoyle and Sebina (1998) explains that most organizations undertake a number of common human resource functions which include; human resource planning, establishment control, recruitment, appointment, performance appraisal, training, disciplinary, leaves, separation from employment and pay and allowances.

All these activities generate records that need to be captured and managed in recordkeeping systems regardless of whether the records are in paper or electronic format.

Cunningham and Montana (2007) states that beyond an ethical or client service considerations, sound personnel records management is human resource management. that this is well known in the business world, where personnel records retention scheduling and its many related activities have long been as an exercise of human resource management as well as a vehicle of controlling staff benefits and entitlements. Cunningham and Montana also observe that human resource management as it concerns personnel records deals with three high level issues: poor organization, failing to retain records long enough and maintaining records too long.

Mat-Isa (2005) points out that most organizations have neglected good recordkeeping practices thus exposing organization to service delivery. This turbulent records environment requires managing major categories of challenges- financial, operational, reputational and regulatory. A records program approach to management identifies and gives priority to personnel records, ensuring that those records are protected, managed through their life cycle, available as needed and appropriately destroyed when an employee retires.

Mnjama (2004) states that the value of state records derives among others from information they contain and evidence. Any given institution can be protected by understanding the records it needs to keep. Records provide actions performed and decision taken. Creating and managing personnel records helps an organization to eliminated challenge associated with human resource management. Without adequate records the agency must have difficulty providing evidence of its action and decisions.

According to University of Texas (2009) state that records management program in itself ensures sound recordkeeping practices that support business activities, assist in the capture and maintenance of corporate memory and ensures compliance with relevant legislation. The records management program is designed to prevent: inability to identify the existence of records; lack of full and accurate records. University administration; loss or inaccessibility of documents, including mails, letters, reports etc. lack of documentation detailing verbal decision making processes; lack of control over access to records; inability to locate records or track their movements; premature destruction of records without appropriate approval or retention of records without documented reason. Personnel records are one of the basic litigation support tools. Without them there can be no litigation as they provide information through which evidence is derived and decisions are made about employees (Kanzi, 2010).

Mnjama (2004) adds that states personnel records not only document past decisions; they often establish and protect the current rights and responsibilities of both the government and the governed. From human resource management perspective records documents the fundamental rights and entitlements of employees and their obligations.

Agere *et al* (1999) argue that keeping of personnel records and storing of information in an organization has in the last few years become critical not only for career historical purposes but also, and more importantly, for current and future managerial and policy development. Personnel records therefore provide the basis for development of these documents and gives evidence of compliance to them.

Kenya Anti-Corruption Commission website states that opportunities for corruptions are manifested through lack of regulations and guidelines, manipulation of personnel records, poor storage and maintenance, loss and delays of personnel records retrieval (KACC, 2011). According to World Bank (2000) well managed personnel records provides cost- effective deterrent to fraud and corruption. Properly kept and authentic personnel records can serve as evidence to identify abuse, misuse and non-compliance with financial institutions and other laws and regulations. Thus proper personnel records management protects and organizations against poor human resource management. An effective personnel records management system is a critical element in the preparation of an institution's payrolls. It will allow for verification of the completeness and accuracy of data report in financial statements and assist in compilation of the audit process.

The World Bank (2000) state poor recordkeeping affects the entire accounting function, with the result that reporting and auditing may become virtually impossible. Personnel records management seeks to efficiently and systematically regulate creation, use, maintenance, and final disposition of the personnel records which are routinely created as a result of an organization's recruitment and employment. Personnel records management will help to ensure that only the right information is created in the first place; information is kept as long as it is necessary and no longer; information can be retrieved in a timely and controlled manner.

Harries (2009) argues that achieving overall success is more than the sum of individuals parts. It depends, very often on a successful sharing of meaningful information between parts. This emphasizes the significances of embracing ICTs in personnel records management. Modern ICTs when properly harnessed will contribute towards eliminating congestion and loss of files which exposes the organization to danger of delayed access to required information contained in personnel records. Harreis (2009) further adds that a breakdown in the sharing of information between parts leads to a poor service delivery.

The linking between personnel records and human resource management cannot be ignored. It is clear that poor personnel records management is a major source of challenges in managing employees in organizations. Proper personnel records management is therefore critical for successful human resource management.

2.10 Related Empirical Studies

The study sought to identify any previous studies linking personnel records and human resource management in county governments. The study found out that such a study has not been undertaken before although one such study was undertaken in banking sector this section discusses studies relating to both personnel records and human resource management and their significance to the current study.

Ambira (2010) carried out a study on *Personnel Records* management and human resource management at Kenya commercial bank limited, Nairobi area. The aim was to investigate personnel records and effects in human resource management at KBC and to suggest recommendations and a framework to enhance both personnel records management and human resource management. A major finding of the study was that poor personnel records management practices across KCB were in themselves a

considerable source of poor human resource management. This corresponds with the findings of the current study which also reveals that poor personnel records management practice at Uasin–Gishu county government has exposed the county government of UG to various challenges in managing its employees, amongst the operational, financial, strategic and compliance. The study recommends that personnel records should be integrated with records management program within the KCB’s enterprise- wide management strategy plan.

Kanzi (2010) investigated *The Role of Personnel Records Management with Specific reference to Anathole District Municipality*. The purpose of this study was to investigate the role played by personnel records at Anathole District Municipality. On significance to the present study was the author’s view that “every institution’s management has a duty to protect its human resources. Among the major findings of the study was that the personnel records management function was not receiving the attention it deserved at the organization and that Anathole Municipality district’s records management programme was still in an infant stage. The study recommended that the personnel records management function is incorporate into the organization-wide strategic plans and that the records managers should participate in the records management programme so as to ensure that all personnel records management are brought to the attention of the management and are included in the strategic budget plan. The recommendations correspond with those put forth by the current study.

In a thesis dissertation submitted by Ndeje-Sichalwe (2010) entitled *The Significance of Personnel Records Management to Fostering Accountability in the Public Service Reform Programme of Tanzania*, the author investigate the extent to which personnel records management practices fostered accountability in the public service reforms programme (PSRB) in some government ministries in Tanzania in order to establish

the extent to which they foster accountability in public service reform programme. The findings of the study indicated that personnel records in some government ministries in Tanzania were not properly managed to foster accountability in the implementation of the PSRP. Another significant finding of the study was that security control of records and archives was lacking in some government ministries. These findings closely relate to the current study since accountability, authenticity and trustworthiness of personnel records were measures lacking.

The importance of personnel records management in managing human resource is highlighted in a study undertaken by Ngoepe (2008) *An Exploration of Personnel Records management Trends in South African Public Sector: A case study of the Department of Provincial and Local Government*. The study explores personnel records management trends in the department of the provincial and local government (DPLG) to establish if the department was managing personnel records according to legislative requirements. Key findings of the study included: personnel records management was not an objective of the strategic plan of the department; there is no integrated records management programme to receive the attention it deserves, it should be a strategic objective for the department's strategic plan. The author emphasizes the need to sensitize staff and the top management on the benefits of good recordkeeping practices. Just as in the present study, findings in both studies indicate that proper personnel records management is essential to human resource management process efficiency.

2.10 Chapter Summary

Personnel records management is an equally vital tool in the running of organizations since it forms the base for the effective implementation of all business activities. This chapter has presented the review of literature relevant to the aim and objectives of the

study. It has also discussed the theoretical framework upon which the study was based. The chapter has also discussed record management, issues related to personnel record management, human resource management, impact of computerization of personnel records and the challenges of managing personnel records.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter discusses the methodology and techniques that were used in the study. These include a discussion on the research design, study population, sampling methods, and procedure for data collection. Also discussed are reliability and validity of the research instruments; pilot study and pre-testing of the instruments; ethical issues and data presentation and analysis related to the study. Crofty (1998) defines methodology as a strategy, plan of actions or design lying behind the choice of particular methods linking the choice and use of methods of desired outcomes.

3.2 Research Approach

According to Bryman (2008) a research approach is categorized into two main broad categories, a quantitative research approach and qualitative research approach. In quantitative approach the research asks specific, narrow questions and collects a sample of numerical data from participants and answer the question. The researcher analyzes the data with the help of statistics. Qualitative research on the other hand asks broad questions and collects word data from participants. The researcher looks for themes and describes information in themes and patterns exclusive to that set of participants.

The study made use of qualitative approach where a case study was applied. Qualitative approach deploys a wide range of interconnected methods that is unstructured or semi-structured techniques for example individual depth interviews or groups discussions endeavoring always to obtain a clear perception of the subject matter (Kothari, 2008).

3.2.1 Qualitative Research Approach

A Qualitative study approach was used in this study as it has been clearly noted by Kothari (2008) that the approach helps the researchers to deploy a wide range of interconnected methods endeavoring always to obtain a clear perception of the subject matter. Qualitative techniques were employed to collect data using face-to-face interviews and documentary review. Qualitative approach was preferred as it provides rich data about real life situations and is able to make sense of behavior and understand behavior in context (Bryman, 2008; Creswell, 2005). In this study qualitative approach involved the use and collection of a variety of empirical materials by in-debt interview. Since a qualitative method is concerned with the participant's perceptiveness of the topic under study it mainly focused on the processes and verbal descriptions. It also sought the insight of the topic in the study rather than generalization (Babbie 2005; Burns, 2000).

The approach was used in order to explore the issues from the perspective of the sample based on their work context. A major strength for the researcher choosing this approach was the depth to which explorations are conducted and descriptions are written, usually resulting in sufficient details for the reader to grasp the idiosyncrasies of the situation (Neill, 2006). The researcher applied this approach in that one of the greatest strengths of the qualitative approach is the richness and depths of explorations are and descriptions. For this reason the researcher was able to achieve the set aim and objectives of the study.

3.3 Research Design

A research design is the overall plan of obtaining research participants and collecting information from them. The research design describe what to do with the participants in collecting information from them (Welman and Kruger, 2001). According to

Kothari (2008: 31) “a research design is the management of conditions for collection and analysis of data in a manner that aims to combine relevance to the research purpose with economy in procedure. The design describes what to do with the participants with view to reaching at conclusions about research problem”.

3.3.1 Case Study

This study adopted a case study approach, as a research strategy it is used in many situations to contribute to our knowledge of individual group, organizational, social, political and related phenomena. Yin (2003) opines that case study is an empirical inquiry that investigates a contemporary phenomenon within its life context especially when boundaries between phenomenon and real life context are not clearly evident. Busha and Harter cited by Mathenge (2001) observe that case studies enable researchers to obtain comprehensive information about a research problem being investigated. Also Mugenda and Mugenda (2004) describe it as an in-depth investigation of an individual, group, institution or phenomenon.

This case study chose to closely examine the use of personnel records to enhance human effective human resource management at Uasin Gishu county government. The aim of the study was to link personnel records and human resource management and therefore case study here was most appropriate as a research strategy as it probed deeper into the extent of application of records management at Uasin Gishu County Government. Yin (2003) state the approach allows an investigator to maintain a holistic and meaningful characteristic of real life events. This information was useful in helping to formulate a framework for incorporating the two aspects into the county Government’s operations. The findings of this study can be applied to other County Government offices in Kenya and in other parts of the world.

3.4 Study Population

This is the whole group, individuals, events or objects having common observable characteristics (Kothari, 2004). According to Gay and Airasian (2000) population is a group to which the study can be generalized. Cooper (2006) notes that population is the total collection of elements about which researchers wish to make inference on. The population of the study 92 which constituted of staff members of the Uasin Gishu county government serving as records creators, custodians, users of county records and key informants.

The respondents from each category were; nine top management representatives, ten Heads of Departments (HODs); 20 Senior Administrative staff; 16 ICT Staff; 25 Records Staff in registries and from other departments and 12 Secretarial Staff. Study population was drawn from the following Uasin Gishu county government departments and offices.

3.4.1 Study Sample

The study sample was composed of 45 respondents made up of six representatives of the top management, seven HODs, nine Senior Administrative Officers, eight ICT staff, nine records staff, and six Secretaries. The top management included representatives from the Office of the Governor, Deputy Governor, Chief Administrative Officer and the Finance Officer.

3.4.2 Justification of the Sample Frame

The researcher purposively selected the sample size from the study population. The numbers were arrived at by selecting staff with the highest relevant qualification and working experience to ensure that data was adequately informative and reliable. Top management were key informants in this study since they were mainly engaged in

decision making, policy formulation, authorization and implementation process which have direct impact on records management and human resource management.

Senior administrative staff and HODs were selected because they are engaged in policy formulation and implementation which determine the management of human resource in the county. They also informed the study on the types of personnel records that they use on daily basis in managing human resource. Registry staff, records personnel working in other departments and secretaries were selected because they were involved with management of personnel records at various stage of the life cycle. IT staff handled technicalities relating to IT infrastructure and resources and informed the study on technical issues and systems.

3.4.3 Sampling Method

There are several sampling methods that can be used by the researcher but their choice must be guided by the purpose of the study and research questions that need to be answered. Kombo and Tromp (2006) observe that study sampling designs are divided into two broad areas:

- (i) Probability sampling.
- (ii) Non-probability sampling.

In this study the researcher adopted a non-probability sampling strategy. Purposive sampling was used to select respondents from the study population. The sampling method provided the researcher with the opportunity to select a sample that provided in-depth information. Gerrish and Lacey (2006) opines that purposive sample as one where people from a pre-specified group are purposively sought out and sampled.

In purposive sampling, researchers rely on their experience and ingenuity to select respondents who seem to be appropriate for the research study. Patton states that this

sampling technique has no rules for sample size and all that one needs to consider is what one wants to do, purpose, usefulness, creditability and what can be done with the available resources. He adds that qualitative inquiry typically focuses on in-depth on a relatively small sample, even single cases. The main emphasis is relevance rather than representativeness.

3.4.4 Sampling Techniques

There are three main sampling techniques which include; random, systematic and stratified sampling. Purposive random sampling technique was used to select respondents from the study population. Gerrish et al (2006) define purposive sample as one where people from a pre-specified group are purposely sought out and sampled. In purposive sampling, researchers rely on their experience and ingenuity to select respondents who seem to be appropriate for the research study.

3.5 Data Collection Methods

In this study interviews and observations were used to elicit information from the selected respondents. The choice of the data collection instruments was determined by the research design employed for the study.

3.5.1 Interviews

It is person –to –person verbal communication in which one person (or a group of person) asks the other questions intended to elicit information or opinions (Oso and Onen, 2008). The study mainly made use of face-face-interviews as a means of getting the required information. The researcher used semi-structured interview schedule, this method facilitated flexibility of questions and allowed for in-depth probing of queries. It also enabled the interviewer to initiate and control the exchange. As a result, comprehensive and reliable data, relevant to the subject of study was

collected. Face-to-face interviews also help in accessing people's perceptions, meanings, and definitions of situations and construction of reality.

3.5.2 Observation

In an observation study, the current status of phenomenon is determined by not asking but by observing (Mugenda and Mugenda, 2004). Certainly, observation method was applied in this research in order to compliment the interviews and also to capture issues not captured during the interviews. An observation guide was drawn as a guiding tool. The information related to what is happening and was not complicated by either past behavior or future intentions or attitude of the sample.

Observation helped the researcher to collect data on issues and topics that were uncomfortable to informants to disclose and helped to notice unusual aspects. This tool also helped to clarify inconsistencies that rose between what respondents said and what they did or actually happened in the place of study. For example i.e. cleanliness, firefighting equipment, registry doors, control tools, storage facilities and physical handling of records.

3.6 Data Collection instruments

The researcher made use of an interview schedule and observation guide. Interview schedules consisted of a list questions based on the research objectives and research questions. Observation guide on the other hand listed items were physically checked and remarks made based on the current state of the items checked.

3.6.1 Interview Schedule

Semi-structured interview schedules consisting of open-ended questions were prepared for data collection. The researcher also ensured that the language was understood, simple and straight forward. In the cases of seeking clarification

telephone interview was used where necessary on information previously given. Data was collected mainly by note-taking.

3.6.2 Observation Guide

The researcher designed observation guide consisting of key aspects to be observed. Data was mainly collected by physically inspecting the current state. The researcher also observed the records management operations done in registries and made remarks on the observation guide. Among the items that were observed included:

Records creation, maintenance and storage, handling of the records, maintaining physical condition of the registry, control tools, security measures and general cleanliness.

3.7 Procedures for Data Collection

Data collections for this study commenced after successful defence of the proposal. Upon successful defence, the researcher filled a form informing the National Council of Science and Technology (NCST) of the researcher's intention to carry out the study. Once approved and on payment of the requisite fee, the researcher was issued with a research permit, authorizing this research. The researcher then booked appointments with the relevant offices at the Uasin Gishu County Government. Once clearance was obtained, the researcher visited the institution to interview the members of staff and researchers.

3.8 Validity and Reliability of Data Collection Instruments

Nassiuma (2000) state it is the extent to which what is observed reflects what is expected. This is the manifestation of accuracy and authenticity of the methods applied and the potential for generalizations.

3.8.1 Validity of Data collection Instruments

It “Validity is concerned with whether the findings are really about what they appear to be about” (Saunders, Lewis and Thornhill, 2007). To ensure validity of the study, the history surrounding the gradual evolution and development of the county government was checked and verified to ensure that only true facts were recorded.

3.8.2 Reliability of Data collection Tools

To attain reliability the questions in the interview schedules were written using simple terms in order to avoid ambiguity. The use of simple language also allowed all participants to comprehend questions well thus providing accurate answers. In cases where participants did not understand question the researcher clarified them.

The researcher explained the purpose of the study before interviewing the respondents so that their focus would remain within the aim of the study. Also a continuous consultation with the researcher’s academic supervisors was done. Reliable data was ultimately achieved which Kothari (2004) describes as a measure of the degree to which a research instrument yields consistent results or data after repeated trials.

The use of multiple data collection methods (triangulation) also increased credibility of the findings which were tied to the objectives to control any deviation from the problem. As a research strategy, triangulation had the benefit of raising social scientist that stem from single methodologies. This was achieved through use of interviews and observation which were all geared towards complimenting each other to attain data validity and reliability of the study, by combining two methods in the same study, the researcher partially overcame the deficiencies that arise from using one method.

Golafshani (2003) support the above sentiments stating that it is the degree in which results are consistent and accurately representing the total population which is under study with a probability of getting the same results under similar methodology.

3.8.3 Pre-testing Data collection instruments

The research instruments were pre-tested to check whether contents in the data collection instruments were interpreted the same by all the participants. The pilot testing was conducted one week prior to the main study using six staffs within Uasin Gishu County government. This group was picked through random sampling, from the relevant strata of the study population but not on those who will form part of the final sample. All the six staff were interviewed by the researcher, the pilot study also enabled the researcher to find out if the selected questions were measuring what they were supposed to measure, if wording were clear and if all questions were interpreted the same way by sample.

After the pilot study, it was noted that the terminologies used were not clear and the researcher used the feedback obtained to amend the data collection instruments making questions more precise and clearer.

3.9 Data Presentation, Analysis and Interpretation

Analyzing data mainly deals with the organization and interpretation of the collected data. Oso and Onen (2008) observe that data analysis entails separation of data into constituent's parts or elements or examination of data to distinguish its components parts or elements separately and in relation to the whole. The data collected was analyzed thematically in line with the objectives and research questions of the study. The data was organized and the relationship between the categories established. Themes and categories were established using codes. The codes were used to identify

specific information, facts, attitudes and feelings from the text. Tables and percentages were dominantly used to reveal the relationships between various variables. The researcher then made use of the information to answer the research questions. This process supported the statement made by Mugenda and Mugenda (2004) that data analysis is the process of bringing order, structure and meaning to the mass of information collected.

3.10 Ethical Considerations

In order to ensure that research ethics were adhered to the researcher explained to the respondents about the study prior to data collection. The main reason for carrying out the study was explained to all study subjects before starting the study. They were all fully aware of the aim and the objectives of the study and them participating in the study was by their own willingness. In order not to plagiarize the researcher acknowledged authors whose work was consulted. The identity of all respondents was kept secret thus guaranteeing their confidentiality. Also the names of respondents were not disclosed.

The findings from the study have been used in aid of the main reasons for carrying out the study. Honesty was also another value that guided the researcher and data collection, presentation, analysis, findings and interpretation.

3.11 Chapter Summary

This chapter has presented the methodologies and techniques which were used in the study. It has also discussed qualitative methodology, study population, sampling techniques, sampling procedures and data collection methods. The main research approach used for the study was the qualitative research method. As a result of the qualitative nature of the study, a small sample size was selected from the study

population, which the researcher considered to be adequately representative as to allow generalization for the population. The research instruments used during data collection have been discussed, giving justification for their selection. Data presentation, analysis and interpretation have also been discussed. The data collection tools which were used are interviews and observation. The study used the triangulation method to ensure validity and reliability of the data that was collected. Ethical issues are also explained.

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1 Introduction

The chapter presents analyses and interprets the research study findings. Interviews and observation were used in collecting data from forty five (45) respondents. The data presentation is descriptive in nature whereby the objectives and research questions were used to guide data presentation. This study investigated the management and use of personnel records for effective human resource management in the Uasin Gishu County government. As stressed by Kothari (2004) it is only through interpretation that the researcher can expose relationships and processes that underlie the findings.

The data was presented, analyzed and interpreted as follows;

1. Categories of respondents and interview response rate;
2. Nature of Personal files at Uasin Gishu county government
3. Current state of records management at Uasin Gishu County Government;
4. Role of personnel records in human resource management
5. Computerization of Personnel records in the Uasin-Gishu County Government.
6. Policies, systems, standards and procedures that guide the management of Personnel records
7. Challenges of Personnel records management in view of the current state of records management;
8. Strategies to be adopted to address the challenges facing Personnel records management
9. Respondents' suggestions.

Study findings are presented depending on the categories of respondents which comprised of staff from Top Management, HODs, Senior Administrative Officers, ICT personnel, Records staff and Secretarial staff. Statistical data is presented using tables and figures.

4.2 Characteristics of the Sample Population

4.2.1 Study Sample

A respond rate 100% was achieved by the study, the researcher was able to affirm Kothari's (2004) that using interview technique to collect data ensures that samples can be controlled more effectively as there arises no difficulty of missing returns and nonresponse generally remains very low. The total number of respondents interviewed was 45. They included six top Management representatives (13.3%), seven HODs (15.5%), nine senior administrative officers (20%), nine registry staff (20%), eight ICTs staff (17.7%) and six secretaries (13.3%).

4.2.2 Education level of the Registry Staff respondents

The education background of the respondents was deliberately taken to measure the respondents' understanding of the problem at hand as compared to their levels of education. The researcher determined the level of professionalism in records management of the registry staff so as to ascertain whether the Uasin Gishu conforms to the government regulation that all public service employees should be adequately trained in areas of specialization. Table 4.1 shows the breakdown.

Table 4.1: Education Background of Registry staff Respondents

Education	Registry staff	
	Freq	%
Level of Education		
Master in Records and Archives Management	-	
Bachelor in Records and Archives Management	1	16
Diploma in Records and Archives Management	8	40
Certificate in Records and Archives Management	9	12
None Records and Archives Management	7	24
Total	25	100

Table 4.1 shows that none of staff had attained masters education level in Records and Archives Management. One had bachelor in RAM, eight had Diploma in RAM, nine had Certificate in RAM and seven had no training in records and archives management. This conforms to the government regulation that all public service employees should have educational qualifications not below form four. The general remarks from all respondents were that although the county government of Uasin Gishu has recruited trained records management personnel in the recent past, most of them were deployed to perform duties in areas that were not related to their field of specialization. For example some of the trained record personnel were posted to finance department.

4.3 Types of Personnel Records created at Uasin Gishu County Government

One of the objectives of the study was to analyze the type of personnel records created at Uasin Gishu county government. In this part the study sought to establish the types of personnel records which were created for managing the personnel at Uasin Gishu county government. An understanding of human resource functions was necessary to establish the type of personnel documents created for managing human

resource. The respondents in each category were asked about their views on the types of personnel records as a result of human resource management activities. Their responses varied as discussed below.

4.3.1 Feedback From Respondents

Feedback from the Management

A total of six top management staff were interviewed and they were asked about their key functions and they cited the following: Strategic planning, policy formulation, resource mobilization, review and monitoring of decisions made by county, management and accounting of funds, constitute various committees to perform various functions and finally act as a bridge between county and the staff.

Personnel records created out of these activities included; policy and strategic records, payroll records, disciplinary papers, training and staff development, labour requirements, staff performance, internal memos and circulars.

The data from respondents indicated that the management staff were engaged in essential human resource management activities which resulted in generation of important personnel records.

Feedback from HODs

The study sought to establish the human resource management activities and personnel generated. A total of seven HODs were interviewed. The respondents indicated that their duties were: participating in strategic planning i.e. staff establishment, ensuring smooth running of the departments activities, overseeing implementation of county program, supervision of staff, representing staff on various committees, recruitment of staff and liaison between departments and top management.

The personnel records created in the course of these activities included: staff performance, staff statistical records, advertisements, interview reports, appointment letters, and disciplinary letters. One of the head of department that is registry said that an official personal file for an individual employee was not created until the candidate met the following requirements; taken up his or her post, a letter of appointment had been issued and a temporary file had been created. This ensured that the paperwork involved in the recruitment process was not retained if there was no appointment.

Data from the respondents revealed that HODs were engaged human resource management activities that generated important personnel records that require proper management for effective human resource management.

Feedback from Senior Administrative staff

Nine respondents were interviewed and asked to state their responsibilities, their responses were: performing duties pertaining to staff recruitment as advertisement of positions, shortlisting and interview of staff. They took part in strategic planning, attending committee meetings, staff supervision, coordinate county activities, implementation of decisions made by management and accounting of funds.

Some of the records created by their activities included: payroll records, advertisement, disciplinary letters and staff performance documents.

Feedback from ICTs Staff

The eight respondents were asked about their duties in county and the responses are as follows: system administration and maintenance, ICT formulation policy, training staff on ICT skills, maintenance of county website and database management.

Their activities gave rise to various personnel records which include: ICT staff records, ICT training records, e-mail records and policy documents, payrolls, internal memos and circulars.

Feedback from Registry Staff

The nine respondents in this category responded to be involved in the following activities: records creation, selection and appraisal, maintenance and use, retrieval and access, storage and security, disposition of records, provide advisory services and represent HODs in meeting when called upon.

Personnel records generated by their activities included: medical records, legal records, circulars, correspondences, letters of appointment, promotion, training, disciplinary letters and copies of academic qualifications. Three registry staff also added and said that there were two main personnel records created in the county, the master and working files. Master file was maintained longer period at the central registry record as its contents were the most valuable record of an individual's career with the employer. Working personal files on the other hand contained reference information needed and were used for a particular personnel function. The file did not contain original documents and were retained for a short retention period.

The data collected revealed that registry staff at Uasin Gishu County had the responsibility of protecting records throughout their life-cycle and availing the on time when required. This meant protecting records from all agents of destruction to guarantee their availability.

Feedback from Secretaries

The respondents sampled in this category included six secretaries. Their duties were as follows: receiving and making official calls, handle incoming and outgoing mails, creation, maintenance and storage of e- records and dealing with enquiries.

Personnel records created out of these activities included: internal memos, appointment letters, disciplinary letters, promotion, annual leaves and forward job plans.

The data collected from the secretaries indicated that they were an important link between records custodians that is the central registry and records creators and users in the county.

In this study it was relevant to analyze the major activities carried in Uasin Gishu County in order to depict clearly the relationship between the two major elements of the study personnel records and human resource management. From the above results of activities undertaken by the researcher showed that all respondents interviewed were engaged in personnel records management activities at various stages of the records life-cycle.

4.3.2 Personnel Records Management

One of the objectives of this study was to find out how effectively personnel records are managed in the Uasin Gishu County Government. To achieve this objective various questions were asked to all groups of respondents and the results are presented below.

Feedback from Top Management

Top management respondents were asked to state how important personnel records were in the Uasin Gishu county government. The question received anonymous responses as all six respondents underscored the importance of personnel records as a human resource issues concerned. When they were asked about the state of personnel records management in the Uasin Gishu county government, all stated that it was not quite good but it was improving.

Feedback from Secretaries

All secretaries responded that they had good understanding on the importance and contributions of proper records management and reported that they were creating some of the personnel records. One respondent observed that: “information is power and without information sound decisions cannot be made.”

Feedback from Registry Staff

Nine respondents from this group registry staff were asked about the current state of personnel records at the county. They all had varying views when they were required to assess the management of personnel records in the Uasin Gishu county government. Three respondents (33.3 %) said it was good while the rest, six (66.6 %) said it was not good. Those who said it was not good mentioned the difficulties with which it takes to use them due to the fact that files were dismantled hence files were so disorganized. All of them said that personnel records were often used in day to day work because of routine matters such as staff requests for leave approval, issues of promotion and retirement. When asked whether or not they often received and required personnel records, all of them answered in the affirmative, especially for that staff that were still in service. However, they added that the problem arose when the

personnel records for retired staff were required. In a situation where the files requested were not found or could not be delivered in time the only alternative was to allow more time to look for the file. They were aware that this kind of slowness often delayed decision making and hampered quality service delivery.

Feedback from ICTs

ICTs were asked about the type of personnel records they keep in their offices. In responses five (63%) who were from open registry said they were responsible for keeping open personnel records and three (37%) from confidential registry said that they were responsible for confidential personnel records management. All the records were in paper form and no electronic records were kept in either registry. They pointed out that the records were created during recruitment process. All documents contained in an individual's application package were filed in an open file. However letters of first appointment were filed in a confidential file.

Feedback from Registry staff

Registry staff noted that personnel records were organized according to seniority in which case files of senior officials, Governor and Deputy Governor were kept separate from those of other staff. They further explained that personnel records were classified in serial numbers and were regularly updated particularly during leaves, promotions and transfers. Majority of the respondents for example, six were five from open registry and one from confidential registry, said that there was enough space and equipment to carry out their responsibilities while the remaining two all from confidential registry, said the space was not enough and the equipment were rather outdated.

4.4 Contribution of Personnel Records in enhancing Human Resource Management

The study sought to establish the role of personnel records in human resource management at Uasin Gishu county government. In this part respondents were asked about the extent to which personnel records have enhanced service delivery.

4.4.1 Feedback from Respondents

Feedback from Top Management

The study sought to find out from this group of respondents their awareness or lack of it on the significance of personnel records in human resource management at the county. This was confirmed when all the six respondents acknowledged that personnel records were important in effective human resource management, therefore these records be identified and managed properly. They all said that personnel records supported deployment, supervision and development of staff.

Feedback from HODs

The study sought to find out from the respondents on their awareness on roles of personnel records in human resource management. They all said that personnel records crucial in the management of human resource; hence they were all aware of the significance of personnel records in human resource management. They all said that these personnel record document the work histories of employees and they were the basis upon which all decisions about employees are taken.

Feedback from Senior Administrative Staff

The study sought to find out if this group of respondent knew of the role of personnel records in human resource management. All the nine respondents said that personnel

records supported the County human resource operations by providing reliable information about decisions and actions of county staff.

Feedback from ICT Staff

Eight participants in this group of respondents were asked whether they saw any value in personnel records in human resource management. All the eight respondents said that these records acted as a point of reference when all decision relating to staff issues were being taken. One of the respondent added that the records controlled ghost workers thus promoting transparency and accountability.

Feedback from registry staff

The study sought to establish the roles of personnel records in managing human resource from the nine respondents in this group. They all said that these records facilitates monitoring and evaluation of staff performance and promote effectiveness and efficiency hence leading to good service delivery. They said that personnel records were used to document every ones work history which is very important to the accomplishment of human resources functions selection, recruitment, staffing, monitoring and evaluation, promotion, transfer, disciplinary, sickness, leave and retirement.

Feedback from secretaries

In line with determine the role of personnel records in human resource management, the study sought to establish it from six respondents in this group. All the respondents displayed good understanding on the importance of personnel records. They all said that personnel records encouraged faster and informed decision making by reducing complaints and safeguarding county employee's benefits, rights and entitlements.

It was evident from the findings that institution fully supports the contributions of personnel records in human resource management. Lyaruu (2005) also emphasizes that personnel records plays a vital role in human resource management. In the following ways:

- i. Personnel records were concerned with documenting the work histories of public service employees;
- ii. They are the basis upon which all decisions about employees are taken leading to better and faster decision making;
- iii. Enhances service delivery functions, personnel records were often used in a variety of other activities in the public service and thus they should be available, well-managed and available when required;
- iv. The information contained in personnel records supported the management, deployment, supervision, and development of government employees;
- v. Reduce complaints from customers;
- vi. Improve public servant's benefit and safeguard civil servants rights and entitlements.

Combining personnel records and human resource management will propel Uasin Gishu county government towards the realization of set goals and objectives.

4.5 Current state of Records Management and Operations

The study investigated on the state of records management at Uasin Gishu County Government. The researcher made use of the observation guide, to physically check aspects that could not be captured by the interview schedule i.e. physical conditions of the file folder for example are they torn. This task was very crucial in order to check the existing records management practices have led to care of the records. The

elements investigated to meet this objective revolved around the four actions of records care under the Continuum model identified by Millar (1997) that is, identification and acquisition; intellectual control; access, and; physical control.

(a) Control tools

Almost all control tools were available at Uasin Gishu County Government registries and were correctly used. However, there are some incidences where a file cannot be taken to action officer without being registered simply because a file is shortly needed and can be returned immediately.

(b) Registry Layout

At the Uasin Gishu county government, the researcher observed that somehow provide for sufficient and efficient management of personnel records and maximum service delivery. However many archival boxes of closed subject's files were seen accumulated inside the registries which always caused chaos. Both registries (open and confidential) were located about 100 meters from the main office building. This caused some difficulties to registry staff in provision of quality services especially in the manual system used.

NAI (2006) observed that while consideration of the location and design of the records room, the nature of the holdings, their bulk, working and functional requirements, security aspects and the rate of annual accession of records are very important factor that have a bearing on the selection of a specific room for storage of records, ISO 15489-1 (2001) instructs that the selection of storage options should take into account access and security requirements and limitations in addition to physical storage conditions. Records that are critical for business continuity may require additional methods of protection and duplication to ensure accessibility in the event of

disaster. To ensure that the records are adequately stored and protected, the facility need to be assessed against the location which should be easily accessed and should not be areas of known external risks, and the building structure should provide the suitable range and stability of temperature and humidity levels, fire protection, protection against water damage and protection from contaminants.

Thus physical security of the records is primary dependent on the storage environments, the manner of their storage and the care deployed in their handling and upkeep. There are various factors that need consideration like; the location and design of the storage room, equipment/facilities, storage environment, materials and the steps adopted to safeguard them against fire hazards, floods among other risks.

(c) Physical condition of the registry

The situation at Uasin Gishu county government registries' was found to be fit for the purpose of storing paper personnel records. But there were leakages of water from air-conditioning machines which found its ways into the registry.

According to ISO 15489-1 (2001) factors that influence records storage are; weight, floor space, need for temperature and humidity controls, and particular physical preservation requirements of the records media. Records in electronic formats need to be converted or migrated. Records will need to be protected from fire, flood and other risks according to local circumstances.

(d) Cleanliness

The registries at Uasin Gishu County Government were not clean. Food remains and drinks were seen on tables as eating inside the registry was a common practice for registries' staff, a situation which provided a favorable environment which attracts biological agents of deterioration like pests, cockroaches and rats. Accumulation of

dusts was clearly evident especially in closed records centre. Regular dusting was not a norm particularly in the record centre as cobwebs on walls and ceilings were seen.

(e) Storage and Handling of Records

It was observed that the personnel records were not stored in good environmental conditions. Personnel records in use were stored in metallic cabinets while closed personnel records were stored in archival boxes which were placed on metal shelves. It was further observed that most closed personnel records especially those of retired officers and those who had died were not moved to records centre. In whole records did not receive maximum care. Cases of records being placed on top of tables in no particular order and on the floor were rampant. In some cases, file cabinets were left open all day long. The open registry had adequate light and ventilation but this was not the case for the confidential registry.

Furthermore, the observation showed that storage and handling of records was not appropriately done as they felt short of accepted international standards such as the ISO 15489-1 Information and documentation-Records Management. According to National Archive of India (NAI)(2001) for instance, the provision of a congenial atmosphere for longevity of records require that the climate of the storage area show only slow and steady changes in temperature and relative humidity. Regulating temperature and relative humidity is possible only by air conditioning plant. However, in spite of these endeavors, failure of power which is endemic in many offices or breakdown of mechanical systems results in stoppage of supply of conditioned air to storage area and creation of pockets of stagnant air as the conditioned air is heavy. Accelerated growth of microorganisms in such an eventually brings about rapid decay of paper and other organic records components.

The ISO 15489-1 (2001) points out that records should be stored on media that ensure their usability, reliability, authenticity, and preservation for as long as they are needed. Issues relating to maintenance, handling and storage of records arise throughout their existence, not only when they become inactive. In this regard, records require storage conditions and handling to preserve them for as long as that value exists. Storage conditions and handling processes should be designed to protect the records from unauthorized, loss or destruction and from theft and disaster.

However, the observation of the storage and handling of records in the Uasin Gishu County government found numerous inadequacies. These were mainly rooted on technical in capabilities of the registries' staff and lack of management and leadership skills. Griffin and Mazikana (2007) noted that huge volumes of paper were overwhelming the registries and that the records themselves were incomplete and fragmented, with records about the same individual scattered throughout the system in both open and confidential registries. That, in nearly all registries, files and boxes was heaped, often haphazardly, on the floor and all available work surfaces. A review of the civil service in Uganda in 1987 stated that "No temperature, humidity or pest control exist, so paper is rotting, metal is rusting and there are layers of insects on files (Mordell and Smith, 1987 pg. 57).

(f) Risks Management and Security Measures

It was observed that registries' doors were half cut but not that of record centre. Each registry room had one fire extinguisher; however, they were not charged at all showed one year past the date set for maintenance. The staff were not trained or given initial instructions to operate them.

4.5.1 Functions of Records Staff in Uasin Gishu County Government

All the nine (100%) registry staff respondents reported to be involved in the following records management activities:

- i. Receipt, capture and creation of records, files opening and entering data;
- ii. Selection/appraisal and classifying documents possessing “record” qualities which include financial, administrative, historical, vital and legal values;
- iii. Maintenance of records – ensuring that files are in good condition and that storage conditions in the records office are ideal.
- iv. Provide quick access to records– by naming records properly, storage and providing records to action officer when they are required;
- v. Providing accommodation and security – restricting records access to authorized staff only;
- vi. Disposal of records – performs records appraisal to determine valuable and less valuable records for appropriate action.
- vii. Preparation of various reports such as file census, financial, expenditure and accounting reports.
- viii. Advice on issues relating to records management like procurement of records materials and equipment and
- ix. Represent action officer when called upon. The records created and generated by their activities included: correspondences, minutes, circulars, inventories, vital records, administrative, personnel, students records, academic, financial records, legal records, statistical, Health/Medical records, Senate, Management records, audit and other reports.

The findings showed that records staff at Uasin Gishu County Government were tasked with the responsibility safeguarding records from creation stage to disposition

stage and providing access to them on request. They also have the responsibility of protecting records against all agents of destruction.

4.6 Computerization of Personnel Records in the Uasin-Gishu County Government

Another objective of this study was to determine the extent to which personnel records in Uasin Gishu County Government registry have been computerized. The researchers tasked all respondents to give remarks on the following aspects in relation to the state of computerization of records;

- (i) Existence of policy on computerization county government records.
- (ii) Significant improvements on computerization.
- (iii) Staff involvement in computerization.
- (iv) Extent of computerization.

The respondents were asked to comment on the application of ICTs in managing records in their departments. The question asked received various responses. All of the respondents reported that they handled electronic records and that most of the departments were in the process of computerizing their paper records.

Feedback from Top management

In that respect top management were asked if there was a policy on computerization of personnel records. In response all the six (100%) said there was no policy on computerization of personnel records as nearly all the records in the registry were in paper form, though there was an ongoing scanning exercise. They noted that the scanning project intended to enhance quick location and retrieval thus promoting efficiency in accessing information to carry out human resource management functions.

Feedback from Senior Administrative Officers

Senior administrative officer respondents added that the programme was also intended to encourage sharing of resources among the departments charged with the responsibility of managing benefits and entitlements of employees, create databank to accommodate and enhance quick retrieval of employees' information and backup and also create a tool to control ghost workers by providing accurate payroll information so as to account for all employees' salaries.

Feedback from HODs

All the seven (100%) HODs respondents said that they used computers to create, receive and store records. They also admitted that despite having computers, they still worked more with paper records than records in electronics format. Regarding the efficiency of the manual records management system, one respondent said he was fairly satisfied with the system in the County. The other six respondents were dissatisfied with the manual system since it reduced efficiency in work performance. One respondent said that: "the manual system is time consuming since getting files from the registry is not efficient". This encouraged most of the action officers to retain files in their offices hence creating parallel registries in their office for the fear of not getting the files in future when a file is requested.

The respondents further explained that in such incidences where action officers hold the files, it was impossible to track the exact location of a file which was out of the registry, thus delaying the decision making process by action officers. All HODs (100%) again reported that there was a reflection of the chaotic state of the paper-based records system to which computerization would have solved the problem.

Feedback from Registry staff

The researcher also asked the respondents about the extent to which personnel records had been computerized in the Uasin Gishu County Government. All respondents said this had been done partially. They pointed out that in spite of the scanning; some documents were missing in the files. About 20 classes of documents were identified for scanning for every staff using an automated system but not all staff had the documents required.

All the nine respondents from this group said that the Central Registry was in the process of creating a human resource database for the personnel records, while the Finance department used computer to store staff records, payroll, financial accounts and budget records among others. To the question of whether or not they were aware of any digitization exercise involving personnel records in their organization, nine (100%) registry staff answered in the affirmative. They, however, complained that they were not entrusted with the custody and operations of the registry. They said that it would have been most desirable if they were actively involved in the exercise so as to familiarize themselves with not only the exercise but also the expected outcomes so as to gain experience in the use of technology.

Feedback from secretaries

All respondents said that they used computers to create, receive and store records. They also admitted that despite having the computers they still worked more with paper records than e- records. Regarding the efficiency of the current system, one respondent said that she was fairly satisfied with the system in the county. The other five respondents said that they were dissatisfied with the manual system since it reduced efficiency in the work performance. One of the respondents said that: “the

system was insufficient since getting files from the registry is a nightmare”. The respondent further explained that sometimes it was impossible to trace the exact location of a file which was out of the registry, thus delaying decision making process by the action officers.

The findings from all categories of respondents revealed that records management system in the county was predominantly manual, though mechanisms were in progress to transfer records to a computerized records system. Most of the respondents reported dissatisfaction with the manual system indicating that it gave rise to the challenges in records management activities some of which include: shortage of storage space, delays in retrieval, loss and misplacement of records, wear and tear, and lack of control over records resulting to unauthorized access among others.

These findings show that majority of the respondents were of the view that manual system prime cause of poor service delivery hence ineffectiveness in human resource management. Most of the respondents revealed that computerization was underway, however the finding further revealed that computerization process was not managed by professional records management staff, hence requirements of good e-records was not incorporated into the system. Mjama (2004) fully captures the challenges posed by the adoption of ERM when he observes that “although the introduction of ICTs in government ministries and department might have hailed as a major step towards improved information processing and provision, it has had negative effects on the development of an efficient records management program”.

In the previous study undertaken to investigate the management of e-records at Moi University, the author states in her findings that “it was apparent therefore, that the

creation and receipt of e-records did not adhere to any records management principles or policy” (Nasieku, 2010). The study found this to be a situation at Uasin Gishu county government whereby paper records were printed unnecessarily, resulting to proliferation of papers which ended up taking office space.

On the summary of issue of computerization as stated by respondents were as follows;

- i. No policy on computerization of personnel records.
- ii. No significant improvements in the personnel records management in the registry had been achieved as a result of digitization exercise.
- iii. Registry staffs were not fully involved in the digitization exercise.
- iv. Computerization was done to some extent.
- v. Personnel records were managed by trained staff.
- vi. Computerization had been effected in most departments.
- vii. There is need to have new Records Management infrastructures.

4.6.1 Impact of the Current Records Management System

The study sought to inquire respondents on the effect of the current record keeping system on their work. Respondents from all categories confirmed that the records management system was basically manual and acknowledged that the system impacted negatively upon management activities of the County government. Some of the problems pointed out by the respondents on using manual system included:

- i. Delays in information retrieval and access leading to wastage of time;
- ii. High cases of missing files;
- iii. Files and records were in bad physical state due to poor storage equipment and mishandling;

- iv. Records require large storage space as paper based records occupies a lot of space;
- v. Misfiling of records and;
- vi. Overall inefficiency and poor service delivery;
- vii. Both physical and intellectual security of the files was compromised.

In the respondents' view, the manual records system mainly contributed to poor service delivery in the Uasin Gishu County Government. They were however optimistic that this will be rectified by the on-going records computerization exercise at the county government. As explained by the respondents, the county has embarked on a program that would see all departments of the county government computerize all their records.

In relation to computerization of records, the respondents reported that the electronic records management system will be beneficial to their records management operations in the following main ways:

- i. Enhanced space utilization because electronic records are compact and hence can occupy small storage space;
- ii. Ease in retrieval and quick access of records that is by searching of records using key terms;
- iii. Greater security and records storage because passwords can be put on computer to control the unauthorized access and;
- iv. Improved service delivery and efficiency.

4.6.2 Policies, Systems, Standards and Procedures that guide for Managing Personnel Records

In this area mainly the researcher asked questions gauging respondents' awareness of the existing policies, systems and standards and procedures that regulate how personnel records are managed in Uasin Gishu county government. The responses are presented as follows.

4.6.3 Existence of records management policies/programs

The respondents were asked whether any records management policies, program(s), procedures or guidelines have been formulated to guide records management activities. Most of the respondents reported that there was no such program or guidelines in the Uasin Gishu county government. However, the six (100%) top management respondents together with the nine (100%) senior administrative officers said that it was possible that the registry may have developed guidelines for the management of their own records but added that if such guidelines existed, they had not received formal approval by Management.

All respondents from the two categories pointed to the ISO Procedures Manual as the only existing tool at present for attaining intellectual control over records in the organization. Clearly therefore, there was no formally approved policy guiding the management of records in Uasin Gishu County government. They further noted that lack of a coordinated policy, had a negative impact on the management of personnel records as experience rather than laid down policy specifications were used to manage records.

Likewise, on the issue of policy, all the other respondents such as heads of departments, ICT staff, registry staff and secretaries said that there was no overall

policy which governed the management and use of records at Uasin Gishu County government. Respondents from the registry added that because of not having documented records management policy, they had no clear understanding on documents to be filed in open files and those to be filed in confidential files.

4.6.4 Existence of Records Management System

The researcher asked on the current system being used in managing records at the Uasin - Gishu county government. Respondents from all categories stated that all records activities were managed in a manual system it was seen that most of the records were in paper based form. They cited experienced challenge like delays in accessing required record and cases of missing or lost records. When asked about policy on computerization of personnel records in the county again all respondents said it did not exist. The ICT staff respondents also commented that there was no policy on the application of computers though there were some back up records in electronic system- namely the Human Resource Management Information System (HRMIS) which were managed by the human resource department of the county.

Nine (100%) registry personnel All six (100%) secretaries responded that in most departments there were transition from manual to electronic record systems was underway, they reported that the electronic records management system was beneficial to their daily operations in the following main ways:

- (i) Encourage sharing of resources among offices.
- (ii) Enhanced maximum utilization of the available space;
- (iii) Quick and ease in retrieval and access of records;
- (iv) Greater security and records storage and;
- (v) Enhanced service delivery and efficiency by the organization”.

4.6.5 Existence of Records Management Standards

The study further sought to find out whether there were standards and procedures for managing personnel records. In response to this question three of four top management respondents said standards and procedures were yet to be used for they were still in draft form while the other three said there were no standards and procedures in the Uasin Gishu county government and added that experience rather than laid down procedures were used.

4.6.6 Existence of Records Management Procedures

Registry staffs were asked about the procedures used in ordering and delivering personnel records from registries. The nine (100%) respondents explained about the same procedures, they said, it was done through sending requests to the registry. The procedure went thus; file request was sent to the registry, control book is signed upon file charge out and signed again upon return of the file to the registry. Similarly the registry staff were asked about the procedures that should be followed when personnel record are required by action officers. All the nine registry staff also responded that a file was first located, retrieved and registered in an outgoing register. It was then sent to where it was required. They also added that the registry operates in a manual systems and that no electronic system for records management existed.

4.6.7 Knowledge of Existing Guidelines on Records Management

When asked if they were aware of any formal document that stipulates guidelines on RM in the institution, six (100%) top management and nine (100%) senior administrative officers respondents said they were conversant with the ISO procedures on records management, apparently because they were the management staff thus they were expected to be conversant with all County policies and programs.

4.7 Challenges Experienced in the Management of Personnel Records

The fifth objective of the study was to identify the problems faced by Uasin Gishu county government in managing personnel records as a result of poor state of records management at the county. Data was collected from 23 respondents comprising of ICT staff, Registry staff and Secretaries (51%). These were people involved directly with records management activities unlike the management, senior administrative staff and HODs who create and use records. The respondents were asked what record management problems they faced at the county and how they overcame these challenges

The most cited challenges were lack of clear personnel records management policy, standards, guidelines and procedures to guide the management of paper and electronic records, inadequate budgetary allocation and misappropriation of records management budget. Another challenge with high percentage score was lack of a training programme for registry staff and core competencies in e-records management which scored 20 each. Still other challenges were poor security and confidentiality control which had 19 score, followed by the congestions of personnel records in the county government registry with score 19 while low priority accorded to records management programme and absence of enough space were mentioned by eight respondents; six respondents mentioned poor organization of personnel records caused by scanning exercise. Finally four respondents mentioned complaints from service users and customers as one of the factors contributing to the problems due to the neglect of registries and records management functions. This was caused by poor coordination between top management and lower cadre staff.

Registry staff were further asked what should be done in order to overcome these challenges. In response all six said that the Uasin Gishu county government should

introduce standards, policies, guidelines and procedures while three among them went on saying that the County government should as well sensitize senior officials about the importance of records in the functioning of the county. Further, seven also said that the county registry should embark on training programme for its registry staff, and where possible to employ competent and qualified staff and increase cooperation in all technical records management decisions. To the extent that they act as a roadblock to the normal operation of the registries, these challenges had greatly hindered the provision of quality services to action officers and the citizens of Uasin Gishu County.

Yet when further probed concerning these challenges, they asserted that the challenges had been recognized and acknowledged by the relevant authorities, the senior Administrative personnel officer and the Head of human resource department. This finding issued speculations that their senior managerial staff were not aware of the problems facing the records management in their county registry.

When asked to mention measures taken to solve the problems of records management, six (66.7%) registry staff mentioned decongestion of personnel records, and three (33.3%) registry staff went further and mentioned the introduction of a training programme for training which they said was still far from implementation.

From the foregoing findings, it is evident that poor records management practices at Uasin Gishu County had a negative impact on human resource management. Mat-Isa (2005) point out most organizations has neglected good recordkeeping practices thus exposing themselves to challenges from various quarters. This is true of Uasin Gishu County where personnel records management function has been neglected consequently causing problems of ineffective human resource management.

Lack of records guidelines was highly cited as a major cause records management in the county. Specifically lack of guidelines has resulted to lack of uniformity in records management practices. According to the University of Texas records management program is itself a risk management tool, therefore non-existence of records management program is a menace to mitigation of challenges faced at the county.

The study findings revealed that the management has not prioritized capacity building for records management in the county. This was confirmed by the respondent's sentiments that there were few trained records management professionals and most of the records staff employed were wrongly placed. The scenario at Uasin Gishu County despite the requirements by ISO 15489-2 *Information and Documentation- Records Management- Part II* which emphasizes on the importance of records management policies and support for good records management (ISO) 2001b). Lack adequately trained staff has led to problems of lack of professionalism in records management activities which has impacted negatively on effective human resource management.

4.8 Strategies to be adopted to address the Challenges facing Personnel Records Management in Uasin Gishu County Government

This study further sought out the strategies to be adopted to improve personnel records management at the Uasin Gishu county government. Their varied responses are noted below.

4.8.1 Respondents Response on Strategies

(a) Strategies from the Management

- (i) "Introduction of policies, standards, guideline and procedures for records management".

- (ii) “Revising of the current county’s strategic plan to prominently feature personnel records management”.
- (iii) “Designation of strategic and consistent training programme for records management staff”.
- (iv) “Recruiting trained staff and training them to comply with current technology for example e-records management”.
- (v) “Increase funding for Record Management functions”.
- (vi) “Encourage computerization of the records management system throughout the County”.

(b) Strategies from HODs

- (i) The records should be automated in all departments and regularly be update to current technology.
- (ii) Change all registry staff.

(c) Strategies from ICT staff

- (i) “Putting in place policies, standards, and guidelines for records management”.
- (ii) “Introduction of human resource management information system”
- (iii) “Training local staff in e-records management”.
- (iv) “Creating backup of all records to overcome loss of information”.

(d) Strategies from Registry staff

- (i) “Putting in place standards and policies for personnel records management”.

(ii) “Providing training specifically in personnel records management”.

(iii) “Training them on the management of electronic records”.

(iv) “Increasing the number of record officers to work in the registry”.

(e) Strategies from Secretaries

(i) “Change of records management system from manual to electronic system”.

(ii) “Organizing records management workshops and seminars”.

(iv) “The top management to provide adequate financial support”.

All the above responses show some consistency in the way respondents perceived the basic prerequisites towards the enhancement of personnel records management in Uasin Gishu county government. These can be summarized as the introduction of records management policies, standards, guidelines, procedures and training on personnel records management especially in electronic records management. The inadequacies in these areas were thought to be the cause of the many problems hindering proper management of personnel records in the Uasin Gishu county government.

4.9 Respondents’ Suggestions

The study sought suggestions from the respondents on the ways in which management personnel records can be changed in order to enhance effective human resource management at Uasin Gishu county government. The following were their varied responses

Suggestions by Management

- a) “Sensitize all managerial staff on proper personnel management”;
- b) “Capacity building through recruitment of records staff and training of existing staff”;
- c) “Formulate policies addressing personnel records management and human management”;
- d) “Employ a Records Manager to oversee records management activities in the institution”;
- e) “Speed up computerization of records”;
- f) “Increasing allocation of funds for RM activities”.

Suggestions by Action Officers

- a) “Conduct workshops and seminars to train and sensitize all staff on personnel records and human resource management”.
- b) “Recruit more records staff and deploy them to perform records management duties”;
- c) “Speed up computerization of records in the county government”;
- d) “Prioritize computerization of registry functions to ensure efficiency in registry operations”;

Suggestions by Records Staff

- a) “Formulation of a comprehensive records management policy that addresses all record formats”;
- b) “Formulation of specific records management policies to address specific record types e.g. medical, financial and architectural records”;

- c) “Sensitization of records and other staff on proper personnel management”;
Introduction of a standardized records management system for the institution”;
- d) “Management should increase budget allocations for records management activities”;
- e) “Purchase of computers should be prioritized to speed up the records computerization process”;
- f) “Capacity building for records staff through recruitment and training”.

4.10 Chapter Summary

This chapter presented the major findings of the study in relation to the aim and objectives. It also presented data obtained through interviewing and observation of records management activities at the Uasin Gishu County government. Lastly, the chapter broadly discussed the findings generated by the study and provides suggestions made by the selected respondents

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This chapter presents the summary of findings, conclusions and recommendations arising out of the study. The chapter summarized the findings of the study, conclusion and recommendations.

5.2 Summary of Findings

(a) Research Question One: What are the types of Personnel records created?

The study established that personnel records created at Uasin Gishu County government were master and working personal files. These files were mainly created when candidate had taken up his or her post so as to aid in carrying out human resource management function. It was found out that the retention period for master files were longer compared to working files which were disposed off when a staff had been dismissed, retrenched, transferred or retired from service. Contents of a working file included; disciplinary letters, legal papers, leave application forms and forward job plans. Other documents included planning and policy documents.

Only when an employee had reported for the appointment is when official file opened, i.e. when an appointment letter had been issued. This protocol was adhered to in order to control unnecessary papers taking up too much space if the appointment was not employed. The goals of have both master and working file was to capture all documents were kept for long term period whereas records with less value were maintained separately and be disposed off at the end of their retention period.

The principle for working files was to make sure that they did not accommodate original documents long term value. These file was mainly kept for local reference

purpose to aid in a specific human resource management function. The master personal file also contained a personal record sheet, which documented; full names, date of birth, next of kin, contacts, marital status and physical address. The sheet also captured details about background on employee's career like postings, transfer and date of leaving the office.

In the circumstance where an employee did not know about their date of birth, in such cases registrar clerks were supposed to collect statement information from the personnel in order to get the approximate age. Having approximated age for an employee, such ages were documented with an agreed word approximated age or estimated age.

(b) Research Question Two: What are the Contributions of Personnel Records in enhancing Human Resource Management?

The information contained in personnel records was found to be;

- i. Basis upon which all decisions about employees were taken and were always made available when required.
- ii. Supportive for the management, deployment, supervision and development of employee.
- iii. Encouraged faster and informed decision making by reducing complaints and safeguarding civil servants benefits, rights and entitlements, disciplinary decision, leave, retirement and promotions.
- iv. Supported the County human resource operations by providing reliable information about decisions and actions of county civil servants, and demonstrated that the public servants have acted appropriately.

- v. Promoted transparency and accountability and facilitated monitoring and evaluation of staff performance. It was established that County's key objective was the improvement of accountability and human resource management in the County as well as enhancement of skills and capabilities of the county employees.

As regards how Personnel records were managed, the research findings showed that personnel records were not effectively managed at Uasin Gishu County Government despite various improvements undertaken. The current state of the records was poor as a result of the following factors:

- i. Lack of a formal records management program/ policy;
- ii. Lack of adequate and continuous training of records management staff;
- iii. Existence of a manual records management system as opposed to electronic one;
- iv. Insufficient level of awareness of the significance of records management in relation to human resource management;
- v. Inadequate records management staff.

The findings revealed that the state of personnel records had been improving as a result of Records Management improvement Project that was undertaken by the registry staff. The Uasin Gishu Personnel records were held in two registries that is open registry and confidential registry. Open registry mainly housed personnel records which were not security sensitive in nature, while personnel confidential record were kept in confidential registry. Both open and confidential personnel records were created during the recruitment process. Documents contained in an

individuals' application package were filed in the open file while other documents such as letter of first appointment are filed in the confidential file. Personnel records were classified using Personal File Numbers which were arranged in numerical filing order. Details on the files were not regularly updated especially in occasion of leave, promotions and transfers. Registry staff were found not to have enough space and equipment for the sake of carrying out tasks related to records management.

Generally the management of personnel records at the Uasin Gishu County government was found to be unsatisfactory to some respondents, due to a myriad of problems such as missing files, missing documents, misfiling, poor storage and lack of adequate budgetary allocation for the functions of records management. This unsatisfactory situation resulted in poor human resource management.

(c) Research Question Three: What is the extent to which Personnel Record have been Computerized?

The study found out that paper-based records still dominated the Uasin Gishu County Government as far as personnel records were concerned. Digitization exercise was there but it was at embryo stage. Once computerized, all personnel information would be accessed through the HCMIS system. No particular policy on computerization of personnel records was found to exist.

As alluded to earlier, there exists a scanning programme which is intended to provide accurate and reliable information besides facilitating prompt and more efficient decision-making. The scanning programme was also intended to make the sharing of information among county departments a lot easier especially as regards employee benefits; creation of databank to enable storage and balance on payroll integrity. The study findings revealed that a policy on computerization was in pipeline although no

exact timeframe was given. Although digitization of personnel records was said to be ongoing exercise, incidences of many missing documents in the files were said to pose challenges to the programme. Though several documents in an individual file were identified for scanning, this could not be accomplished as not all staff files had all the required documents. Hence the chaotic paper-based system was noted to pose major challenges to the digitization project. This finding was surprising considering that personnel records were under care of inadequately trained records staff. The study found that most registries staff were aware of the digitization exercise. However, most registry staff were not fully involved in the exercise. It was difficult for them to operationalize the expected outcomes. In addition, they dismissed the exercise as a waste of time as no improvements were achieved. They pointed out that personnel records were still disorganized and difficulties continued to be experienced with regard to their retrieval.

(d) Research Question Four: What are the Policies, Systems, Standards and Procedures that regulate the Management of Personnel Records?

The study showed that various strategies were used to enhance the management of personnel records. These include digitization of personnel records, decongestion and introduction of HCMIS. However, no policy existed for managing personnel records. This had a negative impact on the management of personnel records and general records management. In the absence of policy, staff relied on their experience to manage personnel records and the standards provided the ISO. Another consequence was that registry staff were found to have poor understanding as to which documents were supposed to be kept in open and those to be kept in confidential files. Worse still, computerization of personnel records was not guided by any policy. Personnel records were requested for delivery by sending a request to the registry and signing a

delivery book. There was no overall policy that governs the management of personnel records. Upon retrieval of a file, the file was registered in the outgoing register and sent to where it was requested.

The staff also outlined the strategies adopted to enhance the management of personnel records which include: decongestion, digitization to provide back-up records, conforming of HCMIS to capture data relating to education and family history. Besides, these measures have confirmed that the government will work towards the improvement of records management as a vehicle towards the enhancement of service delivery in the public. Yet in spite of these measures, the study noted some weakness with these strategies. They include resistance to change, widening digital divide, poor computer infrastructure and unreliable power supply. The study showed the challenges were caused by the absence of a policy on personnel records management and the records were managed haphazardly resulting in the current chaotic situation in registry.

(e) Research Question Five: What are the Challenges experienced in the Management of Personnel Records?

The study revealed most challenges affecting the proper management of Uasin Gishu county government personnel records included: lack of a clear personnel records management policy, systems, standards, guidelines and procedures; inadequate budgetary allocation; inadequate number of qualified staff; lack of training programme for registry staff; congestion of records in registry ; inadequate Records and Archives knowledge among registry staff. Other challenges were lack of adequate space; poor organization of personnel records and complaints from service users.

The study further established that the above mentioned challenges had been noted by the relevant authorities and those senior County officials were fully aware of the problems facing records management in the organization. Measures had been taken to address source of the challenges including establishment of record centre to house closed personnel records. Other measures undertaken included decongestion of personnel records and the introduction of the post of a records officer in the registry as a full time supervisor of the registry operations. The challenges were blamed on the collapsed paper-based system which was found to be the cause of the loss of many records especially during transfer and retirement of a staff. The study also found that the paper based records management system is of great significance in the introduction of a fully-fledged electronic records management system.

(f) Research Question Six: What are the Strategies to address the Challenges facing Personnel Records Management?

This study sought out the strategies that can be adopted in order for the county government of Uasin Gishu registry to manage their records effectively. According to the findings, the respondents interviewed provided various suggestions to improve both personnel records and human resource management at Uasin Gishu county government as indicated below;

- i. Formulating of records management policies, standards and guidelines to address both paper and electronic records;
- ii. Designation of strategic and consistent training of records management staff;
- iii. Improving electronic systems and infrastructures;
- iv. Capacity building through recruitment and training of registry staff;

- v. Introduction of good records centre for personnel records;
- vi. Rearrangement of personnel records after the scanning exercise;
- vii. Employ records manager to oversee records management activities in the county;
- viii. Increase funding for records management function;
- ix. Revise county's strategic plan to prominently feature records management;
- x. The use of local professionals in every large project.

5.3 Conclusion

The study examined comparative analysis of personnel records and human resource management in Uasin Gishu County Government as the focus of the study. The aim of this study was to analyze how the use of personnel records in effective management of human resource in the Uasin Gishu county government. Case study and purposive sampling was used. Interviews and observation were used as data collection tools whereby interviews were administered to 45 respondents. Data was analyzed thematically.

Uasin Gishu being a county government is mainly engaged in the devolution functions. The core business functions are supported by various professionals which in return results in generation of personnel records. From the findings of this study it is evident that personnel records are a bi-product of employees employed to perform various functions, which corresponds strongly with the views of Duranti (2001) that records plays a crucial role in most human endeavors and are all essential in human resource management function. Clearly therefore these records must be properly

managed to ensure that they are readily available in a timely and useable form and this means implementing a sound records management program to safeguard the records. This is in line with the views of Wamukoya and Mnjama (2004) who say that records are valuable assets that need to be managed and protected. The study therefore concludes that human resource management depends upon properly managed personnel records.

The finding revealed a poor state of personnel records management function in Uasin Gishu county government. This corresponds with the views given by researchers and scholars that despite the crucial role played by records, many organizations including county governments pay little attention to the management of records (Barata, 2000; International Records Management Trust (IRMT) 1999; Mnjama, 2004; Ngoepe and Van der Valt: 2009 The World Bank 2000). Though most of the staff interviewed were aware of the significance of personnel records in human resource management. Records management profile was found to be low. This is attributed to lack of formal records management programme/ policy in the county government. There are no procedures/ guidelines for records management and therefore laid down standards for records management activities are lacking. Staffing for records management activities is also inadequate. There are few records professionals in the county and some of them have been deployed to perform non-records management duties. Staffs in many departments performing records management functions do not have formal training in records management. The county has not been active in facilitating for continuous training in records management which has contributed to poor service delivery. The Uasin Gishu county government is similar current state of records management in many government ministries. This confirms the view “in government ministries in many African countries, records management is seen as lower grade service area and

this virtually no attention is given to the way information is created, structured and managed (IRMT 1999).

Poor records management has resulted to a lot of challenges in the management of records, leading to delay in decision making. A solution to this situation depends in International Standards, ISO 15489-2 *Information and Documentation-Records Management- Part II*, which emphasis the importance of records management policies and supports for records management from senior management of an organization (International Standards Organization (ISO) 2001b). The study concludes that the poor state of personnel records management at Uasin Gishu county government has contributed to poor human resource management, exposing the institution to various risks.

The study established that human resource management was exposed to challenges due to poor personnel records management, supporting the observation made by Mat-Isa (2005) that most organizations have neglected good recordkeeping practices exposing themselves to risks from various quarters. Uasin Gishu is mainly exposed to operational, financial and compliance risks due to poor personnel records management. Factors contributing to the challenges included lack of adequately trained records management staff, shortcoming from manual system use, lack of technology among others. Some of the respondents cited compliance challenge especially with the lack of policy to govern records management activities. Three respondents cited accountability challenge and six respondents cited the manual system failure to operate as required.

In view of the above findings the study concludes that inadequate records management practices are the root cause to poor personnel records management at

Uasin Gishu county government. All respondents acknowledged facing challenges in the case of their daily operations and these challenges affecting the mission, vision and objectives of Uasin Gishu county government. 40 (75%) respondents cited challenges in the operational challenges while 45 (100%) cited challenges associated with strategies.

The study findings revealed that personnel records impacted greatly on human resource management at Uasin Gishu county government. Failure to manage personnel records properly has compromised the ability of the county to manage their human resource effectively and hence has created significant overhead cost in the county. The study also found out that the effective process of creation, use, protection; retention and disposition of personnel records are critical components to enhance effective human resource management. It can therefore be concluded that proper personnel records management is an effective tool for effective human resource management. This concurs with the view held by University of Texas State (UTS: 2009) that records management program is in itself a management tool. In other words sound records management program is critical to the successful human resource management in Uasin Gishu county government.

5.4 Recommendations

In view of the findings of the study which are presented and discussed above, the study makes various recommendations as outlined below. The recommendations if implemented will aid in proper personnel records management at Uasin Gishu county government and also enhance effective human resource management. These recommendations have been categorized into three levels depending on the timeframes that would facilitate practical implementation are as follows:

5.4.1 Recommendations for immediate implementation (within three months)

(a) Development and Implementation of effective Records Management Programme

One the key finding of this study was the need for a record management program. The county government top management should design a record management program, the records management program should take into consideration records activities from creation to the disposal stage records can destroyed or kept for permanent storage. Staff working in registries should be involved in the task force to ensure all human resource activities leading creation of personnel records are captured in the program. Documented policy will provide clear guidelines on issues to do with resources management and training of staff and carry out regular monitoring and evaluation of the efficiency and effectiveness of the records management program.

The adoption of a records management program will also help Uasin Gishu County government to reduce costs, demonstrate compliance, protect its rights, defend claims and improve operations. This program will also help to address the low priority given to records management program, this study recommend that the Uasin Gishu County government should develop awareness raising programme to be run by records management professionals to sensitize the county officials on the importance of records in their work and the need for them to provide maximum support to their records management staff. They should also carry out periodic inspects of the records management programme so as to assess the progress in improving records management programme and evaluate the efficiency.

(b) Safeguarding the Integrity of the Personnel Records

Factors that impact negatively on the integrity of records such as interrupted power supply, computer viruses, poor storage and migration strategies and backup should

also be addressed to safeguard the integrity of personnel information over time. For example installing antivirus software on computers and purchasing good storage facilities. Sensitization and awareness training should be provided besides formal training to make them appreciate the importance of good records management. This recommendation is to be implemented by the records management staff, since they are involved with records management activities from creation to disposition of records.

(c) Records Management Staff Capacity building and Training

The county's top management should put into consideration employing adequate staff to carry out records management function effectively. These staff must should adequate knowledge, skills and experience in records management and must demonstrate integrity and competency. Having trained personnel will ensure that county's records are managed professionally. The county's top management needs to prioritize staffing for the records management function in the County. The staff should always be trained periodically so as to keep pace with the changing technology since technology is dynamic in nature.

(d) Development and Implementation of effective Systems and Procedures

The head of central registry should collaborate with head of ICT department to develop and implement effective systems and procedures. There is need to embrace records management automation across the county. While Uasin Gishu county government in particular had basic control documents in place, there is need for the registry to develop more effective and better coordinated systems and procedures to manage personnel records. This would give new impetus to the county's introduction of HCMIS. The human resource unit will however need to ensure that personnel information is kept up to date and checked for accuracy. Digital records (electronic

records) raise specific issues that go beyond general records management. An electronic system will address issues of security, authenticity, integrity, and accessibility of electronic records. In addition, regular audits should be carried out by records management and IT professionals to ensure that accurate data is captured to reflect synergy between personnel records and the payrolls. This will help to curtail the problem of ghost employees as well as corruption.

The automated system should also integrate the following aspects:

- i. Legal framework;
- ii. Specification of electronic records;
- iii. Suitable technologies for records management procedure;
- iv. Accessibility and long retention periods and ;
- v. Standards of records management.

(e) Reviewing the Strategic Plan

It is also recommended that the Uasin Gishu county strategic plan revised in order for it to incorporate personnel records and human resource management components. If more emphasis is put on these elements it will improve the profile and their perception about records management will be positive. This will greatly enhance the achievement of the county' set aim and objectives.

5.4.2 Recommendations for short - term implementation (within 6 months)

(a) Promote institutional scholarly output

This can be achieved through social media utilization for example encouraging academic mentorship through social media platforms. The Top management of the county with the help of registry head of department should select and employ staff with adequate knowledge, skills and experience in Records Management. For example a records manager should at least have a Master in Records and Archives

Management. Trained Records Manager will effectively oversee all records management activities hence portraying good professional manager which is not the case in Uasin Gishu county government registry.

(b) Lobby for additional resources

As in most County Governments in Kenya, the records management function at Uasin Gishu County Government receives minimal budget allocation which is the reason for the poor state of records management. The county HOD in registry request for adequate funds to be allocated for records management function. Having professionals will ensure that they request for annual budget allocations based on the functions of the registry/growth of the county.

The management should give general support and improvements in the work environment of registry personnel. The county should be more pro-active in seeking funds from government and other sources for the sake of meeting the financial and technical demands of maintaining effective recordkeeping systems including computerized recordkeeping systems which depend on state of the art equipment including ; software, internet connectivity, adequate skills and reliable power supply.

(c) Relevant Technology-Base tools for effective Records Management Function

From the study findings, all county records are managed manually which has resulted to incomplete personnel records and generally limited coverage on all human resource activities. There is an urgent need for the county to develop and implement automated recordkeeping system to effectively manage all documents on human activities. However the county introduced digitization of all human resource records, this will enhance creation of complete and trustworthy personnel records. The new system is

promising to be good although the project is at its initial stage and is aimed at digitizing human resource records.

The system will enhance efficiency by promoting quick location, retrieval, access, sharing, storage and security to records as this will be electronically. The county however should take into considerations such as; conducting e-readiness of the county. A committee should be formed before implementing the system so as to evaluate on the e-readiness of the county. The committee should be inclusive of the HOD registry and other essentials departments like, representation from the senior administration, ICT and the finance department.

5.4.3 Recommendations for long - term implementation (within 1 year)

(a) Development of Specific Records Management Policies and Procedures

This is a guideline that will standardize all records management operations. The policy will provide a framework on how records functions are carried out as the policy gives basis on management authority. Having in place documented policy will enhance service delivery leading to the success of the county government as a whole. The policy formulated should be comprehensive and must be updated regularly to accommodate current trends in records management.

The policy should give a clear and precise definition the term records in all media and format, define designate prime responsibility for managing records from creation to disposition stage and finally roles specification all records management professionals.

A records office procedural manual, disposal schedules and guidance materials should also be developed under the authority of the policy. The Uasin Gishu county government should therefore develop and implement the policies, standards,

guidelines and procedure, in order to upgrade on the management of personnel records.

All records in charges in different records units of the county government should with the HOD registry to develop policies to meet the needs of different types of records for example; personnel, medical, finance and land records among others. The reason for having specific policies is to aid in stipulating roles, principles and requirements in the management of those particular records types. The purpose of such policies will be to establish the principles, responsibilities and requirements for the managing a particular type of record. This will assist in dealing with issues that have not been adequately addressed by the records management programme. The findings of this study have confirmed the growing quest in public servants of various cadres to improve personnel management. Yet without policies, standards, laid down procedures and guidelines this objective cannot be achieved. Besides what is suggested above, mechanism should be put in place to see to it that each and every public servant abides by these regulations and those severe disciplinary actions taken against those who fail to comply.

(b) Alignment of Personnel Records and Human Resource Management at Uasin Gishu County Government

There is need to review the county's strategic plan so that records management components are clearly entrenched in it. By incorporating these elements in the strategic plan of the county, their profile will be raised and a formal commutation will be passed to all members of the county concerning the expected records management practices. This will greatly contribute to the achievement of the county's goals and objectives.

5.5 Suggestions for Further Research

This study investigated the management of personnel records in Uasin Gishu county Government. On the basis of the findings of the study and the broadness and importance of the subject under investigation that is personnel records, the study provides suggestion for further research in the following areas;

(i) The role of personnel records in protecting the rights and entitlements of the citizens.

The public sector is generally the largest employer in a country. The fact alone creates considerable problems in ensuring that personnel records are comprehensive, accurate and up to date. Because different agencies may be involved with personnel management, it is common to find personnel records relating to same individuals in many different offices of the government. As a result it can be difficult to locate and bring together in one place a full career records for any particular individual. Also the legal framework governing employment will vary and will offer different degree of employment protection to employees.

(ii) The effects of computerized Security of personnel records in the electronic environments.

There is need to embrace the use of technology in all records management activities across all organizations but major challenge has been to the security measures to promote the integrity of electronic records. It is therefore important to the changes to the management of personnel records in electronic format needs to be piloted to ensure that they are well designed, before large scale implementation, failure to do this may lead to costly errors.

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APPENDICES

Appendix I: Introduction Letter

Dear respondents

I 'am an M.Phil. student at Moi University, School of Information Sciences, undertaking a research study titled “Analyzing the management and use of personnel records in Uasin Gishu county government, Kenya”.

The aim of the study is to analyze the use of personnel records in human resource management and to propose appropriate ways in which human resource management can be enhanced in Uasin Gishu County Government. I have selected your Departments/ sections because of their functions and operations which relate to the aims and objectives of the study.

Your input to this study is very important because of the topic/subject of study which is pertinent to the on-going efforts to make Uasin Gishu County Government an even better managed institution.

The outcome of the research will provide more insights into Personnel records management practices. The study will also look at personnel records as a tool in the human resource management and suggest recommendations on how human resource can be managed through proper personnel records management.

I therefore ask for your support in the provision of required information and hereby assure you that all information contributed towards the study will be treated with utmost confidentiality and used exclusively for this research only.

Mutai C. Mirriam
M.Phil. Researcher.

**Appendix II: Interview Schedule For Top Management And Senior
Administrative Officers.**

(a) Record Creation

1. What are the types of records created in the organization?

(b) Importance of Personnel Records

1. How important are personnel records in the work of your organization?

2. What is the state of personnel records management in your organization?

(c) Budget allocation to Records Management

1. Has your organization set aside budget to support personnel records management?

(d) Records Management Policy

Is there a policy for managing personnel records?

If yes, is policy backed by an enabling legal framework?

If no, what do you consider to be the impact of this lack of coordinated policy in the management of personnel records in public service?

(e) Computerization of Records Management activities

Has the County applied the use technology in their records management activities?

If yes, what are the benefits of computerization?

If no, what plans are in place for personnel records management, as the County moves towards computerization?

(f) Staff Training

1. Are staffs ever provided with formal training on personnel records management?

2. If no, do you think such training is necessary?

(g) Challenges hindering Records Management

What problems do you foresee in the short and medium term that may hamper the effective management of Personnel records in the institution?

(h) Strategies to improve Personnel Records Management

What are your suggestions/ proposals for improving of personnel records to facilitate improved human resource management?

What strategies have been adopted by your organization to enhance the management of personnel records?

Please give any additional information you feel is useful to this study.

Appendix III: Interview Schedule for Heads of Departments.

(a) Records Creation

1. What types of personnel records do you create in your line duties?
2. How often do you create personnel records?

(b) Importance of Personnel Records

1. How important are personnel records in your organization?
2. How often do you use personnel records in you day to day work?
3. To what extend do personnel records contribute to better human resource management in your work?

(c) Personnel Records Management

1. How would you rate the management of personnel records in your organization?
2. Do you get the required personnel records?
3. What benefits do you think you will have from better personnel records management?

(d) Records Management Policies

1. Is there any overall policy that governs the management and use of personnel records in your organization?
2. If no, what are the problems faced without documented records management policy?

(e) Computerization of Records

1. To what extent have personnel records been computerized in your organization?
2. If yes what are the benefits of computerization of records?

3. If no what are the challenges of managing records in manual system?

(f) Staff Training in Records Management

1. Are personnel records in this organization managed by trained staff?
2. What is the highest level of in records and archives management?

(g) Challenges facing Personnel Records Management

1. What are the challenges affecting management of personnel records?
2. How do you often discuss issues related to personnel records management in management meetings?
3. What changes do you think are necessary to take place in your organization to ensure better personnel records management?

(h) Suggestions to enhance better Management of Personnel Records

1. Are there issues you would like to raise in relation to personnel records management in your organization?
2. In your own opinion what do you consider can be done to improve the management of personnel records in your organization?

Appendix IV: Interview Schedule For Registry Staff

(a) Role of Registry in Records Management

1. What is the main function of the County registry?
2. How does the registry relate to other departments/ sections of the County?

(b) Records Creation

1. What types of personnel records do you keep in the office?
2. How are these personnel records created?

(c) Importance of Personnel Records in Human Resource Management

1. Do the personnel records play any role in managing human resource?
2. If yes describe these importances?

(d) Personnel Records Management

1. How are these personnel records organized?
2. How are they classified?
3. Are personnel records in your office regularly updated?
4. What do you often do when the requested file is not found or cannot be retrieved on time?
5. What are the procedures in place in controlling/tracking the movement of personnel records from the registry?
6. Specifically comment on the following: (a) Space (b) Equipment (c) Staffing (d) Supplies, for example file covers, files and other stationeries which are necessary in your department?
7. If poor, what consequence does the institution face by poor personnel records management?
8. Do you receive regular support from top management in executing your duties?

(e) Records Management Policies

1. Does the County have a formally recognized records management programme?
2. If yes, is the programme backed up by a formal County policy?
3. If yes, is the policy documented?

(f) Staff Training in Records Management

1. Have you undergone any formal training in personnel records management?
2. If yes, how useful was the training?
3. What additional skills do you consider to be necessary in your duties?

(g) Computerization of Records management activities

1. Have you applied the use of computers in managing records kept in the registry?
2. If yes, what are the benefits of computerization of records management?
3. If no, what are the challenges of managing records manually?

(h) Suggestions on how to improve Personnel Records Management

1. Give some suggestions as to how personnel records management can be strengthened in Uasin Gishu County government?
2. Please give any additional information you feel is useful on implementation of personnel records management and human resource management in Uasin Gishu County?

Appendix V: Interview Schedule for ICT Staff.**(a) Records Creation**

1. What are the specific functions/activities of your office?
2. What records do you generate as part of your daily work?

(b) Importance of Personnel Records

1. Do you think proper personnel records management would help in effective human resource management?

(c) Roles ICT in Personnel Records Management

1. How does the ICT relate to other departments/ sections of the County?
2. What is the role of ICT staff play with regard to managing personnel records of the County?
3. Do you receive any support from the County top management?

(d) Computerization of Records Management activities

1. What are impacts of using computer to manage personnel records?
2. Specifically comment on the current state of computer technology in you department?
3. If poor, what challenges does the institution face as a consequence of not using current information technology in managing personnel records management?

(e) Challenges affecting Management of Personnel Records

1. What challenges does the ICT face in the process of carrying out its role?

(f) Suggestions on ways of enhancing good Personnel Records Management

1. Please give any additional information you feel is useful on implementation of personnel records and human resource management in Uasin – Gishu County Government?

Appendix VI: Interview Schedule For Secretaries

(a) Records creation

1. What are the specific functions/activities of your office?
2. What personnel records do you generate as part of your daily work?

(b) Importance of the Personnel Records

1. How important are these records?
2. How are these records managed?

(c) Personnel Records Management

1. Do you have any role in managing the personnel records of your office?
Explain.
2. Do you think good personnel records management would help in human resource management?

(d) Records Management Policies

1. Is there any policy guiding the management of records in your department?
2. If not, what problems are experienced due to lack of a records management policy?

(e) Challenges affecting Records Management.

1. Do you or your department face any problems associated with your work management of personnel records?
2. If yes, how do you address such challenges?

(f) Suggestions to enhance good Records Management

1. Please give any additional information you feel is useful on implementation of personnel records management in Uasin – Gishu County Government?

Appendix VII: Pre-Test Checklist

Research title: Analysing the use of personnel records in human resource management in Uasin Gishu County government, Kenya.

The objectives of the study

- (i) To establish the types of personnel records created at the County government.
- (ii) To assess the contribution of personnel records in enhancing human resource management at the County Government.
- (iii) To determine the extent to which personnel records have been computerized at the County Government.
- (iv) To establish what record management policies exist in creation and management of personnel records.
- (v) To identify challenges associated with personnel records management.
- (vi) To suggest strategies to address the challenges facing personnel records management at the County Government.

Pre-test questions.

1. Are the questions too many? Yes No

If yes, what do you recommend?

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2. Are the questions clearly understood? Yes No

If not, identify those that need clarification

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3. Is the sequence of the questions logical? Yes No

If no, kindly give your proposition.

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4. Are there any grammatical mistakes identified among the questions?

Yes No

If yes, identify the mistakes.

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5. Are there technical terms used in the questions that are difficult to understand? Yes No

If there is any, please indicate.

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6. Are the objectives of the study adequately covered in the interview question?

Yes No

If no, explain.

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7. What is your general view on the diversity of question?

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.....

8. Please give any additional information you feel is useful in this study?

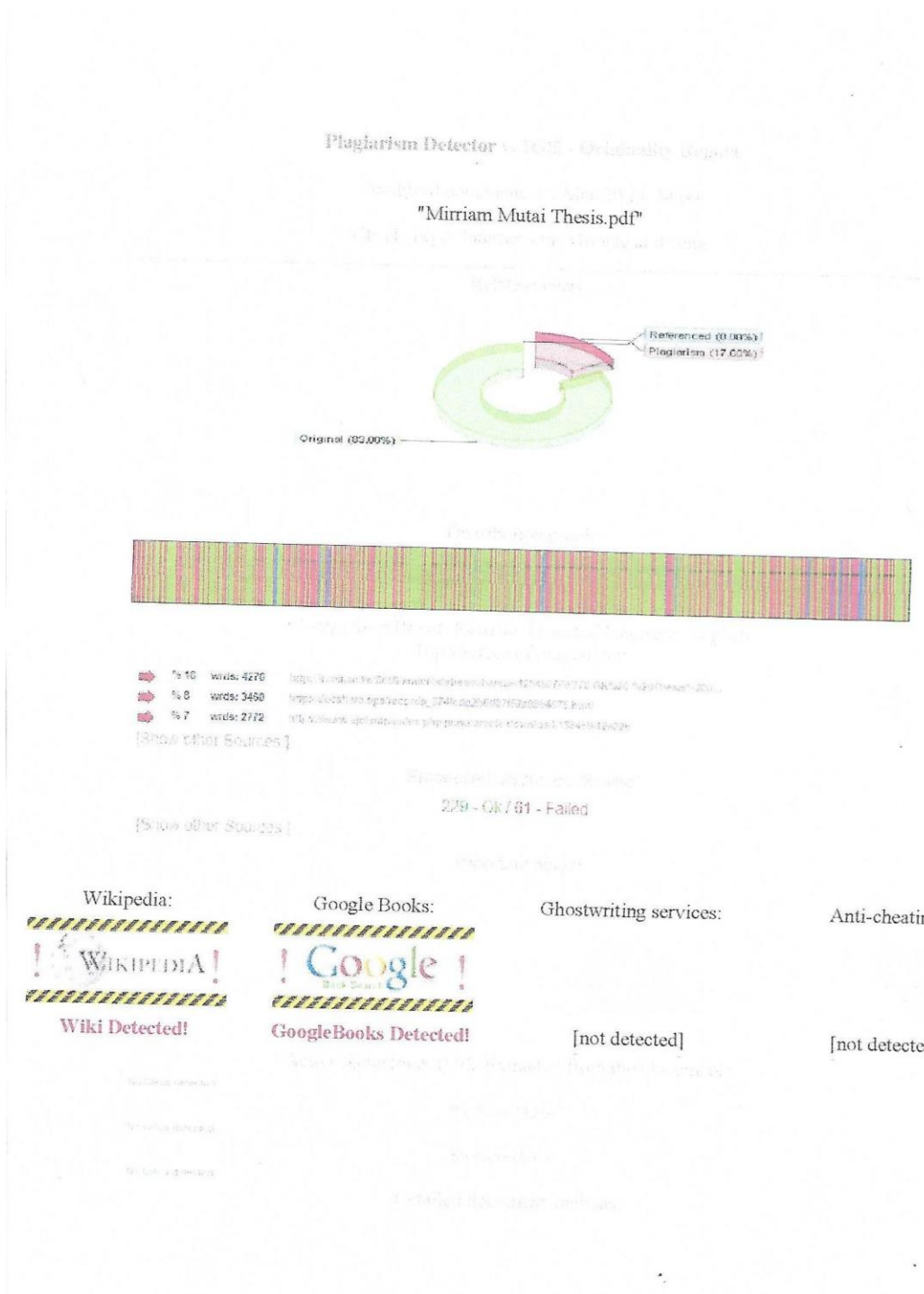
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Appendix VIII: Observation Guide.

Observation Target	Observation Criteria	Remarks
Records creation	<p>Is there Correspondence management.</p> <p>How is the receipt and registration of incoming and outgoing mails?</p> <p>What is the quality of file folders and paper?</p> <p>Do they use standard forms?</p> <p>Availability and use of computers.</p>	
Storage and Handling of Records	<p>What is the storage environment under which personnel records are stored?</p> <p>What storage equipment are used for personnel records?</p> <p>Is the lighting and ventilation in the registry sufficient for staff and records?</p> <p>Where do they store closed personnel records?</p>	
Registry layout	<p>Does the registry design provide for sufficient and efficient management of personnel records?</p> <p>Is the registry located in proper place for efficient functioning of the organization?</p>	
Physical condition of the registry	<p>Are the conditions in the registry fit for the purpose of personnel records management?</p>	
Control tools	<p>Are all control tools for personnel records management available?</p> <p>Are the tools correctly and consistently used?</p>	

<p>Risk management and security measures</p>	<p>Is the disaster management plan available?</p> <p>Are firefighting equipment available?</p> <p>How frequently are they maintained and refilled?</p> <p>Are the registry doors half cut for registry purpose?</p>	
<p>Cleanliness</p>	<p>What is the general cleanliness in the registry?</p>	

Appendix IX: A Plagiarism Check Certificate



Appendix X: Research Permit



NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY AND INNOVATION

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NACOSTI, Upper Kabete
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NAIROBI-KENYA

Ref. No. **NACOSTI/P/17/73419/18470**

Date: **20th September, 2017**

Miriam Chepkosgei Mutai
Moi University
P.O. Box 3900 - 30100
ELDORET.

RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on *“Using personnel records for effective Human Resource Management,”* I am pleased to inform you that you have been authorized to undertake research in **Uasin-Gishu County** for the period ending **20th September, 2017.**

You are advised to report to **the County Commissioner and the County Director of Education, Uasin Gishu County** before embarking on the research project.

Kindly note that, as an applicant who has been licensed under the Science, Technology and Innovation Act, 2013 to conduct research in Kenya, you shall deposit **a copy** of the final research report to the Commission within **one year** of completion. The soft copy of the same should be submitted through the Online Research Information System.

GODFREY P. KALERWA MSc., MBA, MKIM
FOR: DIRECTOR-GENERAL/CEO

Copy to:

The County Commissioner
Uasin Gishu County.

The County Director of Education
Uasin Gishu County.