

**MANAGEMENT OF HUMAN RESOURCE RECORDS IN THE
MINISTRY OF HEALTH, KENYA**

BY

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DEDICATION

This work is dedicated to my children Irene and Stephen for providing me with a conducive environment for studies and persevered with my coming home late at night. The work is also dedicated to my wife Beatrice for her valuable support during the period of my studies.

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ABSTRACT

Effective human resource management enables ministries to manage their employees efficiently and equitably. Human Resource Records support effective human resource management for the best use of available staff in ministries. Despite the support provided by human resource records, the Ministry of Health still experiences a myriad of records-related challenges among them; missing files and poor storage of records. The aim of the study was to assess the effectiveness of the management of human resource records in the Ministry of Health. Specific objectives of the study were to: investigate how human resource records are managed in the Ministry, determine best practices and standards applied in the management of the Ministry's human resource records, determine infrastructure and resources required to efficiently manage the records, and to propose strategies to ensure sound management of human resource records in the Ministry. The records life's cycle Model was adopted for the study. The literature review focused on key concepts and themes derived from the study objectives. The target population for the study was 307 staff drawn from the Ministry of Health Headquarters and its affiliate departments. A sample size of 94 members of staff constituting 30% of the targeted population was derived. They included top management, records management staff, clerical staff, human resource management staff, finance staff; information communication technology staff, and Heads of Department. A qualitative research method was adopted and interviews supplemented by questionnaires and observation were used for data collection. The study used stratified random sampling and purposive sampling to select respondents. The study findings revealed ineffective management of human resource records in the Ministry and the factors contributing to the poor state of human resource records management were identified as: lack of records management policies and non-compliance with records management procedures and practices, lack of retention and disposal schedules, absence of senior management support and inadequate staff with requisite training in records management. Other factors were: lack of appropriate equipment and supplies for use in records management work, few staff adequately trained in information and communication technology and lack of adherence to policy guidelines, standards and Government circulars on the management of human resource records. The study concludes that in view of the importance of human resource records in supporting the human resource management function, appropriate records management infrastructure should be put in place to enhance sound management of human resource records. The study recommends conducting training and capacity building for records management staff; developing retention and disposal schedules for human resource records; reviewing, implementing and complying with policies on the management of human resource records. The study proposed an action plan on the management of human resource records in the Ministry in relation to creating, keeping, managing and finally disposing of their records.

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ABBREVIATIONS AND ACRONYMS

ARMA	-	Association of records managers and Administrators
CARPS	-	Capacity Assessment and Rationalization of the Public Service
ESARBICA	-	Eastern and Southern Africa regional Branch of The International Council on Archives
HOD	-	Head of Department
HRMO	-	Human Resource Management Officer
HRRMU	-	Human Resource Record Management Unit
ICA	-	International Communication Association
ICT	-	Information and communication technology
IFLA	-	International Federation of Library Association
IFMIS)	-	Integrated financial management information system
IREC	-	Institutional Research and Ethics Committee
IRMS	-	Integrated records management system
IRMT	-	International Records Management Trust
JISC	-	Joint information system committee
KNADS	-	Kenya National Archives and Documentation Services
MOH	-	Ministry of Health
NDSA	-	National Digital Stewardship Alliance
RMO	-	Record Management Officer
UK		United Kingdom
USAID	-	United states agency for international development

DEFINITION OF TERMS AND CONCEPTS

- Data** - Facts or information to be examined or used to find out decisions.
- Equipment** - The tools that are needed for particular activities on use of records e.g. mail opening.
- Hypothesis** - An idea or explanation of something that is based on a few Known facts but that has not yet been proved to be true.
- Limitation** - Rule, fact or condition that limits something
- Literature** - Pieces of written or printed information on particular subjects.
- Management** - The people who run and control organization.
- Methodology** - A set of methods and principles used to perform a particular Activity
- Objective** - Something that you are trying to achieve
- Policy** - Guidelines agreed upon for carrying out activities.
- Questionnaire** - Written list of questions that are answered by a number of people so that information can be collected from the answers
- Record Management Unit** - A unit within an Organization that processes, maintains and controls files
- Security** - Activities involved in protecting records against attack or danger etc.,.
- Staff** - Workers employed in an Organization, section or Unit
- Statement** - Something that you say or write that gives information or opinion.

CHAPTER ONE

INTRODUCTION AND BACKGROUND TO THE STUDY

1.1 Introduction

An effective management of human resource records is a fundamental aspect of managing the human resource function. According to the Association of Commonwealth Archivists and Records Managers (2007), the effective management of records and archives throughout their life cycle is a key component of national development. Unorganized or otherwise poorly managed records mean that government does not have ready access to authoritative sources of administrative, financial and legal information to support sound decision making or the delivery of programmes and services. Nor does the government have the means of holding itself accountable for what it has done or upholding the rights of its citizens. Unless human resource records are managed, it becomes increasingly difficult to keep and maintain an accurate payroll, have confidence in human resource data for planning purposes, set budgets for personnel expenditure and process pension and other benefits payable to employees. Personnel records play a vital role in providing the information needed by ministries to manage and pay their staff members, plan their workforce requirements and monitor staff performance (IRMT, 1999). Ultimately, any ministry's development and sustainability will depend on sound and effective human resource management, and the approaches it chooses to follow will be derived in part from an analysis of the information contained in personnel records. Other key objectives of human resource records management are to support transparency and organization's accountability and to enable accurate audits by creating and protecting human resource records as reliable evidence. According to Wamukoya (2007:15) records management constitute a form of management policy which ensures that records are

part of a system in which information flows logically and systematically within the ministry, satisfying the needs of creators, users and custodians.

Kenya's public sector recordkeeping system like other African countries is facing infrastructure related challenges. Thurston (2007:190) mentions that most African countries developed and implemented records management policy on an ad hoc basis. Human resource records management has remained a neglected area of public sector reform. Recordkeeping has deteriorated so gradually that it has gone largely unnoticed as a development issue. This situation is particularly evident in countries that were once part of European-dominated colonial regime World Bank, (2000).

Sound human resource records management ultimately can assist an organization in achieving better results in improved performance in service delivery. This can only be achieved through observing records management infrastructure which is viewed as the backbone upon which all the other functions of the records management hang. Just as the human backbone supports the whole body, so the records management backbone will support the whole records management function. Wamukoya (2007:19) points out that bad records management is compounded by a number of factors such as the lack of national policy on records management, lack of records management standards, lack of records management guides or manuals, and lack of trained staff in records management who should provide guidance or assistance to institutions. The elements of a records management infrastructure include the legislation, policy, standards, guides, systems, and human capital. It ensures reduction of time wastage and costs and thereby improving relationships. World Bank (2003), the prominent features of crisis in personnel data and management information, listed included poor

maintenance of personnel (human) records, fragmented and local payrolls, control gaps in the central payroll; and shortcoming in the central personnel data base.

The task force report (2004) on the operation of registries in Government Ministries and Local Authorities points out that the current state of records Management units in the public service in Kenya is impacting negatively in the service delivery. It is characterized by cumbersome retrieval of information, cases of mis-filing / lost files, inadequate storage facilities and failure of disposal of valueless records among others. The situation is further compounded by low morale of the records management units' staff and the manual nature in which records are maintained. According to a strategy for improvement of records management in the public service (2011), the state of records has continued to deteriorate, despite the government's effort to put in place legislation, regulation and systems to guide and improve the operation of the records management functions in the public service. The condition has not improved as it was recently reported that a number of ghost workers still exist in Government ministries following the outcome of Capacity assessment and rationalization of the public service (CARPS, 2014) nationwide exercise. Ministry of devolution and planning carried out this exercise to transform Kenya public service as envisioned in the national vision 2030.

This study examines the management of human resource records in ministry of health. The ministry provides core functions of Government, holds key sectors and has a large number of staff with large number of human resource records.

1.1.1 Concept of Human Resource Management

Writers have developed differing yet complementary definition of human resource management. Michael Armstrong defined it as "the strategic approach to acquiring,

developing, managing, motivating and gaining the commitment of the organizational key resources". John Storey suggested that human resource management is a "distinctive approach to employment management which seeks to achieve competitive advantage through the strategic deployment of a highly committed and capable workforce, using an integrated array of cultural and personnel techniques" (Storey, 1992:5)

Human resource management is also defined as a strategic and coherent approach to the management of an organization's most valued assets – the people working there who individually and collectively contribute to the achievement of its objectives. Storey (1989) believes that human resource management can be regarded as a 'set of interrelated policies with an ideological and philosophical underpinning.'

The central theme that describes what human resource management is, appears to be the integration of human resource policies with the Organization's business plan. The increased realization that human resource is a vital Organization's capability has given human resource management a critical role in the achievement of Organizations' effectiveness. In order to achieve competitive advantage, Organizations are increasingly looking at human resource management at the operational and strategic levels. Human resource management has assumed varied meaning and connotations while it has been used as a synonym for personnel management by some (Storey, 1992, Storey and Sisson, 1993;), there is a general agreement that the adoption of human resource management signals a more business oriented and business integrated approach to the management of people (Beer and Colleagues, 1984; Fombrun and Colleagues, 1987).The matching model of human resource management, One of the first explicit statements of the human resource

management concept was made by the Michigan School (Fombrun et al, 1984). They held that human resource systems and the organization's structure should be managed in a way that is congruent with organizational strategy (hence the name 'matching model'). They further explained that there is a human resource cycle which consists of four generic processes or functions that are performed in all organizations. These are selection involving matching available human resources to jobs and appraisal which is about performance management. The other functions involve the rewards, the reward system is one of the most under-utilized and mishandled managerial tools for driving organization's performance'; it must reward short as well as long-term achievements, bearing in mind that 'business must be performing in the present to succeed in the future. The other function is development which is concerned with developing high quality employees (training).

Improved human resource management is central to good management policy. In many countries paper based human resource files are incomplete and difficult to access. Although public sector reform programs typically include a significant reduction in the size of the public service, Governments are unable to find the basic information needed to accomplish this task such as accurate staff numbers, details of their grades and location or dates of appointment.

Moreover, as governments focus attention on improving the incentive structure of the civil service, the need for accurate and complete records becomes more critical. For example, performance-related human resource management designed to reward the most competent staff and penalize poor performers is dependent upon information about the present and past performance of individuals. This information is not accessible if the relevant records cannot be located.

Computerization will undoubtedly facilitate the retrieval of human resource information (IRMT, 1999, 2009). Unless there is a very well-developed capacity to manage electronic records as legally verifiable evidence of entitlement, contractual obligations, policies, or transactions for the period required, a mixed media paper and electronic (human resource information system) is essential.

African countries government payrolls have been inflated with ‘ghost workers’ the non-existent employees who draw a salary or salary taken by someone else. Kenya Government has faced similar challenges in public institutions as was reported during CARPS (2014). Human resource files should be the primary source of evidence that a person actually exists, that the grade is appropriate to the salary paid, and that any additional benefits are appropriate and have been authorized.

In the absence of complete human resource files, the ‘ghost workers’ problem cannot be addressed in a sustainable manner. Entries on the payroll database cannot be checked against an authoritative source to ensure that the person actually exists and that payments have been authorized. Head counts and questionnaires provide a temporary solution but records are essential aspect of long term solution (IRMT, 1999, 2009)

An efficiently run human resources department provides organization with structure and the ability to meet business needs through managing its employees. Personnel or human resource management refers to the management (both individually and collectively) of an organization’s most valuable resource, the people it employs. The goal of human resource management is to attract and retain a workforce that will enable the organization to achieve its purpose and objectives. Human resource management also involves the training and development, health and welfare and

performance improvement of each employee (IRMT, 1999). In addition, it supports the organization's capacity to plan, monitor and evaluate its own performance. The human resource disciplines include:

Recruiting and staffing services play a key role in developing the employer's workforce. They advertise job postings, source candidates, screen applicants, conduct preliminary interviews and coordinate hiring efforts with managers responsible for making the final selection of candidates in Government Ministries. It also touches on employee relations which are the human resource discipline concerned with strengthening the employer-employee relationship through measuring job satisfaction, employee engagement and resolving workplace conflict. Labor relations functions may include developing management response to union organizing campaigns, negotiating collective bargaining agreements and rendering interpretations of labor union contract issues as Kenya civil servants union. Human relation functions include setting compensation structures and evaluating competitive pay practices. A compensation and benefits specialist also may negotiate group health coverage rates with insurers and coordinate activities with the retirement savings fund administrator. Human resource discipline is also concerned with the compliance with labour and employment laws are a critical human resource function. Noncompliance can result in workplace complaints based on unfair employment practices, unsafe working conditions and general dissatisfaction with working conditions that can affect productivity and profitability. Human resource staff must be aware of federal and state employment laws such as title VII of the civil rights Act, the Fair Labor Standards Act, the National Labor Relations Act and many other rules and regulations.

Employers must provide employees extensive orientation training to help their transition into a new organization's culture. Many human resource departments also provide leadership training and professional development. Leadership training may be required of newly hired and promoted supervisors and managers on topics such as performance management and how to handle employee relations matters at the department level. Professional development opportunities are for employees looking for promotional opportunities or employees who want to achieve personal goals such as finishing a college degree. Programs such as tuition assistance and tuition reimbursement programs are often within the purview of the Human Resource training and development area as stipulated in Kenya training policy 2005.

According to IRMT (1999). Public sector human resource management and human resources planning require the support of the management framework for the control of human resource records which play a significant role as a tool for monitoring staff numbers, performance as well as protecting their rights. All operations in relation to human resource management, from preparation of pay slips to strategic planning ultimately depend on reliable and accurate human resource management records. The records professionals need to understand the special characteristics of human resource management records, the legal framework for Human resource management and the effect of changing technology on the nature and structure of human resource management records. It follows that the creation and control of human resource records are critical to the success of a ministry's operations.

1.1.2 Records and Records Management

According to Michael Cook et al (1975) record is a document created or received and maintained by agency, organization or individual in pursuance of legal obligation of

business. A record can be also generally defined as presentment of information within the period of business operations regardless of medium created received and maintained and used to provide evidence. Records are 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, International records management standard (ISO 15489).

In other definition of records in the New Zealand public records Act (2005) stresses that records can exist in any format. Record means information, whether in its original form or otherwise, including (without limitation) a document. Government agencies are becoming increasingly dependent on e-mail system as communication transfer tools. A record can therefore be defined as anything written, inscribed, drawn or created by any means whatsoever to preserve the memory of a fact or event.

Archives New Zealand (2006) explains that records provide evidence of government activity of all levels, regardless of whether they are created in electronic or non-electronic formats, and are vital for government accountability and continuity. The following, based on criteria published by Archives New Zealand (2006) provides decision framework to identify public records. Public records should meet at least one of the following criteria: Generated as part of the conduct of the ministry's affairs, documents a function of the organization, an action taken, or a decision made, documents the formulation of policy or a decision making process, documents a change to an organization's policy or procedure, records that have financial or legal implications, required for operation or administration of normal business functions, approved by or reported to another individual, or internal or external body, sets a

precedent, governed by legislation and affects or protect the rights and entitlement of citizens (Lips M. 2008)

Records are therefore products of the activities of which they form part. Records are all books, papers, maps, photos, drawings, plan or other documentary materials regardless of physical form or characters made or received by any public or private institution in pursuance of its legal obligations and the transaction of business. Antony Gannon (1979) said that non-book media is information bearing media that are not in the form of conventional book. The non-print / book media/ records include the audio, films microforms and desk.

There is no universally accepted definition of the term (record management) and this is an indication that the discipline of record management is dynamic. Record management is a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records including processes for capturing and maintaining evidence of information about business activities and transaction in the form of records (ISO 15489-1:2001) National Archives and Records Service of South Africa (2006) points that record management is a process of ensuring the proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance. Records need to be well managed so that the information they contain can be readily accessible by those who use them when they need them. Musembi (2005) observes that government creates a huge volume of records that require proper management. Recordkeeping is therefore a fundamental activity in the conduct of Government business. According to Piggot (2002), there are several reasons why Government needs to manage and maintain records properly: Government relies upon legislative records, court records, police

records to preserve the rule of law. Records helps in demonstrating accountability to its citizens, a government relies upon policy files budget papers, accounting records, procurement records, human resource records, tax records, election registers. Property and fixed asset registers. Records also help in the protection of entitlement depends upon pension records, social security records, land records and birth/death records Record play an important role in providing services for its citizens, a government needs hospital records school records and environmental protection monitoring records. Without adequate records, the effectiveness of development projects must suffer. There will be no means of verifying that the development projects fail without acceptable legal financial and cultural boundaries of a client government. There will be no means to verify that funds for development are used as intended. Experts in financial management control recognize that well managed records systems are vital to the success of most anti-corruption strategies. Records provide verifiable evidence to fraud that can lead to investigations to the root of corruption. Well managed records can act as a cost-effective restraint.

1.2 Role of Human Resource Records

Human resource records are collection of both paper and electronic communications and documents related to the employment of an employee stored under the person's name or identification number, including but not limited to forms, letters, memos, reports, lists, e-mail etc. Personal files (records) are case files that relate to individual employee (IRMT 1999 P: 1) the records serve as the historical record of information pertaining to an employee from date of hire to separation, and contain some pre-employment and post-employment information. According to Laura Millar (1999) human resource records support the business needs and good human resource records are necessary to allow the best use of available staff and promote efficiency in

organizations. Records also help an organization make use of scarce resources and provide accurate source of data used in the other information systems throughout the organization. There are four categories of records that make up the human resource records.

Personal records include records, related to personally identifiable information, such as name, date of birth, home address, emergency contact, social security number etc. The records also include records covering employment, position classification, wage or salary, employee relations performance management, training, ministry development, attendance and paid time-off usage etc. The other categories that make human resource records are benefits program records which include records covering benefit plan enrollments in such plans as health care, retirement investments, tuition benefits and voluntary plans, as well as beneficiaries in these plans where applicable. The last category of human resource records are medical records which include all medical certifications, physician statements, and related information that describe the health and medical history or condition of an employee's family members. These include forms and correspondences, disability documents, claims for medical services, doctors' notes, workers compensation records, injury or illness reports and drug screening results.

The human resource records have certain characteristic which distinguish them from many other types of records. The quality of human resource records directly affects the employee themselves, as well as their families, in relation to job security, pay and entitlements. According to Michael Roper and Laura Millar (1999), human resource records document the contractual relationship between employers and provide a history of employee's career. The information held in these records is used to make a

wide range of decision for example about promotion transfer termination or disciplinary action. The records also provide the authority to determine pay and other benefits, including pensions. Human resource records must be accurate and complete, and they must also be trustworthy to both organization and employee.

Human resource records are sensitive as they contain personal information about individual and will need to be kept for entire career of employee and then for a period after the employee's death, retirement or separation from public service. They are ministry's property and must be maintained by the relevant record keeping authorities.

The legal framework in which human resource records are created, used and maintained will vary from jurisdiction, but it is the norm that the terms and conditions of public service are governed by some form of employment legislation such as employment act or civil service act. Legislation generally defines the rights and establishes various mechanisms for resolving disputes. The laws are supported by regulations codes and statutory instruments that further define human resource structures and outline policies and procedures. Both human resource managers and records professionals responsible for human resource records must be fully aware of record-keeping implication of all relevant laws, regulations standing orders and codes. (IRMT 1999, 2009).

1.2.1 Relationship between Human Resource Records and Human Resource Management

The effective management of human resource records enables ministries to manage their employees efficiently and equitably, encourages informed and consistent decision making, supports transparency and accountability and facilitates the monitoring and evaluation of staff performance .The goal of human resource records

management is to ensure that a complete and comprehensive employment history of each employee is readily available for as long as it is needed, and that the information contained in personnel records supports the management, deployment, payment and development of staff. According Millar (1999), most ministries undertake a number of common human resource or personnel management functions which include human resource planning, monitoring and policy development, establishment control, recruitment, appointment, performance appraisal, education, training and staff development, promotions, transfers and secondment, disciplinary and grievance proceedings, attendance, leave and sickness, separation from employment (through resignation, retirement or other reasons) and pay and allowances. All these activities generate records that need to be captured and managed in record-keeping systems, regardless of whether the records are in paper or electronic format.

1.2.1.1 Summary of Typical Human Resource Management Functions and the Records they Generate (IRMT, 1999)

Human resource functions are processed, records generated and maintained as follows:

Human resources planning: The plan should form part of and be linked to the wider strategic plan of the ministry. There are likely to be records of analysis carried out leading to the preparation of the plan. The strategic plan should widely be disseminated through the ministry. The human resources plan itself should be treated as confidential and made available only to senior management. The agency concerned should hold the master copy in its policy files series.

Recruitment: Consideration is required for Job analysis, job descriptions, specifications, advertisements, interview reports and references. Candidates' application forms, letters of appointment and the records of successful for candidates

are records generated. The service commission concerned should hold the first six of these items on case files for as long as they are relevant. Candidates' application forms and letters of appointment should go master personal file.

Special contracts: Contracts and records used in negotiations of contracts should be specific to a particular job or may be more general, such as part-time working, working flexible hours or job sharing. Documents should be maintained in the central agency or employing agency. The concerned agency should hold the contracts negotiations in a series of contracts files and a copy of the contract negotiations will also go to the master personal file.

Performance management, induction and initial training: Records documenting the induction program will be maintained in master personal file. Confirmation in post will be processed and confirmation certificate/letter maintained in master personal file. In annual appraisals, record of appraisal, forward job plan, annual report and the forward job plan should be retained for several years for comparison purposes. Records of appraisal, summary details (overall mark, suitability for promotion and long-term potential) should be held on the master personal file.

Education, training and development: Records of courses attended, skills acquired and levels obtained should be maintained in master personal file and working personal file in central agency concerned. Letter of promotion should be maintained in master personal file.

Transfer: Letter of transfer should be maintained in master personal file.

Discipline management: The outcome of the full record of disciplinary proceeding should be maintained on a separate case/policy file, possibly requiring special

security. Only the outcome i.e. letters to the individual, should appear on the master personal file.

Dismissal: Full records of proceedings on the disciplinary proceeding should be maintained on a separate case/policy file, possibly requiring special security. Only the outcome i.e. letters to the individual, should appear on the master personal file.

Attendance, annual leave and sick leave monitoring: Leave and sickness cards are maintained in working personal file.

Statutory and/or civil service redundancy: Full record of proceedings, negotiations and results are maintained in master personal file.

Death in service: Process of compensation terms is maintained in master personal file.

Retirement: Assessment of pension entitlement, pension notification and other documents relating to the retirement are maintained in process master personal file and pension's department case file.

Establishment information: The establishment lists and seniority lists are maintained in central agencies.

1.3 Background Information on the Ministry of Health

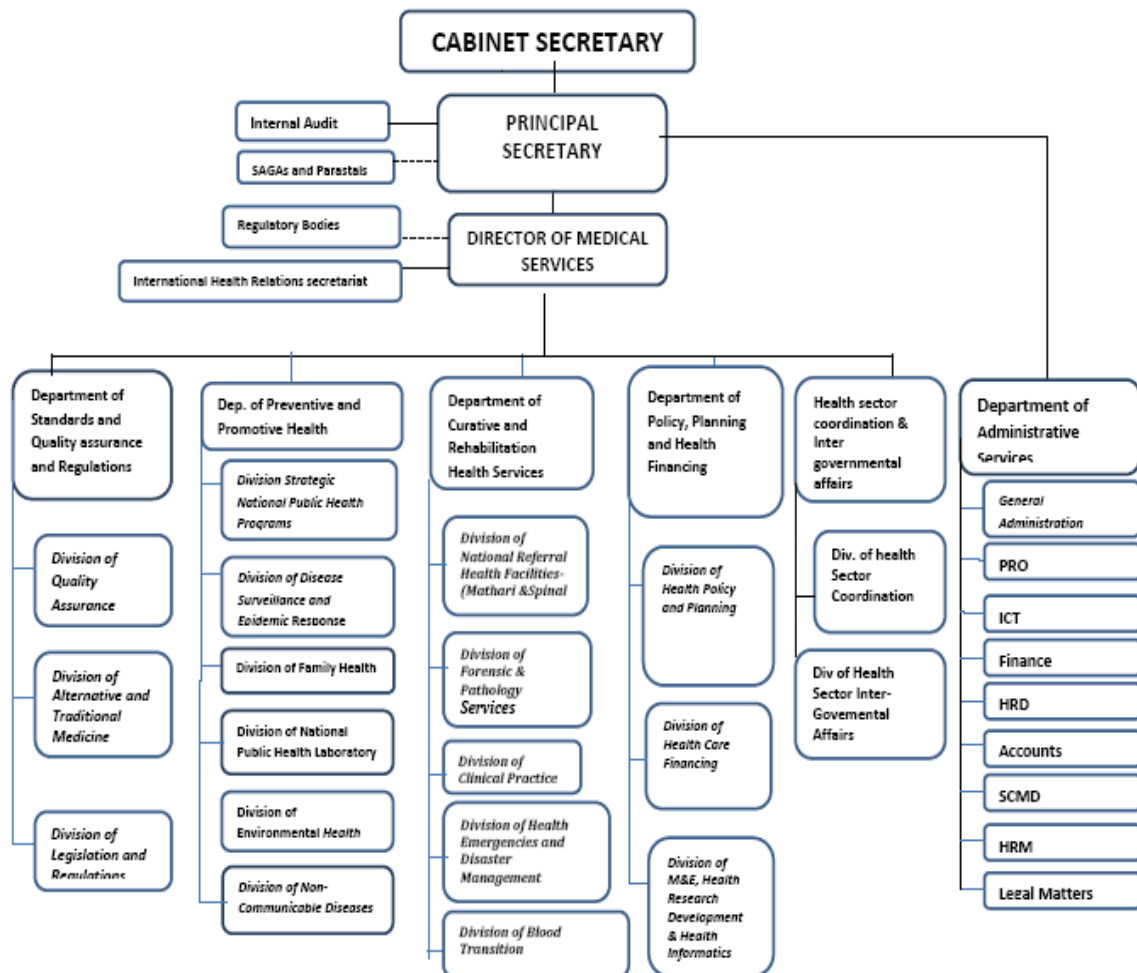


Figure 1: Ministry of Health Organization Structure

Ministry of Health was formed from a combination of two (2) former Ministries of Medical Services and Public Health and Sanitation and is aligned to the Constitution of Kenya 2010, Vision 2030, Executive Order No 2 of May 2013 and other GOK policies and strategies.

The Ministry of Health oversees all provisions of health services; formulates and oversees implementation of health policies; and regulates and sets standards for efficient and effective service delivery in the health sector. These functions shall be delivered through Directorates, Divisions and Units within the Ministry of Health.

Further, the Ministry will deliver referral health services through its National Referral Health Facilities.

The Constitution of Kenya 2010 devolved health care and redefined the roles and responsibilities in the health sector for the National and County Governments. This redefinition of functions necessitated re-organization and alignment of the previous existing stewardship arrangements within the sector and indeed in the sub-sectors. After the Country's elections in March 2013, the ministries of Health were restructured through the merger of the Ministry of medical services and Ministry of Public Health and Sanitation.

The Constitution of 2010 provided a conducive legal framework for ensuring a more comprehensive and people driven health services, and a right based approach to health is adopted, and applied in the country. All the provisions of the constitution will affect the health of the people in Kenya in one way or another.

To enable the Ministry, meet its expanded mandate there is need to develop an appropriate structure that aims at maximizing efficiency and success of a Ministry, facilitate working relationships between various sections of the Ministry and retain order and command whilst promoting flexibility and creativity. An effective structure creates a management framework within which the activities of a Ministry can be planned, organized, coordinated and controlled. This framework also establishes a basis for allocation of duties and responsibilities. In recommending an appropriate structure for the Ministry therefore, the team has taken into account the principal tenets of a good Ministry structure which involves: chain of command, lines of communication, span of control; and delegation

The MOH structure is also based on MOH's roles and functions; supports improved coordination and communication; provides clarity of roles, responsibilities and accountabilities; and by the nature of the Ministry, it can be both symmetrical or asymmetrical.

For effective service delivery, the ministry is currently organized into five functional directorates namely: standards, Quality assurance and regulations, clinical services directorate, preventive and promotion services directorate, health policy, planning and health care financing and administrative services directorate

In order to support the policy making role in management, planning and budgeting as well as strengthening the coordinating function with Non-Government organizations and the private sector in health care delivery, a proper design and implementation of integrated health information and management system is critical. To achieve these strategies, all health cadres, must be well prepared to perform on the job and adapt to changing situation in work place and at various levels of services which include human resource management supported by sound human resource records management that will ensure proper identification, classification, storage archival, preservation, disposal, security and accessibilities of the records

1.4 State of Records Management in the Ministry of Health

The following studies have revealed the state of records in Government ministries in Kenya:

1. Mnjama (2003), "the state of records keeping in Kenya Government Ministries and courts respectively is far below standard". Mnjama (2003:94) further attributed some of the poor state of recordkeeping in Kenya to lack of adequate storage facilities.

2. A task force constituted to undertake a study on the operation of registries in Government ministries and Local Authorities in the year (2004) reported a similar phenomenon replicated in the ministries.
3. A survey done by the retention and disposal committee (2006) reported a poor state of non-current record-keeping (accumulation of files with lack of space for new files) this is a clear indication that there are inherent problems and shortcomings in the management of records in the entire lifecycle. Such a situation may considerably hinder smooth flow of work in the ministries. The study has further revealed the inadequate attention being given to the management of records in ministries resulting in lack of proper infrastructure for records management, inadequate records preservation strategies and lack of effective records retention and disposal procedures.

Ministry of health like other Government ministries largely depends on the manual record systems that are slow and prone to errors affecting proper management and utilization of human resource records in public service delivery. They have not fully operated electronic records management system. In realization of potential benefit of adopting electronic information management system in service delivery, they have embarked on planning, design and implementation of information and communication technology (ICT) 2004. The project is being implemented in phases and most activities in human resource management departments have not been implemented. There is lack of proper planning and in adequate involvement of user departments. The general establishment for all record management officers in the public service has not been upgraded and the current senior grade in the ministry of Health is senior record management officer. Most of the officers handling records are within the grades of job group H, J, and K. These officers are assisted by clerical officers and

senior support staff who have not been trained in record management. All these challenges have greatly slowed down the implementation processes of best practices for human resource record management in the ministry, as there has been inadequate top management support. Ministry recognizes that human resource records form an integral part for its service delivery system in human resource management department. It is a practice in the ministry to create and maintain human resource records to facilitate processes in ministry/ departments human resource management functions to meet the customers' present and future needs.

The records generated in the ministry of health are largely paper based in the form of customers files (which holds most information on employees) generated to facilitate effective and efficient services delivery in a multi-disciplinary environment. The management of all human resource records in ministry and its departments is vested in record management units (Registries) charged with the following responsibilities: maintenance of the human resource records, providing storage facilities and conditions to ensure safety and security of records, producing files when required and maintain effective records control systems, dissemination of information, facilitating and regulating access to human resource records to the authorized users for the purposes of action, retaining or disposing of non-current human resource records in accordance of retention and disposal schedule.

In the ministry's bid to execute the above mandate, the human resource records management faces such challenges as lack of adequate well-trained staff to manage the records, inadequate infrastructure for human resource records management and lack of effective strategies to champion top management about the management of records in the ministry.

1.5 Adoption and Use of Information Communication Technology (ICT) in the Management of Human Resource Records in the Ministry of Health

Walker & Perrin, (2001), stated that the technology and trend are transforming human resource. The introduction of computerized systems, digital technologies and electronic Communications is having an impact on the management of recorded information throughout organizations.

The public-sector reform initiatives of 1990s coincided with information communication technology (ICT) revolution especially the internet and World Wide Web, and they are increasingly used in governments to enhance efficiency, accountability and transparency in the management of public affairs Wamukoya J, & Mutula S.M (2005). As Faye (2000) pointed out, ICTs are offering even less developed countries a window of opportunities to leap frog the industrialization stage and transformation of economy. Such reforms are undertaken in terms of interventions on issues that affect the ministries, performance and working conditions of employees.

Today's business is highly dependent on information systems. There is a fundamental change going on in the way organizations run businesses and interact with each other due to development and utilization of such information systems as Enterprise resource planning (ERP), Human resource information system (HRIS), Inter-organizational systems (IOS), Government human resource information system (GHRIS), Radio frequency identification (RFID), Management information system (MIS) and Customer relationship management (CRM), to name a few. (Laudon and Laudon and Macmillan 1988).

With the increasing effect of globalization and technology, ministry of health among other government ministries has started to use information systems in various functions and departments in the last decades. Human resources management is one of the departments that have benefited from the use of human resource information systems to support activities in the ministry. The activities include identifying potential employees, maintaining complete records on existing employees and creating programs to develop employees' talents' and skills. 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 human resource management and information. At the same time, there has been a desire in many public agencies to increase efficiency, reduce costs, save space, improve service delivery and enhance transparency and accountability.

In the evolution of human resource information system, the information department plays a major role in facilitating the computerization of human resource information (Kinney and Arthurs, 1993). Human resource information system (HRIS) is a data base designed to allow tracking of all sorts of Human resources (personal) related information. Human resource information system can be customized to fit any number of human resource needs (Hendrickson 2003). It is possible to adapt the system to any company or industry setting.

The Kenya Government in its bid to enhance the human resource services in public service introduced Government human resource information system (GHRIS). This establishment has improved the service delivery in terms of efficiency, accountability, transparency, cost effectiveness and decentralization of human resource service in Civil service. It is a web based human resource management system (Human

Resource Information System) currently addressing human resource (HR) needs in Public Service. The system is accessible through web which makes it accessible through internet enabled Personal Digital Assistant (PDA) such as Smart phones and Hi-pads without installing or acquiring any extra software. The system has brought numerous direct and indirect benefits in the civil service. Some of its direct benefits include: cost benefits, enhanced efficiency, and enhanced confidentiality, decentralization of human resource services and generation of records.

1.5.1 Challenges Facing Computerization in the Ministry

Matthew & Douglas (2009) analyzed that nature of developing information system in any organization is characterized by multi-dimensional and often messy Problems, involving technical organizations and personal dimensions. Pitman (1994) cited visible management support and commitment as critical success factors. Kavanagh et al (1990) also stated that top management support is crucial to the success of human resource information system. According to Magutu and Lelei, (2010), adoption of ICT has not reached its full utilization in Kenya. The transition is visible but it is very slow. The quality of ICT facilities in Government offices, level of ICT knowledge and skills among the Government officials, access and usage of facilities, management support, risks and security issues associated with ICT adoption are among the challenges in Ministry of health. The availability of electronic information is taken for granted in Kenya as there are numerous technical, organizational, legal and economic barriers to a comprehensive infrastructure for protecting and preserving, digital assets that are yet to be exploited. This undermines the ability of civil servants in all Government ministries and citizens alike to trust the information generated by government information communication technology systems. Responsibilities related to managing and disposing of electronic records is often poorly understood and

frequently fragmented among program, records management and information system staff.

The Government human resource information system (GHRIS) does not offer solutions to all human resource records Management challenges in the ministry. Due to heavy traffic which it is unable to handle, users sometimes experience unstable response from its application and this has exposed non-commitment on the part of the government on procurement procedures that can lead to very fatal consequences since the system might be hosted in a very cheap and insecure server which can hardly accommodate a heavy flow of requests.

Consideration should be given to challenges such as sustainability, lack of knowledge, pace of change, changing roles and norms and funding among others for the purpose of development.

The management needs to act to ensure that information communication technology systems provide trusted information that is reliable, complete, unaltered and usable in the ministry. This requires record keeping solution to be integrated in information communication technology system during their planning and designing rather than be added on during and after implementation. The management of electronic records requires a strong infrastructure of laws, policies, standards, practices; systems and people. The adequate governance, accountability and staff support arrangements are also of particular importance in the ministry.

1.6 Statement of the Problem

Over the years, the Government has put a lot of effort in improving service delivery in the public service. The establishment of Government human resource information

system (GHRIS) has been a major reform to bring efficiency in accessing, dissemination and enhance confidentiality of information. Managing human resource records effectively is a fundamental aspect of managing the human resource function. Several attempts have even been made to streamline the management of human resource records through circulars, legislations regulations and systems. Ministries have also been issued with guidelines such as records management procedures manual for the public service, 2010 and strategy for improvement of records management in the public service 2011.

In spite of these reforms, anecdotal evidence shows that the state of human resource records at the Ministry of Health still faces numerous challenges, leading to unsatisfactory service delivery. Those challenges relates to the aspects of records management namely; creation, maintenance, storage, control and disposal. There are still reports of missing files, accumulation of files with no space for accommodation. The Ministry of Devolution and Planning has reported existence of ghost workers in Government Ministries following the nationwide Capacity Assessment and Rationalization of the Public Service (CARPS, 2014) exercise which aimed at transforming Kenya Public Service as envisioned in the National Vision 2030.

In view of the seemingly poor records management, it becomes increasingly difficult to maintain an accurate payroll as indicated in the CARDS report and confidence in human resource data for the planning purposes. Where records are known to exist and cannot be accessed, decision and activities cannot be evaluated. In order to access accurate, complete, authentic and trustworthy information, proper management of records throughout their life cycle/ continuum is necessary. Good human resource records management ultimately helps the ministry in achieving better results in

improved performance which ensures reduction of time wastage and costs thereby improving service delivery. Lack of a proper human resource records management system exposes excessive clutter and a disorganized environment making it very difficult for employees to keep and track customers' information. Such situation may considerably hinder smooth flow of work in the ministry.

The study therefore carried out an assessment of human resource records management practices in order to identify the gaps and develop appropriate strategies for effective and efficient service delivery in the ministry of health.

1.7 Aim of the Study

The aim of the study was to assess the management of human resource records in the Ministry of Health with a view to proposing strategies to enhance their efficient and effective management.

1.8 Specific Objective of the Study

The study was guided by the following objectives namely to:

1. Investigate how human resource records are managed in the ministry.
2. Determine best practices and standards applied in the management of human resource records in the ministry.
3. Determine infrastructure and resources required to support sound management of human resource records in the ministry.
4. Identify challenges associated with the management of human resource records in the ministry.
5. Propose strategies to enhance the management of human resource records in the ministry.

1.9 Research Questions

The researcher sought to answer the following questions.

1. How is human resource records managed at the ministry of health?
2. To what extent has the ministry of health deployed the best practices and standards in the management of human resource records?
3. What kinds of infrastructure are there to support the management of human resource records in the ministry?
4. What challenges are encountered in the management of human resource records in the ministry?
5. What strategies should be adopted to enhance the management of human resource records the ministry?

1.10 Assumptions of the Study

The study was guided by the following assumption.

1. The challenges in the management of human resource records have contributed to poor service delivery.
2. It is possible to propose suitable strategies to improve the management of human resource records in the ministry if the challenges are identified and addressed.

1.11 Significance of the Study

The study is expected to serve the following purposes:

1. The study is expected to be of significance to the policy-makers, ministry's officials and records managers by proposing a framework for proper management of human resource records.

2. The study is expected to enable clients realize to what extent they are expected to benefit from the sound management of human resource records in the ministry.

1.12 Scope and Limitation of the Study

The study was undertaken within the following scope and met the following challenges:

1.12.1 The Scope of the Study

The study covered the Ministry of Health headquarters office and its Departments; Ministry of Health is one of the largest Ministries with many human resource records for the health workers. The improvement in management of records will therefore enhance service delivery by the Ministry staff especially for the national Government staffs who are policy and decision makers in the Ministry of Health.

1.12.2 Limitations of the Study

The researcher met constraints in getting officers to provide information concerning the records they handle because of the nature and sensitivity of the records in those offices. He overcame this by explaining the purpose of the study in relation to the procedures and systems applicable in the management of records.

1.13 Chapter Summary

This chapter has given background information to the research. The chapter has laid a foundation for the study and provided a broad guideline that sets a philosophical and methodical framework upon which the study shall be based.

1.14 Definition of Operational Terms

The following terms have been used in the chapter.

1.14.1 Government Human Resource Information System

Government human resource information system (GHRIS) is a web based human resource management system used in government of Kenya civil service. It was developed to address all human (HR) needs. The system is designed in house by government information communication technology (ICT).

1.14.2 Human Resource Information System

Human resource information system can be defined as integrated system used to gather, store and analyze information human resources (Hedrickson 2003, P.381). HRIS is used to acquire store, manipulate, analyze, retrieve and distribute information about a ministry human resources (Tannenbaum 1990) HRIS is not limited to computer hardware and software applications that comprise the technical part of the system. It also includes the people, policies procedures and data required to manage the human resource functions. (Hedrickson, 2003, p.38).

1.14.3 Human Resource Management & Human Resource

Human resource management is the strategic approach to acquiring, developing, managing motivating and gaining the commitment of the ministry's key resource, the people who work in it and for it (Armstrong).

Human resource management is a distinctive approach to employment management which seeks to achieve competitive advantage through the strategic deployment of a highly committed and capable workforce, using an integrated array of cultural and personnel (Human resource) techniques (Storey 1992: S)

1.14.4 Human Resource Records

Human resource records (personal records) are all information pertaining to individual employees, which are useful to employer for handling various employment related advertisement, Curriculum Vitae, letters of reference, recommendations, letters of appointment and acceptance, as well as information on leaves, immigration status, position number, and awards (university of Michigan 2004).

1.14.5 Information

Information is a stimulus that has meaning in some context for its receiver. When information is entered into and stored in a computer, it is generally referred to as data. After processing (such as formatting and printing), output can again be perceived as information. "Information is what is known beyond random chance prediction" (Shannon CE, Weaver W, 1949).

1.14.6 Information and Communications Technology System

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

1.14.7 Information System

Information system is an integrated set of component for collecting, storing and processing data for delivering information, knowledge and digital products that encompasses a variety of disciplines such as, the analyst and design of systems, computer networking information security, data management and decision support system

1.14.8 Records

Records are documents regardless of form or medium, created, received, maintained, and used by a ministry or an individual in pursuance of legal obligations or in the transaction of business, of which it forms a part or provides evidence (World Bank, 2003).

1.14.9 System

A System is a collection of elements or components that are organized for a common purpose. A methodical procedures or process that is used as a delivery mechanism for providing specific goods or services to customers ‘‘the system has already anticipated the freedom seeking mechanism in human’’ Bryant Mc.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

The chapter presents the theoretical framework and literature review on management of human resource records. The models to be examined include the records life cycle and records continuum. The literature review themes will include among others National Archives of Australia records management standard, management of human resource records, best practices and standards applied in the management of human resource records, infrastructure and resources required to support the management of human resource records in government ministries and proposing strategies to enhance the management of human resource records in government ministries.

The purpose of conducting literature reviews according to Lyons (2005) and Bourner (1996) include: -

1. Placing each work in the intellectual context of its contribution to the understanding of the subject under review hence position the study relative to other works.
2. Identifying new ways to interpret and shed light on any gaps in previous researchers. This helps in reviewing the field which allows the researchers to build on the platform of existing knowledge and ideas.
3. Resolving conflicts amongst seemingly contradictory previous studies.
4. Placing one's original work (in the case of these or dissertations) in the context of existing literature.
5. Identifying research methods that could be relevant to the research.

2.2 Theoretical Framework

A theoretical framework is a collection of interrelated ideas based on theories. It is a reasoned set of propositions which are derived from and supported by data and evidence (Kombo and Tromp, 2006). Dutch (2007) defines theory as any systematic and coherent collection of ideas that relate to a specific subject, He adds that a theory, in the scientific sense of the world, is an analytic structure designed to explain a set of empirical observations. A scientific theory does two things:

1. Identifies a set of distinct observations as a class of phenomena, and
2. Makes assertions about the underlying reality that brings about or affects this class.

The term theoretical is sometimes informally used in place of hypothetical to describe a result that is produced by theory but has not yet been adequately tested by observation or experiment. Hannsbus (1995) points out that any research work should be based on some theoretical framework. Theory therefore, provides a starting point for research.

2.2.1 Theories on the Management of Human Resource Records

Models are formed based on theories. A model can be said to be a hypothetical description of a complex process or entity. It is the act of representing something. Models can be used to explain theories. Koutsoyiannis (1979), states that there are two main purposes of a model, namely, analysis and prediction. Many theories have been advanced by renowned records management and archives professionals towards records management as a concept. Nevertheless, the basic record management theory remains the record life cycle model which led to the development of the records continuum model. According to shepherd and Yeo (2003), all the records

management models originated from the records lifecycle and records continuum approaches.

2.2.2 The Records Continuum Concept

The records continuum concept was formulated by Frank Upward in the 1990s based on ideas formulated by Ian Mclean in the 1950s and Jay Atherton in 1980s. The model as formulated by Upward consists of four dimensions which include: create, capture, organize and pluralize. The continuum model defines the integrated nature of the records continuum and represents a consistent and coherent regime of management processes from the time of records are created through to the preservation and use of records as archives. The continuum Model therefore relates to a record keeping regime which is continuous, dynamic and ongoing without any distinct parts or phases. The concept further advances the views that the work of an archivist and a records manager are interrelated, specifically, in electronic environment responsibilities since current records can become archives right from creation. However, the model was not suitable for the study as follows:

- a) There are no clearly definable stages in recordkeeping process which should create distinctions between current and historical record keeping as record continuum model concept provides an integrated process for record keeping and archiving processes.
- b) A major concern of the continuum as a whole is administration efficiency as records are not created to serve the interest of some future archivists or historians or even to document for posterity, some significant decision or operation. They are created and managed to serve immediate operational needs.

- c) The record continuum models purpose oriented-approach to records management changes the role of record keeping from reactive to proactive. This is seen to be changing the role of professional from passive and reactive to proactive post.

2.2.3 Records Life Cycle Model

Records life cycle also referred to as the life cycle concept draws an analogy between the life cycle of a biological organism which is born, lives and dies. In the same way, a record is created, is used for as long as it has continuing value and is then disposed by distribution or by transfer to an archival institution. This concept of records life cycle views records as passing through three 'ages' or stages. These stages according to the records management society-UK (2000) include current stage when they are referred to frequently during the regular course of business, semi current stage, when they are not frequently retrieved or accessed for business and non –current stage when they are no longer required for business. The life cycle model was conceived by Philip Coolidge Brook and Emmet J. Leahy of US National Archives in the late 1930's and further developed by Ira Penn

2.2.4 Records Life Cycle stages in the Model

Life cycle model is applicable through the following stages:

- a) Creation stage-record creation or record receipt in the records office
- b) Maintenance Stage- records are managed by records managers, active records stored on site and semi- active records stored on or off-site
- c) Disposal stage-in active records: trigger events starts with retention schedule determine retention period and at the end of retention period, record destroyed

or sent to Archives for permanent preservation. Archival record has secondary role as historical evidence

With life cycle model, there is records creation, records distribution (use and maintenance), records disposition, repository management and Archives management.



2.2.5 Relevance of the Life Cycle Model to the Study

Government Ministries and some organizations are mandated by law to retain confidential client, employee and company information for a minimum period of time. Records can be considered evidence of a decision or transaction that took place within the business operations, and should be kept as long as required or for a period required by regulatory, legal or business governance. Effective management of records throughout their life is a key issue in civil service reform.

Without the records life cycle concept, vast quantities of in-active records clog up expensive office space, and it is virtually impossible to retrieve important administrative, financial, legal information and human resource records. Such a situation undermines the accountability of the state and endangers the rights of the citizen and employees of an organization/ Ministry. The integrity in Government through records management is suitable as an instrument of analysis because it promotes the integration of records and archives management practices and hence leverages information and records in a manner that fits modern organizations. It is therefore relevant to Human Resource Records which sometimes may be required to determine accountability and transparency in payment or determine actions done while in service

- a) The concept of the life cycle is at the core of most records management programmes including human resource records. The model helps in investigating key issues around records as evidence for accountability, transparency and the protection of citizens' rights.
- b) It helps in the study and exploration by scholars and researchers in public administration and international development. It highlights the historical and importance of records management for effective governance.
- c) It is an essential concept considering the fact that current records are regularly referred by human resource management officers to manage affairs of the employees and therefore kept in records office before being transferred to a separate store room as semi- active records. Retention schedule should be prepared in accordance with DPM's circular on disposal and retention of personnel records reference no. DPM.12/6A Vol.1 (71) of 12th March, 2008.

- d) The stages in the life cycle model of a record include creation or receipt, distribution and use, storage and retrieval, destruction or archiving. This is a practical procedural applicable in human resource records in Government Ministries.

2.2.6 Background to Human Resource Records

According to the University of Manchester (2010), any recorded information which is produced, received or kept as part of its business processes and which provides evidence of a specific activity can be defined as a record. In Coetzer & Le Roux (2012), a record has been defined by the National Archives and Records Service of South Africa (2009) as recorded information in any form either created or received and maintained in pursuance of legal obligations or in the transaction of business and kept as evidence of such activity. The University of South Africa (2007:1) likewise explains that a record refers to recorded information, regardless of format or medium, which has been either created or received, used, accessed and maintained by the university/organization (at large and / or its predecessors) as evidence and information in pursuance of its legal obligations or in the transaction of business, and this includes e-mails, records in electronic form, and records other than correspondence. In the light of the above, the globally accepted definition by ISO 15489 from which all other definitions are derived from, states that records are 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. Although the specific strategy that an agency develops and implements will be unique, all strategies share common goals. No matter what the final strategy, the records that exist in any agency should be:

1. **Trustworthy:** - Trustworthy records contain information that is reliable and authentic. A key aspect to trustworthiness is legal admissibility, i.e. whether the records will be accepted as evidence in court. According to Cal RIM, (2002, P.33) on legal standards, the acceptability of records other than paper records as evidence have been slow to evolve. State and federal historical

legislation, which allowed for the admissibility of microfilm as evidence had to gradually develop. Paper copies of microfilmed records are admissible if microfilm is created with proper certification and standardized procedures. Electronic records as a group involves a much newer medium than paper or microfilm. Precedent has also shown that some courts admitted records with a variety of contents and forms. Each judge is free to dismiss evidence on the basis of the court's independent evaluation of the authenticity of a given document. In contrast to the traditional paper records, electronic records have systematic vulnerabilities and additional efforts must be taken to assure the court of their trustworthiness. Hence, an electronic recordkeeping system incorporates the functionality to assure the court of the reliability of the recordkeeping integrity. For the mini and mainframe environments, attention to such items as equipment and software reliability, preparing printouts in regular course of business, records retention schedule will enhance record as record trustworthiness.

A record is reliable when it can be treated as a fact of which it is evidence, Luciana Duranti (1996). He further stated that the reliability of a record rests on its completeness and the rigour of the procedure by which it is created. The most reliable data are derived from personnel (Human Resource) records generated in the day to day processes of human resource management. These records are traditionally paper documents kept on files but increasingly they may be held in electronic format.

2. Complete: - The records should have a quality to ensure their long-term usefulness. There is need to capture and maintain the necessary metadata about the records. Metadata is the "data about data" that documents the

relationship of the record to the organizational activity and to other records. Metadata ensures that records can be found when required. Metadata includes such elements as the records creator, the date of creation, and the record series to which the record belongs.

3. Accessible: - To ensure that records can be accessed and located in a way that meets the user's needs and needs of all other concerned parties. Some records may need to be immediately accessible, while others may not. Records are assumed to be accessible to the public, unless categorized as not –public by the state legislature.
4. Durable: - This is about ensuring that the records are durable. In other words, they must be accessible for the designated records retention period and stored, as appropriate, “on a physical medium of a quality to ensure permanent records,”

Despite the common belief that the computer systems will replace paper based information environments, records in the form of documents are most frequently maintained outside the human resource information system: Examples include signed contracts of employment and letters to and from individual employees IRMT (2009). Traditionally, these documents are maintained in paper filing systems. Increasingly they are being captured electronically in electronic record management system (ERMS) or other content managements systems, either as born digital records (that is, records that are created and maintained electronically) or as scanned paper records. However, these records are still retained outside of the human resource information system so that it is necessary to manage at least two record-keeping systems in order to oversee the human resource management process. The components of any record include:

1. Content: - Factual information in the record that documents government business
2. Context: - Information that shows how the record is related to the business of the agency and other records.
3. Structure: - Technical characteristics of the record (e.g., file format, data organization, page layout, hyperlinks, and headers. Footnotes).

Research on records addresses different aspects of the characteristics of records.

Samples of the variety of those characteristics are:

1. Records are physical, have a content and a structure/form and are created in a context (Hofman, 1998)
2. Records are evidence of actions and transactions (Reed, 2005; Thomassen, 2001) Records are process-bound information, used in decision making i.e. “information that is generated by and linked to work processes” (Thomassen, 2001, p 374)
3. Records should support accountability and transparency in organizations, a “principle that individuals, ministries, and the community are responsible for their actions and may be required to explain them to others” (International Standards Ministry, 2001, p.2) (c.f. Meijer, 2001)
4. Records must be preserved to serve certain purposes, some for a very short time and some permanently (see e.g. McKemmish et al., 2005a)

2.2.7 Processes in Managing Human Resource Records

According to State Records Act NSW (2004), a records management program encompasses the management framework involving the people and the system

required within an organization to manage full and accurate records over time. This includes the identification and protection of human resource records with longer term value that may be required as archives. Program includes, records management policies, plans and procedures, skilled staff recordkeeping system and tools, advice and training in recordkeeping rules and practices and recordkeeping performance monitoring and review. Records management program provides a framework in which record keeping processes can effectively be implemented in order to make and manage records as long as they are needed. NARS Act (1996), explains that the government body's records management procedures, should be designed within the broad records management principles established to take into account the unique functions, structure and resources of each governmental body. Management is concerned with the professional practice or discipline of controlling and governing of records of an organization throughout their life cycle from creation to their eventual disposal. The processes include identifying, classifying, storing, securing, archiving, preserving, retrieving, tracking and disposal of records.

Records management policy and procedures manual should be developed to serve four functions of standardizing procedures; establishing responsibility; assisting in employee training; and providing for updates on policies and procedures. Lack of a records management procedures manual would have implications as records management personnel not having the necessary guidelines for managing records during the continuum of activities that would have made the management of records throughout their life-cycle easier. Effective implementation of a records management programme provides the following:

2.2.7.1 Records Management Procedures and Practices

Record Management activities carried out in records management units include: Creation / mail management, Classification of records, sorting of the incoming mails, recording all the incoming mails records in a mails register for distribution to appropriate officers, filing, retrieval of files of the requested for by the action officers, recording and releasing them in register to action officers. On return of the files, they are received in a register and then filed back in appropriate filing cabinets.

2.2.7.2 Records Creation and Use

Records are important for a number of reasons within a ministry; they provide evidence for decision making, for documentation, for reference and for response to enquiry amongst others Swarfford and Gow (1992). Human resource records are created in Government ministries to provide for decision making on issues affecting the employees. It is therefore necessary to monitor their creation/receipt and use for their effective management.

2.2.7.3 Classification of Records

In ISO15489-1 records classification scheme is defined as a tool in records management that assists in various processes such as providing linkage between individual records which accumulate to provide a continuous record of activities. ISO 15489-1 further points out that a classification scheme is important for ensuring records are named in a consistent manner over time; assisting in the retrieval of all records relating to a particular function; Determining security protection and access appropriate for sets of records; distributing users permissions for access to, or action on, particular groups of records; distributing responsibility for management of particular sets of records; distributing records for action; and determining appropriate

retention periods and disposal actions for records. Well done classification ensure quick access and availability of human resource records when required for use.

2.2.7.4 Records Registration and Control of File Movement

The purpose of tracking records is to document the movements of records so that the organization can be able to tell where its records are at any given time Ngoepe (2008). To monitor the use of records and to maintain an auditable trail of record keeping processes, such as access of records by users, the ministry should maintain tracking of records movement.

2.2.7.5 Maintenance and Storage Facilities for Human Resource Records

Storage and maintenance of records involves placing the records in the right designated slots in the storage facility that provides a favorite environment for their maintenance for future use. This should also ensure ease of access by making retrieval a simple exercise. To ensure effectiveness of computer systems in repositories for authentic and reliable electronic human resource records, the following safeguards are necessary: The integrity of all electronic records must be maintained i.e. the records must be complete, accurate and verifiable, only authorized information be put into the system and generated from it and only authorized individuals can access or amend information. The storage, search, dissemination and capacity of electronic systems have encouraged users to dispense with the paper copy. With the introduction of the desk top computers in many working environment, human resource records created electronically are now also stored with varying degrees of formality and standards on the desk itself. Of course, simply storing information electronically will not ensure long term preservation and accessibility. Rather records have to be captured into a formal record keeping system and properly managed to ensure their survival IRMT,

(2009). ISO 15489-1 requires for records storage to be in a media that will ensure that their authenticity, reliability, usability for as long as required. To speed up decision making storage is necessary because without it, records retrieval would take long. Inadequate records storage equipment could increase the deterioration of records and thus affect their access and use (Kemoni, 2007). Bad storage of records reduces their lifespan and is always becomes a threat to the vital records in Government ministries.

2.2.7.6 Preservation

With the increasing number of electronic records in office systems, including networked environments, there is a growing concern about their maintenance and long term preservation (ICA 2005). Unlike paper records, the means of preserving electronic information is determined at its creation so that the integrity of the record is maintained from the onset. The electronic information must be captured in such a way so as to make it accessible during its entire preservation time Asproth (2005:28). If these records are not captured and preserved well, there will be no record providing the details on government activities or decisions in the future generation leading to a loss of accountability and societal memory. Preserving an electronic record involves Preserving the ability to recreate that observable product again and again, so that the record continues to fulfill the purpose for which it was created (IRMT 2009b:23) Digital preservation according to Reagan Moore (2008) is defined as long-term, error-free storage of digital information with means for retrieval and interpretation for the entire time, span that the information is required. Terry Harrison (notes p.4) states that, effective preservation of information for future use requires understanding of the cost involved and commitment technically, legally, economically and organizationally to the full dimension of the task. Failure to look for trusted means and methods of digital/electronic preservation will certainly exact a stiff and long-term cultural

penalty. Integrity of digital/electronic information is determined by content, fixity, reference, provenance, and context which give the digital information its object value. There are numerous technical, organizational legal and economic barriers to a comprehensive infrastructure for protecting and preserving, digital assets that are yet to be exploited. (Stephens 2000 and Hellen Hockx Yu (2006) correctly points out that preservation of digital archives is a complex process and there are many unsolved technological issues. Despite evidence of increasing concern about digital preservation, there is increased acceptance and demand for digital technologies and resources. Growth of digital libraries and resources has created three primary motivations for investments in preservation and program development.

- (1) There is increasing demand for continuing accessing information on-line, the resources should not be removed or diminished.
- (2) There is an interest on the part of digital library development to protect the investments made in digital and electronic resources, whether those investments are subscription, fees paid to publishers for on-line content, the costs of initial data collection, or the cost of converting print and other analog materials into digital form.
- (3) There is a concern about preserving digital communications for future study of our present time and culture. This includes the content of digital documents that might be considered ephemeral as well as evidence of the impact of digital communications on many aspects of society.

The increasing amount of research underway to directly or indirectly address concerns about the longevity of information is another encouraging sign that digital archiving has become important issue for digital libraries. Research projects include NEDLIB projects in Europe and non-government ministry in USA.

2.2.7.7 Metadata

Metadata is an important element in any records and archives program where the objective is to preserve the authenticity and integrity of data IRMT, (1999), it provides meaning to record and helps the user to understand the nature of record and how to use it. There are various forms of Meta data which include Recordkeeping Meta data, system operating Metadata descriptive Meta data, access Meta data, /location and retrieval Metadata. Where data is computerized, it can be impossible to understand its essential details without appropriate background information. Record-keeping Metadata serves many important purposes, including identifying records, authenticating records, administering terms and conditions of access and disposal, tracking and documenting the use(s) of records. Metadata also help in identification of records after transfer or in interoperability situation. Human resource information system has organic software tool that allows customization to fit ministry's specific requirements, it is built with open metadata models and flexible and customizable user interface that allows user to adjust the system to perform, behave, look and feel based on ministry's specific requirements without the need for software.

2.2.7.8 Fixity

An object's integrity is lost if it is constantly changing (i.e. document revisions can obscure the original document). The content of a record should stand at a point. Once fixed it is equally important that it stays fixed and preserved as an accurate, unaltered record of the event in question. Once a transaction has occurred, no alteration should be made to the record. Any change to this must be recorded and linked to the first. This will ensure accuracy, reliability and authenticity of the e-record (Mnjama and Wamukoya 2007:277). According to National Digital Stewardship Alliance (NDSA) levels of digital preservation (2012), one of the most essential components of digital

preservation is being able to attest the fixity and integrity of the materials being preserved. NDSA, (2012) further states that fixity has remained a challenge to many ministries and provides a series of steps to ensure the fixity of content according to (2017) fixity survey report by National Stewardship alliance. To date, there have been no broadly established best practices surrounding fixity checking, perhaps largely due to the wide variety of digital preservation systems and solutions employed by cultural heritage organizations. Human resource information system enables business process re-engineering if the business practices are found to be deficient and unworkable in the electronic environment. A number of important decision need to be taken about how data are going to be managed in the system i.e. Who will have access to which records, who will be allowed to make changes to information? Full support is needed from all key stakeholders in the ministry, which include representatives responsible for human resources, financial management, information technology, legal matters and other businesses. Record professionals must also play a role in any implementation project, so that they can ensure critical evidential requirements are met. The Human Resource Information System when integrated with payroll management can calculate salaries and provide a range of supporting functions such as preparing pay slip and payroll reports. Controls should be built in to ensure that a ministry follows all necessary authorizations, communication and monitoring processes.

2.2.7.9 Records Security and Disaster Management

According to ISO 15489 a ministry is required to have guidelines as to who is permitted access to records and on what circumstances access is permitted. Furthermore, e-records management system in place should also control access to guard their integrity and authenticity. Study by Kootshabe (2011) found out that

records security in many government ministries had challenges such as unauthorized access into records storage areas as messengers and cleaners often had accesses.

Disaster management programme for the records is an area that cannot be neglected because it is the one sure way of protecting and securing records against agents of destruction that range from human to natural. Disasters are inevitable and the Ministries should always be prepared to deal with them as a means of either averting or minimizing their effects with proper recovery measures attainable in the shortest time possible. Ngulube (2005:15) says that disaster planning facilitates efficient and quick response to an emergency and is fundamental to ensuring access to, and preservation of, documentary materials into the future. Chachage and Ngulube (2006 :) add that disaster planning is generally regarded as an essential part of any records management programme. Disaster planning ensures that institutions are prepared to respond quickly to emergencies. Disaster mitigation, or the ability to identify risks and prevent some emergencies from happening, should always play a key role in an institution's emergency preparedness and planning efforts. Government ministries should adopt a disaster management plan to ensure their records are protected from threat caused by enemy of records in the management of human resource records.

2.2.7.10 Records Retention and Records Disposal

Records disposal is a process closely connected to the implementation of records appraisal decisions according to Kennedy and Schauder (1998:8a). It is concerned with the destruction or otherwise transfer of records from a records management unit to a records center or archive depending on the guidelines provided by a retention schedule and applicable legislations. It entails the deletion, or destruction of records from a records management system. It ensures that space is created for in-coming

records in human resource records management units. Records disposal may also include the migration of records from one records management system to another or transfer of custody of ownership of records. An effective records management system should be capable of assisting in making and implementing decision on records retention and disposal. This system should also provide an audit trails in order to “track the complete disposition of records (ISO 15489-1 2001).

2.2.8 Types of Human Resource Records

Human resource records are particular for planning which depends on accurate and up-to-date information. The records are also important when it comes to getting the best out of the employees as the records are necessary for formulation and implementation of employment policies and procedures for recruitment, training, promotion, dismissal etc. Some of these are required by law and others enable the human resource to monitor other processes. For instance, human resource records and the statistics are important in helping to develop policies free from any bias on grounds of sex, sexual orientation, religion or belief, race, age or disability. IRMT, (1999)

Accurate records help ensure that workers receive their correct pay, holidays, pensions and other entitlements and benefits. They can be used to monitor fair and consistent treatment of staff for example in relation to promotion and discipline, and for workers development purposes. Types of the human resource records according to IRMT, (1999) include applicants past records, employment progress reports, medical reports, wages and salaries, leave records, turnover records and other benefit records, also training and development, appraisal reports, transfer cases, sickness reports

safety provisions, medical history, insurance reports, bio-data, academic qualification and marital status among others.

2.2.9 Formats of Human Resource Records Used in Government Ministries

An effective records management programme should encompass the management of all records regardless of their formats according to Shepherd and Yeo (2003). It is evident that in as much as electronic records are in use, paper records are still dominant in government ministries in Kenya. Ministries need to conduct records surveys not only to establish the formats of records created but also to ensure their timely access, use, appraisals and disposal

2.2.10 Best Practices and Standards Applied in the Management of Human Resource Records in Government Ministries

The creation, capture maintenance, use and disposal of records should be regulated by among others, standard and codes of practice issued by national and international bodies e.g. ARMA, IFLA and ISO. According to Ashfield district council retention and disposal policy January, 2018 Any decision to retain or dispose of a document should be taken in accordance with this policy. Laura Millar observes that in the recent years, international, national, state or local archival association have focused their attention on development of professional codes of ethics as tool for influencing if not controlling effective and principled archival practice. Archivists are encouraged though not legally required to recognize and respect such codes of ethics / practices. The ICA as the international association representing archival institution published an international code of ethics 1996 and similar publications have since been developed in many countries in the world for examples Australia, Austria, Canada, Spain Switzerland, U.K, South Africa and U.S.A. Other than professional code of ethics,

the management of records and archives is also controlled by record management standards. The standards also range from international to national and to institutional. (ARMA international standard and best practice) Standards technical reports and other best practices documents and create a professional environment of advisory and informational publications. They are designed to assist records and information management practitioners with daily business challenges. They enable ministries to confidently create systems, policies, and procedures to ensure high operational quality and exceptional performance.

2.2.10.1 Standard

ISO/IEC Guide 2:1996, defines a standard as “A document established by consensus and approved by a recognized body that provide for common and repeated use, rules, guidelines or characteristics for activities or their results aimed at the achievement of the optimum degree of order in a given context”

There are certain standards that should be followed in managing records and these include the International Ministry for Standardization (ISO) standards, the ISO 27001 and the ISO 15489 used worldwide. The ISO 27001(2005:5) mentions three key information security requirements as (which might compromise a ministry’s information assets) confidentiality, integrity, and availability. The ISO 15489 (2001:7) defines a good record as one with characteristics of usability, authenticity, integrity, and reliability.

ISO 15489 was designed to meet the ongoing generic needs for record keeping in a business environment, and is of use in government and non-government ministry. The guidelines in the ISO 15489 cover performance, monitoring of records, management programs and record keeping in a public office. It enables the ministry adhere to the

requirements of laws, standard and principles of good record keeping practices. The guidelines are also useful for record managers or other staff with responsibility for managing the records through management programs or those responsible for implementing a monitoring program for record keeping. Managing records involves a number of commonly deployed processes. These may occur in a variety of forms as a web-based service, as functionality in records application software system or as part of the operation of a business application software.

Capturing of records into a records system is done to formally manage a record or to secure its reliability and usability for as long as required. Classification is done to link it to its business context by creating a logical relationship. Indexing and retrieval meta data should be linked with records at the point of capture and may be added to them as required over their whole retention period such indexing and retrieval metadata may be formally defined in tools such as controlled vocabularies, theuri etc.

- 1) Maintenance of records usability requires that procedure is implemented to ensure, reliability, integrity, authenticity and access
- 2) Migration and conversion should be managed as these are significant part of the management of digital records which should be planned, documented and communicated within the ministry and to external parties involved in the process.
- 3) Security should be a major concern as records regardless of format media should be stored in a way that protects them from unauthorized access, loss or destruction and from theft and disaster.

As a standard for best practices in records management ISO 15489-1 (2001 Section 6) specifies that ministries should establish document, maintain and promulgate policies and procedures to guarantee that its business needs for evidence and accountability and information about activities is met. The ISO 15489-1 (2001 Section 5) stipulates that a records management policy and procedures of a ministry should demonstrate the application of the regulatory environment to their business processes.

2.2.11 Application of ICT in the Management of Human Resource Records

Information infrastructure is defined by Hanseth (2002) as a shared, evolving, open, standardized and heterogeneous installed base. According to Pironti (2006), it is all of the people, processes procedures, tools, facilities and technologies which support creation, use, transport and destruction of information. Information infrastructure was introduced in the early 1990s. It includes the internet, health system and corporate systems (Bygstad, 2008). It is involving technological and non-technological elements that are linked (Hanseth and Monteiro, (1996). Human Resource Information System includes people, forms, policies and procedures and data of the ministry. The prospect of human resource information system is to provide an easy access and services from a series of data readable and understandable to information users. The information that is provided may facilitate any users especially the operational and managerial levels of the ministry to review the personnel's performance and in any important decision making.

According to Civil Service Reform Program (CSRP, 2005), in order to improve the performance of the Civil Service, the Government formulated a Strategy for Performance Improvement in the Public Service in 2001. The Strategy provides a common vision and guidance to the Public Service Reform Programmers and focuses

on some fundamental concepts that will lead to performance improvement in the service delivery of public services to Kenyans. Areas of concern included: poor state of registries and records management in the Public Service. The current state of registries that has contributed to their inability to provide accurate records and information needed for quick and timely decision-making leading to poor service delivery and opening opportunities for corruption. To address the poor state of records management in the Public Service, the Government is in the process of: computerizing all registries at the Ministry headquarters, Counties and Districts; training all registry personnel on records management; and improving the working environment for registry personnel in ministries.

2.2.11.1 Current State of Information Technology (IT) in the Public Service

The main problems of Information Technology in the Kenya Government are:

1. The manual nature in our management of information systems, and slow application of Information Technology and infrastructure
2. Manual filing system which is poor and delays service provision and gives opportunity for corruption;
3. Stand-alone information technology systems and multiplicity of equipments which causes severe maintenance problems.

The Government is currently putting in place the following measures

1. Computerization of personnel records and information storage;
2. Development of information and communication technology policy for the entire public Service;
3. Interface all management information systems, linking personnel information system with financial management system for better budgeting of Personal

Emolument and expenditure control in order to manage better the Government wage bill;

4. Development of information technology infrastructure and establishment of information technology units in all ministries.

2.2.11.1.1 Electronic Records Management and Benefits of ICT in Ministries

Ministries are fast moving toward electronic records management due to the advancements in technology and the changing times. Minnesota State Archives (2012), states that a government agency's electronic records management strategy must conform to legal mandates, as well as reflect preferred management practices and technological options. Electronic Document and Records Management Systems (EDRMS) have been applied for the management of electronic records. The Kenya Vision 2030 identified ICTs as a key enabler to the attainment of its goals and aspirations. In the vision, the ICT sector is envisaged to transform Kenya into knowledge and information-based economy by enabling access to quality, affordable and reliable ICT services which plays an important catalytic role in the economic and social development of the country public sector ICT survey report (2016) Their efficiency is dependent on the needs and kinds of records that are generated by a ministry as well as a ministry's mandate. Establishing the role of individuals in electronic records management and understanding e-records and addressing some of the challenges facing ministries in their management is the key factor in streamlining registries in ministries. The use of human resource information system has been advocated as an opportunity for human resource professionals to become strategic partners with top management. Human resource information system allows human resource function to become more efficient and to provide better information for decision making (Beadles, Lowery and Johns, 2005) generally; Human resource

information systems have become the most important instruments in day to-day operations and business activities in Government Ministries and Private sectors. According to Parry (2009), the use of Human Resource information system can provide a number of benefits not only to human resource functions but also line managers and the wider ministry. Michael (1991) has also listed a number of basic requirements in terms of access to personal records of employees in a ministry which the system must meet. The systems may perform such functions as: employee information, work time, payroll, benefits administration and performance in both private and public sectors in Kenya

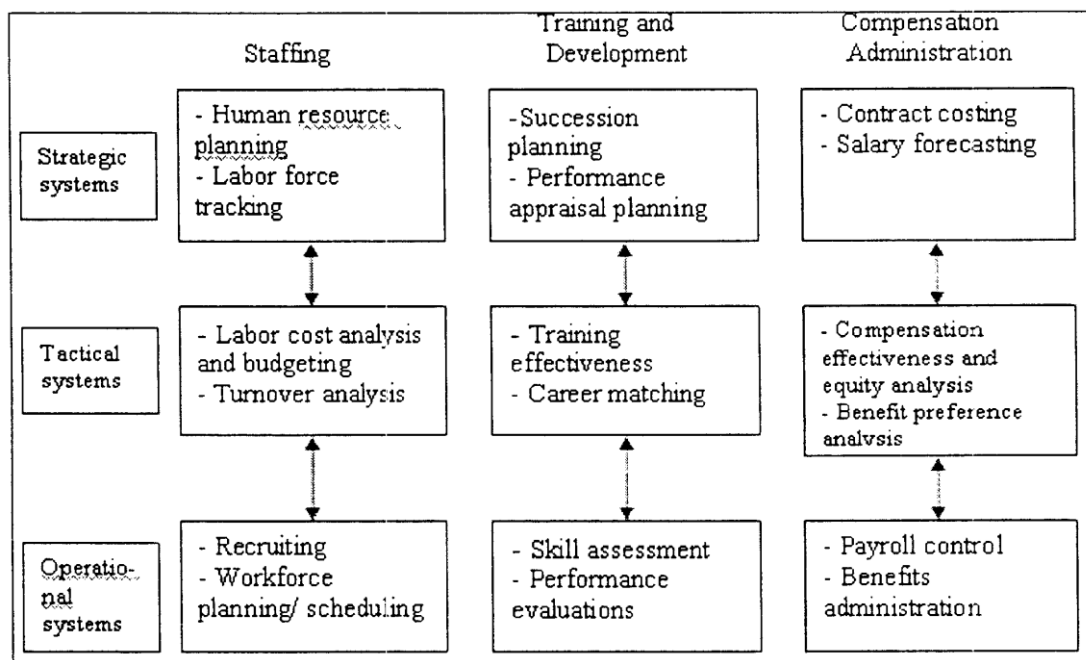


Figure 2: Human Resource Information System
(Source: Walker & Perrain 2001)

2.2.11.1.2 E-Government Strategy

The Government has formulated a strategy for introduction, development and implementation of electronic based service delivery. The strategy is modeled in the broad E-Government context that includes:

1. Electronic Service Delivery: This entails development of a Government of the future with a shift to citizen and customer focused thinking with citizen's access to more public services, delivered online, anytime, anywhere
2. Business for E-Government: This is the electronic procurement of goods and services.
3. E-Governance: This will enhance public participation in decision making process, reshaping of public policy and evaluation of administrative effectiveness and service delivery efficiency and will lead to transparency, accountability and public responsibility

According to McLeod & Schell, (2001) Intranet technologies allow ministries to process most common human resource management application over their corporate intranet. Intranets also allow the human resource management departments to provide around-the clock services to the customers and employees, they also disseminate valuable information faster than their previous ministries channels. The notable systems that link up record keeping system with other government system include the systems dealing with budget payroll and pensions management. Stakeholders in a public-sector environment include public service commission, Government (line) ministries, ministry of finance, audit office treasury or accountant general and pension's office.

Personnel (Human resource) records provide the evidence and authority to pay salaries and benefits to employees. Personnel costs are likely to be the largest single item of expenditure in the public-sector budget, and personnel (Human resource) records ultimately enable governments to be accountable for this expenditure. Human resource records provide different uses e.g. in areas like planning, decision making

and conducting business in every area of human resource management, whether in relation to the individual employee, to groups or categories of employees or to the entire workforce. Centralized office system was introduced when ministries such as government agencies were smaller and their functions were simpler.

2.2.11.1.3 Migration

Migration is defined as a set of organized tasks, strategies defined to achieve the periodic transfer of digital materials from one hardware/software configuration to another or from one generation of computer technology to a subsequent generation. It is mostly widely deployed in technical strategy in repositories that have established digital holding. It involves transforming digital content from its existing format to a different format that is usable and accessible on the technology in current in use. A deeper understanding of the content being preserved is required for migration (Army J.Kirchhoff, 2008). Emulation involves developing software that imitate earlier hardware and software. It is a more technology-based strategy, requiring a deep understanding of existing hardware and software. Digital/Electronic preservation is the series of management policies and activities necessary to ensure enduring, usability, authenticity, discoverability and accessibility of content over very long term. Data migration and confirmation / fit-gap process should also be ongoing. This involves identifying which data should be migrated and how much historical data should be included, as well as the actual process of moving the data. The configuration or ‘fit-gap’ process consist of systematically working through every human resource processes and matching each of those to each of the integral human resource information system processes. The result is an understanding of where ministry’s processes and the software processes mesh (fit) and where they do not (gap).

Any gaps that are identified need to be closed either through modification of ministry processes or by software customization.

Subsequent research on migration has demonstrated that there are several different types of migration, other strategies and policies developed for interventions in digital information. Electronic records may require migration in cases where the storage medium used has lived out its life time, or the hardware or software has become obsolete. Thus, managing electronic records also involves managing or replicating the software used in the first place or eliminating the need for that software by saving the record in some other form (IRMT 2009b:23). Human resource information system enable human resource managers to define and generate additional reports on personal details, recruitment, position management, performance management, training, attendance, travel and expenses, loan and advances and pensions. The systems contain the authoritative evidence of human resource management processes such as appointment and promotion letters or confirmation of transfers and retirements and the system is able to keep the evidence. Copies of all these records may be scanned and added to an electronic file for meaningful and usability for as long as they are needed. The records should be kept until there is no possibility of further appeals where necessary, usually at the end of statutory period of limitation.

2.2.11.1.4 Interoperability Services

Interoperability is defined in the Federal Enterprise Architecture (FEA) Technical Reference Model version 2 (2008), as the capabilities of discovering and sharing of data and services across disparate systems and vendors. It is the ability of information and communication technology (ICT) system as well as business processes they support in order to exchange data and enable the sharing of information and

knowledge. It is a multi-level concept that includes several aspects and viewpoints i.e. considering the common infrastructure and standardization. Software applications are considered interoperable if they share common data format such that information created and stored by users of one application can be accessed and manipulated by users of another. With the increase in the size and complexity of civil service in many countries, it has become more difficult to deal with the volume of personnel (Human resource) transactions from a centralized office. As a result, there can be unacceptable delays in processing appointments implementing salary changes, calculating pension's payments and so on. Furthermore, centralized human resources operations are increasingly seen as too remote from the offices that are actually conducting the business of government. While centralization encouraged the development of common procedures, it has been argued that decentralization of tasks such as recruitment, appointments and promotions can increase efficiency and serve local requirement better and reduce cost. Decentralization has significant impact on record keeping in both manual and electronic environments.

Human resource information system may be closely linked to, or even a component of, an integrated financial management information system (IFMIS). Regardless of how effectively the ministry has structured the functions of payroll management in the establishment control which include budgeting and human resource management; these processes need to be closely integrated so that the effect of information about employee costs and deployment can be shared. Typically, a human resource event that affects the payroll (a new appointment, a promotion, the grant of an allowance) originates in Human resource function but is concluded in the finance functions. Pensions and loans may be managed by separate systems again, there should be the capacity to share data with human resource and finance systems. Business system

analysis offers a tool for the analysis of records IRMT, (1999) and systems thinking can be applied to gain understanding of records using a payroll as example and in the process of paying employees in the context of the entire system, the system environment, private sector and citizens are external to the system and therefore part of its environment. It is therefore important to look at what sub-systems it has in place or functions it requires in fulfilling the mission assuming that one of the sub-systems or function is the management of public servants and one of the business processes is paying employees.

The foundation for accountability is well managed records IRMT, (2000). In order to find out how many employees must be paid, a census of employees at every payment period can be conducted. The information can be obtained from records because their creators in the process of hiring new employees ensured that the records were placed in the ministry's record keeping system as evidence of the hiring transaction and for future reference.

It is important to note that the systems approach allows you to understand records in relation to ministry's transactions. It helps in understanding Processes and sub-systems or functions as:

1. How ministry's records support its processes, the functions that these processes have been designed to carry out, the structures that surround those functions and how these relate to the mission of a ministry.
2. How the records generated as outputs of one process serve as the informational inputs into other processes in a continuous feedback loop held together by information processing.

3. What kind of records, and what information they contain are needed to perform or control in ministry's processes and related functions.

- The other processes involved include several processes and stake holders as illustrated in the diagram.

Management of Public Servants – Payroll Process

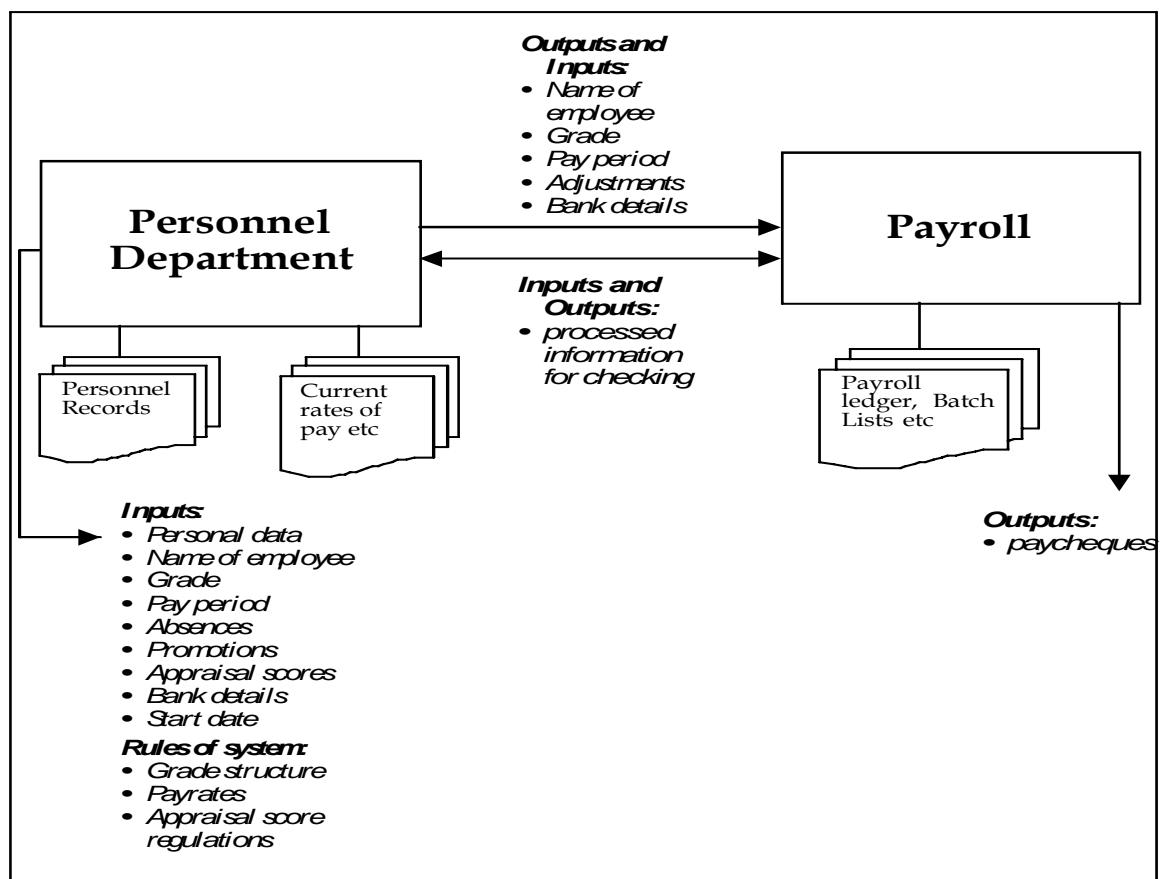


Figure. 3: Management of Payroll Process: Source: IRMT (2009)

2.2.11.1.5 Compatibility

This can be defined as capability of orderly, efficient, integration and operation with other elements in a system with no modification or conversion required. According to human factors and ergonomics society (HFES,1999), ergonomics advocates systematic use of knowledge concerning relevant human characteristic in order to achieve compatibility in the design of interactive systems of people, environment and

devices of all kinds to ensure specific goals as improved (system) effectiveness, safety, ease of performance and contribution to overall human well-being. The term compatibility apart from human factor circles is typically related to problem of information processing. Specifically, it is used in design of displays and controls such as the classical spatial (location) compatibility, or the intention-response-stimulus compatibility related to movement of controls (Wickens and Carswell, 1987). The structures of system and its interactions determine the complexity and the related compatibility relationships in a given system, therefore, compatibility should always be considered in relation to the systems' complexity.

Human resource information system supports many Human resource processes i.e. recruitment is managed by capturing information about applicants and tracking. Electronic human resource record keeping can help human resource department perform routine administrative tasks more efficiently and cost-effectively. One example is updating information about an individual's employment and making this information easily accessible to authorized users. Another example is identifying when action may be required, such as to conduct staff performance reviews. Initiate retirement procedures or investigate absence, through the generation of automated notification messages in the computer system.

2.2.11.1.6 Dissemination of Information

In view of information gap, Human resource information system as a new media is more efficient in collecting aggregating storing and disseminating of information that is critical to sustainability commitment (Adeyanju, 2012p.20) As argued by Schivinski and Dabrowski (2013), now media is a networkable emerging technological process that facilitates web-based access to information at any given

time from any geographical location. The effective use and benefit of human resource information system to the users in obtaining the information will be very accurate, relevant, prompt and available when needed for making any managerial decisions for ministry in a short period of times.

Many government operations that traditionally depended on information derived from paper records have become partially or wholly automated. As governments migrate to an on-line environment, records in electronic form are providing the basis for conducting business, serving the public, managing progress and outcomes, and protecting their own and others rights. Records management is becoming increasingly depended on technology. Governments are now more dependent on information in electronic systems to carry out their day-to-day functions and make decision. Examples include systems designed for Human resource management financial management, land administration patent / health care management, registration among others. New technology is making significant contribution to improving government program and services, achieves development goals and advancing e. government strategies.

2.2.12 Infrastructure for Human Resource Records in Government Ministries

In order for a records management programme to succeed there should be some level of awareness of the procedure, policies and standards governing the management of records according to Mampe and Kalusopa (2012:19). Records management programme brings about the guideline on various practices required for sound human resource records management in Government ministries. One of the most significant changes in the practice of HRM has been the “democratization” of HR data—the rapid expansion of access to such data by groups inside and outside the organization.

As recently as a few years ago, only HR staff members worked with personnel data. Today, employees, managers, health insurers, workers' compensation carriers, senior executives, job applicants and even regulatory agencies have access Richard and Johnson G. Gueutal (2011)

2.2.12.1 Policy

Policy is a statement of intent, and is implemented as a procedure or protocol. It may also refer to process of making important ministry's decisions, including the identification of different alternatives such as programs or spending priorities, and choosing among them on the basis of the impact they will have. Policies can be understood as political, management, financial and administrative mechanisms arranged to reach explicit goals. According to ISO 15489 for record management, policy elements include record manager, identification, and classification, disposal of records, custody, security, legality, training and evaluation. According to Kemoni (2007) without a records management policy for instance, it is difficult to establish an efficient records management system that supports decision-making. Kemoni (2007) further puts it that the absence of a records management policy has the ability to obstruct the role of public service providers.

According to ministry of best practices record keeping policy (2006), a policy provides a framework and assigns responsibilities for ensuring that full and accurate records of the business activities of the ministry of the best practices are created. It supports business functions and accountabilities until their disposal in accordance with the authorized retention and disposal schedule. Recordkeeping policy is a vital component of any records management program. Policy provides the framework within which such program operates. It affirms a ministry commitment to ensure that

authentic, reliable and usable records are created, captured, managed to a standard of best practice and to meet ministries business and legislative requirements. It can be an effective means of communicating to staff their record keeping responsibilities.

The objective of a policy on managing records should be creation and management of authentic, reliable and useable records capable of supporting business functions and work processes for as long as they are required. The policy should be adopted and endorsed at the highest decision-making level and promulgated throughout the ministry and responding for compliance should be assigned. The policy should proceed from the analysis conducted through the appraisal process. It should define the areas where mandates, legislation, regulations, other standards and best practices have the greatest application in the creation of records connected to business activities. In doing so, ministry should take into account their ministry environment and economic consideration also the ministries should ensure that the records policy is communicated and implemented at all level in the ministry, and to entities or individuals (such as partners or contractors) working with it or on its behalf. Once the policy has been approved and promulgated, staff compliance needs to be monitored. Periodic checks should be carried out to determine staff awareness and understanding of the policy, and to test whether record keeping practices comply with policy objectives. The policy needs to be regularly reviewed to ensure that it is relevant to the ministry's aim and record keeping requirements. The responsibility for monitoring compliance and reviewing the policy are to be assigned in the policy document itself. Monitoring and reviewing should form part of normal business and record keeping processes, however, it may be useful to carry out or obtain an independent audit to gauge the success of policy. The purpose of the records management policy is to ensure that full and accurate records of all activities and decisions of records are

created, managed and retained or disposed of appropriately, and in accordance with relevant legislation. This will enable records to achieve information accessibility, business enhancement and improvement. It will also meet its obligations for accountability while ensuring that it protects the rights and interests of the Government, the ministry, its staff, clients and the community.

2.2.12.2 Legal and Institutional Framework for Managing Human Resource Records in the Ministries

Laws have a direct impact on the ways in which governments, ministries and individuals carry out their daily affairs. As well, laws affect the way in which people create and use records since, in virtually all parts of the world, records form the basis for legal evidence. In the case of disputes between governments and citizens, between ministries and employees, between different levels of government records are the means for proving or disproving claims or complaints (IRMT 2009). Therefore, understanding how to manage records requires understanding the legal context in which records can and should be created and managed. Governments use legislation to ensure that its records and archives are appropriately managed and preserved over time for accountability and historical reasons.

Legal frame work is a guideline to the legal issues regarding records and information management. This is designed to explain to the employees what factors may affect the creation, retrieval, storage and destruction of the records in their care. It is important to note that these issues are of concern to all state employees, but are of particular significance to those who make decisions on how records and information is managed. Legal frame work provides guidance to a ministry and staff on the key issues concerned with, policies standards and tools to support the operations. It also

provides a basis for ministry to identify and prioritize additional record keeping effects and improvement of activities to address identified gaps Motivation and competencies are critical in managing people: Competencies and skills ensure that people can commit to the organizations United Nations New York and Geneva, (2013) Legal requirements set by government ensure that public agencies manage their resources effectively, ethnically and efficiently. Ministries are obliged to manage it records in accordance with legislation, evidentiary and accountability requirements. Without an organized records and archives management framework there is a deficit in information access created. Such deficit contributes to inadequate and improper decision making within ministries and national establishments. To avert the crisis, information provision and attention to records and archives management, preservation and conservation of archival materials need to be anchored in with effective legislative and policy frameworks.

A comprehensive records law should provide for establishment of a records institution with jurisdiction over records generated in the government service and responsibility for records throughout their life cycle and not only for government services but also for any other parastatal or private records of national or regional importance IRMT, (2000). The law should provide public right of access to the holdings of archival institution including policies on regular opening of government records under clear conditions and workable procedure for appraisal and classification. The law should provide for protection for the rights for individuals and ministries may have provided information held in records, under terms of confidentiality.

According to Chibambo (2003), a good records management framework consists of information-related laws, policies and program, records management standards and

practices, and the necessary qualified human resources to implement and manage the systems. The legal and policy frameworks ensure a strategic approach to building capacity to capture, process, store, use, conserve and preserve records and national heritage.

IRMT (2009) enumerates some of the important records-related regulatory and policy Issues which include: Acquisition of records, appraisal of records, contracting of IT services, data management and storage, database management and use, destruction of data on electronic storage devices, disaster recovery and business continuity, disposal of records, electronic mail management, electronic records creation and use, information technology procurement, network management, remote access to servers and networks, scanning and imaging of records, security and privacy, training of records staff, transferring and storing records, use of wireless computer devices and web access and use.

In order to ensure the appropriate management of human resource records, the records professional needs to identify all legislation and regulations that could have an impact on the creation and retention of records. Some of the many laws that can influence the way in which records are created and used in Kenya include: Access to information, archives and historical records, heritage management, computer use and misuse, human rights, copyright, designs and patents, Identity theft and identity protection Corporations and ministries, criminal code, Insurance, data protection and information security, labour relations, defense and security, education and training records and document management, electronic transactions Social security and benefits, emergency planning and business resumption, employment, taxation and financial

management and evidence and privacy. The commonly applicable regulations and legislations framework in management of human resource records include:

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

Records and archives legislation exist in many countries in form of a National Archives Act or related rules and regulations Kemoni and Ngulube (2007). The responsibility of managing public records and archives in Kenya public service is vested in the Kenya National Archives as is stipulated in the public Archives and Documentation Service Act (19). The public Archives and Documentation Act (19) provides a broad and generalized legal framework under which policies, procedures, rules and good practices can be developed for the better management of human resource records within the public service. Section 15(c) and (d) empowers the minister to make regulations providing for the responsibilities of persons having the custody of public records and for the examination, disposal or destruction for the public archives and public records. It can be used for preparation of guidelines for retention and disposal schedules. The Act provides authority for disposal human resource records in Government Ministries.

2.2.12.2.2 Employment Act Chapter 226 Revised 1977 and 2007, Laws of Kenya:

This law (part IX) spells out the kind of records to be kept by the employer. Other clauses touch on secrecy of information and falsification of human resource records (personnel record). Among them are written records of all employees under contract and should contain particulars such as policy statement, rest days, annual leave, maternity leave, sick leave, house allowance paid, food rations etc. an employer should permit an authorized officer who may require him/her to produce for inspection the records for any period relating to the preceding thirty-six months. The other clauses in the Act touch on aspects of secrecy of information (disclosure to

unauthorized persons) and the falsification of personnel records. However, noticeable omissions in the Act include specific disposal guidelines for these records.

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

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

2.2.12.2.4 The Service Commission Act Chapter 185 or 1967, Laws of Kenya:

The Act made provision for the public service commission and Judicial Service Commission. Importance of this Act is the assertion that the commission may require the production of any official document to any exercise of its functions and that any public officer who submits any matter before the consideration of the commission should ensure that all relevant documents and papers are made available to the commission (subsidiary legislation; Public Service Commission Regulation Part II) This clause only highlights the importance of records in decision –making but does not provide guidelines on how long these records should be retained before being eventually disposed of.

2.2.12.2.5 Income Tax Act Chapter 470 Revised 1989, Laws of Kenya of Kenya:

Income Tax Rules (P.A.Y.E) section 130 states that an employer could be called upon by the commissioner of income tax in English or other language to produce for inspection of records which include all wage sheets, salary vouchers and other books documents and records, whatever relating to the calculation or payment of the

emoluments of his employees in respect of the years or months specified by commissioner, or to the deduction of tax by reference to those emoluments.

2.2.12.2.6 National Social Security Fund Act Chapter 258 Revised 1989

Regulation 5(3) and (Registration Regulation stipulates that every contributing employer should keep a written record of the Fund membership number of each of his employees who is a contributing member. NSSF Act No. 45 of 2013 was assented to law by the president of the republic of Kenya on 24th December 2013 and its implementation commenced on 10th January, 2014. The NSSF Act is anchored on Articles 43(1) (e) and 21 of the constitution of Kenya, vision 2030, National Social Protection Policy of 2013, EAC Common Market Protocol, and the 1952 convention 102 of ILO. The NSSF ACT No.45 of 2013 establishes two funds: a pension fund and a provident fund. The pension fund is mandatory and will cover all workers in the formal economy. The provident fund is voluntary and it will cover the self – employed. Under the NSSF ACT No.45, the pension fund will pay members monthly pensions while the provident fund now replacing the old provident fund will make lump sum payments.

2.2.12.2.7 Ministry of State for Public Service (DPM) Circular on Personnel Records -Ref. No. DPM.12/6A Vol. I (71) of 12th March 2008

The personnel general letter number 1/2008 of 12th March 2008 provides guidelines on retention of various categories of personnel records in the public service. The prescribed retention periods should also be applicable for personal files for officers in equivalent job groups in the local authorities, the judiciary and state corporations. The circular further advises that that any intended destruction must be communicated to the Director of KNADS for guidance.

2.2.12.2.8 Pension Act Chapter 189 of the Laws of Kenya

This Act provides among others, the terms of service and their contribution to pension, Circumstances under which an officer qualifies for pensions/ gratuities, Pensions to the dependants on death of an officer, Conditions for granting dependants pensions, Occasions where pension can cease, Benefits/Objectives of pensions payment, Calculation of Pensions and records required in processing pension.

2.2.13 Resources Required to Manage Human Resource Records

Recruiting and staffing services play a key role in developing the employer's workforce. Functions of Human Resource are to support workplace safety training and maintain federally mandated logs for workplace, injury and fatality reporting. Human resource records management also require the support in staffing, training and development, health and welfare, budget and performance improvement of each employee. In addition, it supports the ministry's capacity to plan, monitor and evaluate its own performance.

2.2.13.1 Records Management Budget

Finances are the foundation upon which an effective records management programme is based and sustained, ranging from equipment to staffing. It is therefore important that a budget fully dedicated to records management is drawn every financial year as commitment to the programmed activities. Wato (2006:69) stated that managing electronic records is one area that has always challenged archivists and records managers, especially in the developing countries partly because of the following reasons: their creation, use and preservation require acquisition of costly hardware and software; the archivist and records manager may be required to undergo re-training in the use of information technology in order to be conversant with the

management of e-records; preservation of e-records is determined by the storage media which are quickly becoming obsolete; and training institutions where archivists and records managers are being trained locally may be lacking in personnel to teach e-records management. Proper budgeting is therefore very important to ensure smooth operation in ministry's records management programme.

2.2.13.2 Risk Management

Risk management has become an essential of business operations. Risk management is no longer about insurance cover but primarily internal business process issues and legal compliance issue. Compliance to regulations and legislations is a key requirement for all businesses. Compliance with tax requirements, safety and health regulations, and privacy laws requires that adequate documentation is available to prove this. A good recordkeeping system will support and demonstrate compliance to the laws and regulations World Bank, (2001).

Vulnerable business activities and audit trail of actions and activities which have been carried out are supported by the trail of evidence captured through records. This will help businesses identify weak areas and understand risky operations that can cause or have caused business losses.

2.2.13.3 Monitoring and Compliance

World Bank, (2001), the creating agency's records management unit needs to have a regular program for monitoring records management systems and procedures, this should include systematic inspections of records managed in accordance with the ministries guidelines to ensure compliance with records management procedures and policies, identifying areas of strength and weakness and measuring performance. Compliance monitoring could be carried out by an internal audit or organization and

methods units rather than the national records and archives institution. The important point is that compliance monitoring must be done on a regular basis.

Joint information system committee (JISC) (2004: 2) provides for the following guideline for an effective implementation of a records management programme.

1. Recognition-The first step is to ensure that the program is recognized by senior management and that an appropriate member of senior management staff has been assigned overall ownership of the programme
2. Policy-A Records Management Policy should be developed which acknowledges the above, sets the context for the planned programme and demonstrates full senior management support for it.
3. Audit/Survey-An audit/survey of existing record creating and keeping practices and systems and the information, they contain should be undertaken.
4. Resources-Ensure that the appropriate resources, human and financial, are dedicated to implement the programme throughout the institution.
5. Legal Compliance-All ministries are subject to a wide range of legislation which may require them to produce relevant information to protect their interests when challenged as part of a legal discovery process.
6. Digital Asset Management-Much of the knowledge base and intellectual assets of an institution and its staff are now held in digital form and will have long-term value for teaching and research. The management of digital materials is therefore a necessary element of any modern records management programme.
7. Business Benefits-The considerable business benefits of introducing an institutional Records Management Programme should not be overlooked. These include the streamlining of business processes, a reduction in both the

staff time and physical space needed for managing and exploiting records and the foundation of an information-rich ministry able to maximize and exploit the knowledge it contains

It is therefore important to ensure that all relevant staffs are made aware of the programme's objectives and the role they must play.

2.2.13.4 Training Competencies for officers who Handle Human Resource Records

Training is defined as an organized activity aimed at imparting information and/ or instruction to improve the recipient performance or to help him or her attain a required level of Knowledge, skill Paul Ekman (2011). Training is also about the change of attitude.

The definition of competence in the cognitive approach includes all of the mental resources of individuals that are used to master tasks, acquire knowledge and achieve a good performance (Weinert, 2001). It is often used simultaneously with intelligence or intellectual abilities. The classical cognitive approaches focusing on general cognitive competencies include psychometric models of human intelligence, information processing models and the Piagetian model of cognitive development. A competency is generally defined as the behaviors that employees must have, or must acquire in order to achieve high levels of performance in their role. Chartered Institute of Personnel and Development (CIPD 2009), Competencies are taken to be the essential behaviors by all staff influenced by their skills and knowledge. Competencies in this respect are acquired through training and development (McClelland, 1998) and competence is based on the description of observable behavior or performance in a field. The definitive characteristics of the behavioral

approach are demonstration, observation and assessment of behavior. Competencies are thus the characteristics of a person that are related to superior performance in a job and can be common across situations (Delamare & Winterton, 2005; Spencer & Spencer, 1993; Gonczi, 1994).

The training program should relate not only to the specific needs identified through the organizations and individual assessments, but also to the overall goals of the organization. The objectives of the training should be clearly outlined, specifying what behaviors or skills will be affected and how they relate to the strategic mission of the organization. In addition, the objectives should include several intermediate steps or milestones in order to motivate the trainees and allow the organization to evaluate their progress. Since training employees is expensive, a small business needs to give careful consideration to the question of which employees to train. This decision should be based on the ability of the employee to learn the material and the likelihood that they will be motivated by the training experience. If the chosen employees fail to benefit from the training program or leave the organization soon after receiving training, the small business has wasted its limited training funds.

According to Ian Maclean survey report (1978) on record Management in Kenya prepared by the United Nations Educational, Scientific and Cultural Ministry (UNESCO), the consultant believed that the Kenya records management staffs at all levels in the field have neither equitable status nor career prospects. In the consultant's view, a staffing review in the departmental records management area is overdue and such a review should produce a relatively flexible scheme of service. Training program for officers serving in record management units is important for the improvement in performance for effective delivery of service. The non-existence of

concrete departmental policies regarding the manner in which registries are run, delegation of records management duties to junior officers who are not trained in records management, and a distinct lack of enthusiasm in record management by senior officers (whose portfolio includes the management of registries) was observed by Wamukoya (1988:7-8).

2.2.13.4.1 Training and Capacity Building

Civil Service Reform Program (CSRP, 2005) The Government has developed a Recruitment and Training Policy in the Civil Service whose purpose is to:

1. Move towards demand-driven training and multi-skilling.
2. Ensure proper supply and development of skills.
3. Peg promotion on both performance and training
4. Undertake Training Needs Assessment (TNA) to determine the existing performance gaps in terms of the skills requirements.
5. Address issues of succession management in the Service.

In order to effectively undertake responsibilities effectively, the civil servants should be trained to cope with the increased job demands. The retraining of the staff is also intended to improve operational flexibility by extending the range of skills of employees through multi-Skilling. A challenge facing record management officers in civil service is that a majority of them re-designated from other cadres and therefore not well versed with regulations and procedures of record management, and therefore there is need to train and retrain them continuously. This will assist them in sharpening their skills and improve their performance. Following the introduction of the integrated records management system (IRMS) in the service, there is need for all records management officers to be computer literate. The introduction of personal

computers was therefore to ensure that top level managers are accountable for results. This was to reverse the decline in efficiency and effectiveness in the public service and ensure that resources are focused on actualizing objectives of the vision 2030.

2.2.13.5 Responsibilities and Prospects for Records and Information Management in the Ministries

IRMT (1999) Records management is a major function of the clerical and executive classes and, as such, warrants a separate scheme to show the recognized hierarchy of grades and grade designations used and the specific details of duties performed, entry qualifications required, progression criteria, training requirements and staff development expectations. Records management is a critical support function. It involves the planning, ministry, monitoring and control of records and records procedures, through efficient and effective classification, storage, retrieval and application of agreed disposal schedules. It covers current records in records offices, semi-current records in the records centre and non-current records in the archival institution.

The head of the records management unit is responsible for the smooth running of that ministry/department on a day-to-day basis and can organize, direct, monitor and control staff in the most efficient way in order to achieve its objectives. The head of the records class has overall responsibility for the professional training and development of records staff and will have the responsibility, in consultation with the line manager, of moving staff between agencies and to train and develop those staff in order to achieve effective records management systems and procedures.

2.2.13.5.1 Responsibilities of a Records Manager

According to ISO 15489 a records manager is responsible for: establishing new records management systems, developing, maintaining, verifying and evaluating existing systems, managing staff, providing advice, writing reports and publications, administering records management programs dealing with enquiries and requests for information from both internal and external clients ensuring compliance with applicable fiscal, legal or administrative requirements such as ISO9000 certification, classifying and indexing records, destroying or archiving finished data/records, ensuring that records are easily accessible when needed and providing training to staff that have responsibility for managing records. A record manager is concerned with achieving economy and efficiency in the creation, use, maintenance and disposal of records.

2.2.13.5.1.1 Qualifications and Training Required

According to the scheme of service for records management officers (2006), a degree in archive studies, information science, records management, information management, librarianship or museum studies are usually required for entry into the profession. Specialist knowledge and/or a postgraduate qualification may be needed for some vacancies. At least one year of relevant experience is also often necessary. Diploma certificate may be required for officers redesigning from other cadres - some employers may offer paid work experience opportunities.

2.2.13.5.1.2 Key Skills for Records Managers

According to IRMT, (1999), records manager has a unique and important role to play in the management of the knowledge. He has a central and significant role to ensure that knowledge sources are well managed by ensuring that knowledge is captured,

organized, managed, and available for use, shared and in addition new knowledge created is captured. The key skills he/she requires to be able to satisfactorily accomplish his /her duties include Patience, Meticulousness, Capable of prioritizing, good problem solving skills, Analytical skills, Administrative skills Ministry's skills, Communication skills, and Interpersonal skills.

2.2.13.4.1.3 Grading in the Scheme of Service for Records Management Officers in Government Ministries

Record management cadre came into existence in the year 2003. Before then the record management functions were performed by executive assistants and executive officers. The executive officer's cadre was abolished and the officers were re-designated and deployed as records management officers in ministries/department. Some procurement officers were also re-designated to the records management cadre. As regards public service officers, the records management function has been fragmented and has lacked effective coordination. For a long time, the function of records has been supervised by administrative officers, while human resource records units are supervised by human resource officers. This situation has over time resulted to poor management of records as the function was neither core to the administrators nor human resource management officers. The scheme of service for records management officers in Kenya 2006 establishes eight (8) grades for records management officers. It also provides clear and concise job description and specification at all level with the grading as follows:

Table 1: Showing the Current Grading of Records Management Officers in Ministries (Scheme of Service for Records Management Officers, 2006)

Designation	Job group
Records Management Officer III	H
Records Management Officer II	J
Records Management Officer I	K
Senior Records Management Officer	L
Chief Records Management Officer	M
Principal Records Management Officer	N
Assistant Director of Records Management	P
Senior Assistant Director of Records Management	Q

According to establishment in all current Ministries, the senior most level of grading for the in post is principal record management officer. Most of the officers handling records are within the grades of job group H, J, K and L with a few (16) officers on job group M. These officers are assisted with clerical officers and senior support staff to man their records management Units. Records management administration is currently under the Ministry of sports, culture and arts. The ministry is in the process of upgrading the serving record management officers at certain levels vide their advertisement No.NH5/7VOL.1/77 of 16th December, 2014. This step is in the right direction to motivate the officers and will subsequently improve service delivery in record management Units.

2.2.14 Strategies Used in Enhancing the Management of Human Resource Records

Public view on services provided by record management units in the ministries is very crucial in determining the right strategies to enhance the management of human resource records. Records surveys are essential and are considered important in

establishing, maintaining and improving records management systems (Ngulube & Tafor 2006:62).

Customer satisfaction surveys are used to capture the idea of measuring how satisfied a ministry's customers are with service delivery. Good customer service is the lifeline of any ministry. Although winning new customers is important, efficient and effective service delivery will help generate loyalty and attract new business. A good customer service is imperative for ministries' development. According to Government Ministry of Local Government of Kenya Customer Satisfaction Survey of (2007), registry was rated among the Poor performance areas and it was recommended that canvas users should identify problems, Set performance targets for registry services, Identify capacity problems, and train staff in registry.

The Office of the President (1999) noted that cases of missing and lost records were a common experience in public offices and that this was caused by poor record management practices in government departments. According Terer, the then Permanent Secretary in the Office of the Vice-President and Ministry of Home Affairs (2000:1), missing and lost files and documents resulted in delayed services to the citizens, which projected a poor image of the public service. In recognition of the key role that national archives play in the management of government records, Terer (2001) virtually implored citizens to make formal complaints, in writing, to the Director of KNADS whenever services they required were unduly delayed as a result of missing or lost files and documents. The Director of KNADS was required to submit quarterly reports of such cases for further action. Henry Kemoni and Patrick Ngulube (2005) stated that in Kenya, for example, reports of lost files, missing and the misfiling of records were described as a common feature in many government

departments. The unsatisfactory state of recordkeeping in the Kenyan public sector was also high-lighted following:

1. The investigation of the causes of poor record keeping in Government departments by a task force in 2003, according to a draft document from the Office of the President, Directorate of Personnel Management (2003).
2. Poor state of state of in Government departments report during the ESARBICA Executive Board Meeting in Maputo in 2003 according to Musila Musembi (2004) and the then KNADS.

Mnjama (2003:91-101) pointed out that the “factors that contributed to the poor state of recordkeeping in Kenya are not only related to problems within the public institutions, but also related to KNADS’ failure as the main advisor to the government in the management of public records”. Any attempt to find sustainable solutions to the problems of managing public sector records in Kenya must involve KNADS (Wamukoya 1996).

In the absence of regular records management advice from KNADS, it would be difficult for public offices to: create, classify and index records and also put in place efficient records access and use practices, ensure good records storage conditions, conduct environmental monitoring and control, devise disaster management and security plans, survey, appraise, and prepare retention schedules to guide records disposition (irrespective of format). With insufficient funding, it would also be difficult for archives personnel to make follow-up visits to government departments to monitor and ensure that the advice they provided to them is being implemented. The Archives personnel would therefore not be able to accomplish their task properly. The KNADS should make several visits to record creators to be able to know the problems

they face in implementing the advice they provide and look for possible solutions to these problems.

2.2.15 Research Gaps

From the literature and empirical studies examined, the researcher observed that various studies have been done on the management of human resource records in different countries. The studies include one by Anne Thurston who examined the management of personnel records in developing countries. The study focused on various issues including the nature of personnel records, managing personnel records in manual (physical) form and managing personnel records in a mixed paper/electronic environment, among others.

However, this was a general study which did not address issues of managing human resource records in a specific domain such as Ministry of Health in Kenya. The study by this author is more focused and addresses specific issues such as establishment of a Human Resource Information System (GHRIS), Government of Kenya Guidelines and legislation on Managing Human Resource Records in Ministries and Departments, Reforms and Strategies for improvement of human resource records management in Kenya, and effects of poor management of human resource records leading to poor service delivery, among others.

Another study by Piers Cain carried examined personnel records as a strategic resource for public sector management (with case study of selected countries or group of countries), this was an investigation to address the management human resource records requirements for building Integrity in the Public Sector Information. The study was aimed, to provide real insight into the real managerial and structural changes within selected areas of public service. It was important in providing some

firm ground on which those public servants, who are faced with the challenge of public service reform, can stand while assessing the options available.

Dr.Pino Akotia also conducted a study on the management of personnel records (case study of Ghana) in 2008. The study examined Systems in the Information Communication Technology Environment of Personnel Records. The study focused on public sector reform, electronic governance initiatives, payroll and personnel processes and records and information management; and gaining an understanding of the information flows between the human resources functions and payroll by an examination of systems and procedures. The study issued reports on personnel records management and the Integrated Personnel and Payroll Database (IPPD) system used in Ghana.

These issues are different from the ones addressed in this study because apart from the issues examined by the researchers this study investigated how human resource records are managed in the Ministry of Health's and focused on non-compliance by staff in observing best practices and regulations and also non-commitment by the management in providing adequate support for records management programmes.

2.2.16 Chapter Summary

The chapter has provided the literature review on issues pertaining to management of human resource records from literature review, various themes have emerged regarding the management of human resource records such as management of human resource records, best practices and standards applied in their management, infrastructure and resources required to support their management in government ministries and proposing strategies to enhance the management of human resource records in government ministries.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

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

3.2 Research Design

Kothari (2004) and Nachmias (1996) describe a research design as a conceptual structure within which research is conducted. The design helps in investigating research problem and guides in the various stages of the research. The study used predominantly qualitative design supplemented by the quantitative approach through the use of questionnaires. The study therefore adopted descriptive method and triangulation of both qualitative and quantitative approach. Qualitative approach is 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 was interested in carrying out the study in the natural environment of the ministry of health and brings out holistic data. Qualitative research is a highly rewarding activity because it engages us with things that matter in the investigation. The qualitative method was preferred and favoured by the researcher mainly because it facilitated greater interaction between the researcher and the target members because it made it easy for the researcher to carry out in-depth interviews. The researcher also found quantitative data useful to measure attitudes, behaviors, opinions and other defined variables to support or rejection of a premise. The study exhaustively investigated issues concerned with challenges that faced records

management in the Ministry. The research paradigms or philosophical worldviews underpinning the study were pragmatism i.e. knowledge is derived from experience.

3.3 Study Population

Borg (1996) defines target population as all members of a real or hypothetical set of subjects / people/events to which a researcher wishes to generalize the results of the study. (Majumdar 2008:243). Busha (1980) adds that, population is any set of persons or objects that possess at least one common characteristic. Population of the study referred to a set of objects and events or group of people which was the object of research and about which the researcher wanted to determine the characteristics.

The population for this study was drawn from the ministry of health staff members whose duties were related to the system. They included heads of departments, records management officers, human resource management officers, clerical officers, information technology officers, staff from finance especially salary and payroll and the secretaries. A total population of 307 staff was targeted for the study as shown on table 2 below:

Table 2: showing the targeted population for study in the Ministry of Health

No.	Cadres of staff	Ministry of Health		Total
		Headquarters	Departments/ Units	
1	Top Management	1		1
1	Head of Departments	25	15	40
2	Record Management Officers	25	30	55
3	Clerical officer	20	30	50
4	Information Communication Technology Officers	21	15	36
5	Human resource Management officers	30	20	50
6	Secretaries	26	24	50
7	Finance Staff	15	10	25
	Total	163	144	307

3.4 Sampling Methods

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

In selecting the representative sample for the study, the researcher employed purposive sampling, simple random sampling and stratified random sampling. Seravan (2006) says that it is useful to distinguish between two methods of sampling i.e. probability sampling and non-probability sampling. The population was as given below:

Simple Random Sampling: - simple random sampling was used in this study specifically in selecting the staff issued with the questionnaires. It involved assigning a unique identification number to each study subject in the sampling frame. A simple random sample was obtained by choosing elementary units in such a way that each unit in the population had an equal chance of being selected (Hughes 2008).

Stratified Random Sampling: -Stratified sampling was used to divide the entire population into different sub-groups or strata then randomly select the final subjects proportionally from the different strata such as educational attainment.

Purposive Sampling: - Categories of staff were purposely selected depending on their responsibilities and volume of activity. This sampling method is used when population for study is highly unique. Purposive sampling method is used in qualitative studies to study the lived experience of a specific population. Representatives in ministry / departments were selected purposively. Human resource management officers were purposively selected for the study because they are the users of the human resource records while records management officers were interviewed as they were responsible for proper control; care and management of human resource records. This was mainly because this sample aided in obtaining of specific data that was required for the study.

3.4.1 Sample Size and Justification

The sample for this study was drawn from various categories of staff in the ministry and its departments. The sample size was 94 out of 307 targeted staff which was selected from the Ministry Headquarters and its Departments using purposive sampling. Statistically, in order for generalization to take place, a sample of at least 30% must exist (Copper and Schindle, 2006). Thus from the above population of three hundred and seven, a sample of 30% was selected from each group in proportion that each bore to the study population. For any number of sampled officers for a given cadre, equal numbers of the respondents were interviewed in selected departments and headquarters.

Table 3: The Respondents Interviewed

Cadre	Target Population	Sample Size	percentage
Top Management	1	1	N/A
Heads of department	40	12	30
Records Management officers	55	17	30
Clerical Officers	50	15	30
Information Communication Technology Officers	36	11	30
Secretarial staff	50	15	30
Human Resource Management Officers	50	15	30
Finance Staff	25	8	30
Total sampled Size	307	94	30

Top Management-Top Management was interviewed because they constituted the overall administrative cadre for smooth operations of all departments. They provided support and were involved in co-ordination, planning and decision making for all the activities in the ministry. They assisted the cabinet secretary in providing strategic leadership and policy direction, formulation and dissemination of policies, programmes and strategic plans. They were also charged with duties of supervision, management and development of central Government and field offices. They represented the cabinet secretary in various meetings in stakeholder's fora and had initial action on mails (correspondence, office accommodation). They coordinated and mobilized resources for effective public service delivery including the coordination of senior staff meeting. Their duties also encompassed monitoring and evaluating implementation of policies, programmes, strategic plans and performance contracts for the ministry. Other responsibilities included chairing ministerial human resource advisory committee (MHRAC) and implementation of performance contracts. They were alternate to cabinet secretary on Kenya Medical Supply Agency, alternate to

cabinet secretary on radiation protection board and could be assigned any duties by the cabinet secretary from time to time.

Heads of departments -Heads of departments were interviewed because they were the head of administrators and were involved in decision making and planning of the activities and often got complaints from members of staff on the management of human resource records.

Human Resource Management -Human Resource Management (HRM) officers were chosen as respondents because they were responsible for human resource matters. The human resource function plays a great role in generating documents and records such as employee records, application forms, letters of appointments, confirmation letters, appraisal reports, records of courses attended, skills acquired, promotion letters, full record of disciplinary proceedings and outcomes. Others were leave and sickness cards, staff establishment lists, retirement and pension records, among many others.

Record management officers -Record management officers were interviewed as they were responsible for proper control; care and management of human resource (personnel) records as well as ensuring that proper decisions were made on all aspects of record keeping and proper security of information and records.

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

Information communication Technology officers-Information communication Technology officers were involved in assisting with programming of new software as the system was under process of development. The software was to be used in the creation and management of human resource records. They were the ones responsible for ensuring creation of electronic records using the ICT as well as proper management of the records created in order to ensure their availability in future for posterity.

Secretaries- Secretaries played an important role which involves typing human resource letters which were eventually put in personal files. Their role as respondents in this study was to ensure that proper information was captured in the form of typing which was filed in the relevant human resource files.

Finance staffs-Finance staffs were chosen as respondents because Government human resource information system link up processing of payments with human resource records and they played a very important role in verification of payments.

3.5 Data Collection Methods and Instruments

This research study used interviews supplemented by questionnaire and observation to collect data from the targeted population for the study.

3.5.1 Interviews

The researcher used interview method to collect data from top management, heads of departments and records management officers. Mugenda and Mugenda (2003) define an interview as face to face interaction between the researcher and the subjects. Interview provided in depth data which was not possible to get using a questionnaire. They made it possible to obtain data required to meet specific objectives of the study

and guarded against confusing the questions since the interviewer could clarify the questions thus helped the respondents to give relevant responses. The interviewer could clarify and elaborate the purpose of the research and effectively convince respondents who could then give more complete and hottest information.

Very sensitive and personal information were obtained from the respondents by honest and personal interaction between the respondent and the interviewer. The information obtained through interview supplemented the information gathered through observation and questionnaire. Apart from the reasons given above, the researcher used interviews method of data collection since it was more flexible and the interviewer adapted to the situation and got as much information as possible. Interviews also yielded a higher response rates because it was difficult for a subject to completely refuse to answer questions or ignore the interviewer.

3.5.2 Questionnaires

The questionnaires were used to supplement the interview and observation methods. The research tools to facilitate this study were designed to aid the study of the population described above. The questionnaire could be used to either gather quantitative or qualitative data and they also provided a better way of reducing interviews bias because there were “no verbal or visual clues” The qualitative questionnaires were used to gather facts about peoples feeling, belief, experience in certain jobs, service offered, activities etc. The researcher collected data using self-administered questionnaire to the sampled population through the “drop and pick” later method. The questionnaires were used to collect data from record creators and users of human resource records who included finance staff, human resource management officers, clerical officers’ secretaries and information communication

officers. The questionnaire had five parts; the first part captured employee background information. The second part was used to assess general information on management of human resource records. Third part sought information on the best practice and standard applied in management of human resource records in the ministry. The fourth part assessed the infrastructure and resources required to support sound human resource records management in ministry. The fifth part was used to propose strategies for effective and efficient performance on the management of human resource records in the ministry.

3.5.3 Observation

The researcher used observation technique that covered creation of records in the system, security levels in the system operation and the conditions under which records were managed. The researcher developed an observation checklist to help document things that were observed. According to Cohen, Manion and Morrison (2007), observation enables the researcher to see things which might otherwise be unconsciously missed and to discover things which participants might not freely talk about in the interview situations and during focus group discussions and therefore move beyond perception-based data and access personal knowledge. The researcher was able to observe the condition of the records and the staffing and their competency in providing service to the clients. The great advantage of this method was that the researcher was able to directly observe a wide range of issues including records creation, records storage, records classification and file plan, records storage and maintenance, access and use, records security among others.

3.6 Validity and Reliability of Research Instruments

The researcher ensured accuracy and reliability of the data to determine phenomenon of the study.

3.6.1 Validity

Content validity employed by this study was a measure of degree to which data collected using a particular instrument represented a specific domain or content of a particular concept. According to Mugenda and Mugenda (2003) validity is the degree to which result obtained from the analysis of the data actually represent the phenomenon under study. According to Berg and Gall (1989), validity is the degree by which the sample of test items representing the content is designed to measure. Mugenda and Mugenda (1999) further contend that the usual procedure in assessing the content validity of a measure is to use a professional or expert in a particular field. Thus to establish the validity of the research instrument, the researcher sought opinions of expert in the field of study. Validity was achieved by making sure that pilot testing was done on the interview questions to ensure the correctness of the data collected.

3.6.2 Reliability

The researcher pre-tested the validity and reliability by carrying out test on small population before the study began using the above instruments. This was the only way researcher could be in a position to find out if the data collection instruments were reliable and valid. Reliability is a measure of degree to which a research instrument yields consistent results on data after repeated trials (Mugenda and Mugenda 2003). Shanghverzy (2003) states that reliability refers to the consistency of measurement and is frequently assessed using the test-retest reliability method.

Reliability was increased by including many similar items on a measure, by testing a diverse sample of individuals and by using uniform testing procedures. The researcher carried out pre-testing to ensure that the instruments were reliable and valid.

3.7 Pilot Testing

The researcher carried out a pilot study to pretest the reliability and validity of the research instrument. The pre-testing was conducted on information professionals, system developers and records and Human resource management offices. Participants were selected on the basis of their ability to provide professional opinions concerning the instruments. Reliability was enhanced through conducting similar interviews to many respondents.

The researcher selected a group of Ten (10) individuals from the same pool of target sample of the respondents. All the tools/techniques were tested. All the instruments items to the respondents were established so as to enhance the instrument's validity and reliability. The respondents were stratified into different cadres considering education attainment. The result helped the researcher to correct inconsistencies arising from the instrument ensuring that the instrument measured and produced what was intended.

3.8 Data Collection Procedures

The researcher obtained a research permit from the ministry and departments before embarking on the study as per Kenyan Government requirements. The researcher administered the research instruments to the identified respondents. An advance letter was sent to the sampled respondent, explaining the purpose of the study and how the answer would be used. Upon securing relevant documents to undertake the research, the researcher went ahead to systematically conduct the research as per agreed

schedule between the researcher and the respondents. Each questionnaire was coded for the purpose of matching the returned, completed questionnaire with those delivered to the respondents. After completing the data collection, the researcher began the process of data analysis and interpretation which culminated in writing of the thesis.

3.9 Data Presentation and Analysis

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

The data collected through the questionnaire were edited; this was to examine the collected raw data to detect errors omissions and to correct these where possible. This involved a careful scrutiny of the completed questionnaires as it was to ensure that data were accurate and consistent with other facts gathered. Data were then coded by assigning numerical or other symbols' to answers so that responses could be put into limited number of categories or classes. The data would then be reduced into homogenous groups so as to get meaningful relationships, then summarized and displayed in the form of statistical tables and pie chart representing the frequency and occurrence of opinion, suggestion and ideas of the respondents for further analysis. In qualitative method, data collected was presented by the researcher using words which were organized in phrases, sentences and paragraphs to explain the findings.

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

3.10 Ethical Considerations

Ethical issues considered in this study included confidentiality plagiarism, honesty, objectivity dissemination of findings, non-discrimination, voluntary and informed consent, anonymity and respect for colleagues (Mugenda and Mugenda 2003; Dooley, 2004; Hart 2005). According to Resnik (2007) Ethics is defined as norms for conduct that distinguish between acceptable and unacceptable behavior. According to shamoo and Resnik (2003), ethics can also be defined as a method, procedure, or perspective for deciding how to act and for analyzing complex problems and issues. The study adhered to Moi University research ethics policy. The researcher complied with the university's code of conduct for research throughout the study. Other procedures during the data collection involved gaining the permission of individual in authority to provide access to study participants in research sites.

Further, all sources used in the study were acknowledged so as to avoid plagiarism. An informed consent was obtained from the respondents and was used to facilitate voluntary participation in the study. The relevant research permit was obtained from the National Council of Science and Technology. Hard copies of the data were stored in a secured place. The researcher assured participants that the information collected would be used for the academic purposes and not otherwise. The collected data were aggregated to reflect categories of responses, rather than individual responses in order to ensure confidentiality and privacy of respondents. Further, the researcher ensured

the privacy of research participants by ensuring, that the information collected was kept confidential.

3.11 Chapter Summary

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

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1 Introduction

This chapter presents research findings of the study derived from the interview guides, questionnaires and observation checklist (appendices 1-9) in line with the research objectives. The findings are complemented with findings from empirical studies by other researchers. Interviews were conducted for records management officers, heads of department and top management in the Ministry of Health. Questionnaires on the other hand, were distributed to secretarial staff, clerical officers, information communication technology officers, human resource officers and finance staff in their capacity as records creators and users.

Data were collected from the Ministry of Health headquarters, departments, divisions and units which create, use and keep human resource records. The departments included were the preventive, promotive and health service, health standard quality assurance and regulative, and administration. The divisions were emergency and disaster management, nursing, clinical practice, national public laboratory services, environmental health science, international health relations, policy and planning, monitoring and evaluation health research development and information. The units were audit, Government chemist, finance, diagnosis, imaging, information communication technology, Human resource records and human resource management.

4.2 Response Rate and Characteristics of the Sample Population

As explained in item 3.4.2 on P.71, the sample population of study was 94 of a targeted population 307. The researcher had hoped to interview thirty (30)

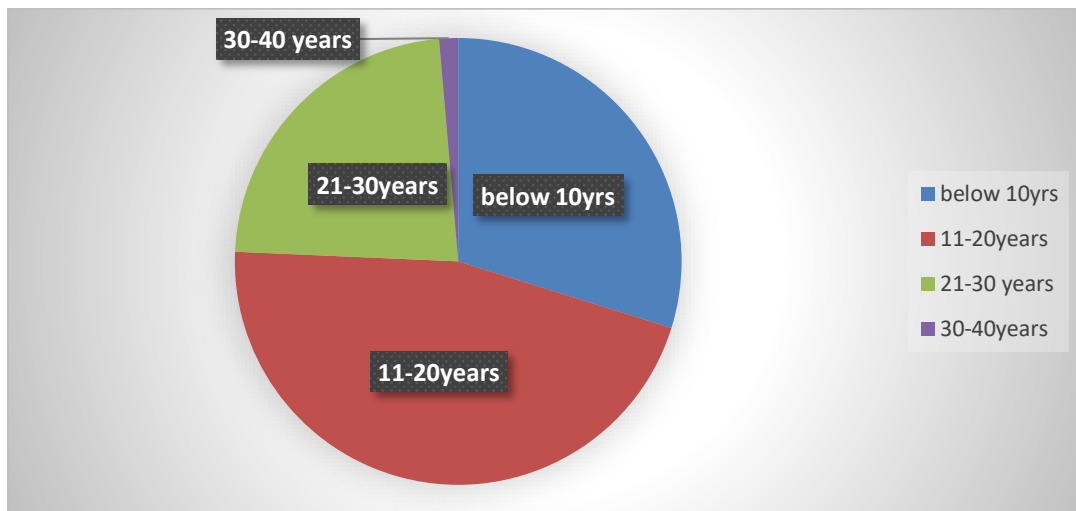
respondents comprising of one (1) Top Management Officer, Twelve (12) Heads of Department and seventeen (17) Records Management Officers. However, only twenty-eight (28) staff were available for the interview representing 93.3% of the correspondents.

On the other hand, forty-nine (49) questionnaires were distributed to other cadres of the staff composing of Information Communication Technology Officers, Secretarial Staff, Clerical Staff, Finance Staff and Human Resource Management Staff. Out of these, only forty-seven (47) questionnaires were returned representing 95.9% of the respondents. Table 4 below shows the distribution of the respondents per each category of staff. The response rate was 95.9% which the researcher considered adequate for data analysis.

Table 4 Distribution of Respondents with the Sample Size (N=90)

Cadre	Population sample size (targeted)	No. of respondents (interviewed)	Percentages
Top Management	1	1	100%
Heads of department	12	12	100%
Records Management officers	17	15	88.2%
Clerical Officers	15	14	93.3%
Information Communication Technology Officers	11	10	90.9%
Secretarial	15	15	100%
Human Resource Management Officers	15	14	93.3%
Finance Staff	8	8	100%
Total sampled Size	94	90	(95.9%)

4.2.1 Respondents Work Experience



Pie Chart 1: Work Experience of Respondents

Pie chart: 1 shows work experience by number of years 26(28.9%) respondents had than less than 10 years in service; 40(44.4%) respondents had between 11-20 years in service; 20 (22.3%) respondents had between 21-30 years in service; 4 (4.4%) respondents had between 31-40 years in service. This shows that most of the staffs were well acquainted with the management of human resource records due to their long stay in service.

4.3 Human Resource Records Management-Data based on Interviews and Questionnaires

Interviews were administered to top management, heads of department and records management officers while questionnaires were administered to finance staff, human resource management staff, secretarial staff, clerical staff and information communication technology staff. The findings presented below are derived from the data that was collected using questionnaires.

4.3.1 Objective One: Management of Human resource records

Data were obtained from the following respondents and their views were as indicated below:

4.3.1.1 Data Collected from Top Management

The researcher interviewed the Secretary in-charge of Administration in the ministry on his role in records management policy formulation and implementation and support the ministry provides for records management and performance of records management staff in the ministry. He was further interviewed on support provided to the management of human resource records, importance of human resource records towards the performance of the ministry and future plans for records management in the ministry. He stated as follows:

“Records management in the ministry is regulated by policies, various guidelines and circulars. The guidelines are observed by all staff and our role is to ensure these are communicated and adhered to for the smooth operation of records management in the ministry.”

Regarding Support for efficiency and effectiveness of records management, he stated that key areas had been supported including providing capacity building to records staff to ensure that their services were effective and efficient. He further mentioned the supply of stationery and equipment in the records management unit and financing of various activities in records management such as the recent transfer of files for health workers to counties. The Secretary further mentioned collaboration with development partners for assistance in purchasing movable, lockable and fireproof file cabinets for security and preservation of files from damage. He again singled out the supply of milk and provision of dust coats and masks as some of the support given to records staff to protect their health and to enhance their performance.

Interviews were done focusing on the efficiency and effectiveness of the records management unit in the ministry. On this the Secretary noted as follows: He was not satisfied with the performance of the Unit and categorically suggested that a lot of improvements particularly budgeting for electronic equipment needed to be prepared to enable the ministry adopt electronic records management system. He further proposed more supply of computers, re-training of staff and the increase of staff in records management units in the ministry.

According to the Secretary administration, the ministry supported the management of human resource records and other records that contributed to decision making, service delivery, accountability and transparency as follows:

- i. On decision making, the Secretary said all records were important tools for consultation towards decision making in the ministry. He said that:

“Records act as the memory and have to be consulted for the next course of action for any activity going on in the ministry. Human Resource records help in making decisions on matters concerning the welfare of health workers e.g. promotions; leave various categories of payments, compensation and retirement”.

- ii. Concerning service delivery, the Secretary reported that records helped in determining clients’ satisfaction on issues related to performance. When analyzed, records revealed customers views on services provided by the ministry. He further commented on the use of performance appraisal as a tool used in the ministry to determine the effectiveness of the performance of the ministry in terms of service delivery.
- iii. In regard to accountability and transparency, the Secretary noted that

“Accountability and transparency in the ministry are enhanced by well managed records that are readily accessible whenever required for perusal to unearth any malpractices”.

He gave the example of payment vouchers and accounting documents that were made available to both internal and external auditors to help in settling financial issues arising out of payments. He concluded his remarks on accountability and transparency by saying that:

“Good human resource records management enable workers to access their personal records and enable them raise issues touching on their welfare.”

Interviewed on the importance of human resource records in the performance of the ministry, the Secretary stated that the management of records helped improve the performance of the ministry through the motivation of staff. He said that workers were motivated if issues affecting them were solved and this was achievable if records were readily available on request.

On future plans for records management in the ministry, the Secretary noted that there were plans to introduce electronic records management services that would ensure reduction of physical files and creation of space in the ministry. He gave the example of other government institutions where electronics records management systems were applicable and noted that the Ministry of Health was expected to move in the same direction.

The Secretary in his final remarks called for the sensitization of the entire ministry staff on the importance of records in order to improve service delivery in the Ministry. He agreed to take the initiative to advance this cause in the heads of departments' meetings where records management officers would be allowed to air their views on issues affecting the management of records. He admitted that there had been some hitches on the sustainability of the systems in the ministry some of which were brought about by fluctuation of power. He promised to ensure that interventions were

taken towards obtaining enough UPS (uninterrupted power supply) for computers in readiness for transitions to electronic records management systems.

4.3.1.2 Data Collected from Heads of Department (HODs)

In regard to the types of records that were required by heads of department in carrying out their duties effectively and efficiently, the respondents enumerated the types of records to include human resource records, policy records, circulars, memos, finance records, training records, reports, budget, work plans, projects, databases, internships, electronic health software's, and confidential records.

Regarding whether records were readily available on request, most of the respondents did not agree. The respondents who did not agree raised issues about the manual system which they said contributed to slow retrieval of records in the records management units. They noted that files were not kept in one centralized room and this had brought confusion on how to access them. They said that for departmental records, authority had to be sought to access their databases. They mentioned about action officers who overstayed with files and a poor filing system where files were said to be archived but this was not the case. They singled out the Pensions section where files overstayed while waiting for retirees or dependants to avail required documents for processing of pensions.

Concerning the overall efficiency of the record keeping system in the ministry and departments, most of respondents said that the system had been in apathetic condition before some files were transferred to counties. They said that

“there had been some update but still needed more improvement”.

The rest of the respondents gave the reason for inefficiency as lack of control for file movement. They said:

“digitization in the departments enable accessibility of records and if the same is extended to human resource records, then there will be no need of relying on individuals for assistance”

They pointed a finger at the records management unit staff for being poor in folioing of letters.

On whether human resource records were well managed, most of respondents pointed at the trend of missing of files which according to them portrayed laxity on tracing of files. They said that improvement in the management of closed files was necessary. According to the remaining respondents, ‘we are satisfied with the management of files in the departments where files were few and readily accessible’ they said that they were maintained in lockable file cabinets in the heads of departments’ offices.

4.3.1.3 Data Collected from Records Management Officers

Describing the types of human resource records created and maintained, the respondents described human resource records as records containing personal details of human resource staff employed in the ministry and departments. They said that records contained names, designation, personal number and job group. The records according to them, had details on promotion, training, accommodation, retirement, leave, compensation, discipline, secondment, performance appraisal, deployment, staff returns, appointment, confirmation in appointment and pensions, medical and employment records.

The respondents interviewed pointed out that the ministry headquarters and departments used a hybrid system in the management of human resource records where mails were received, recorded and action taken. They went ahead to explain

that whenever files were requested for, they were recorded in the registers and signed for by the users on collection.

Records management officers' comments towards realization of recordkeeping for human resource records on day to-day operations were given as below:

- a) **Creation and Capture:** Most of the respondents interviewed said that mails were received and recorded, filed, and then the details of files were captured for tracking. According to the other respondents "new records are created whenever mails are received in the records management unit. They are then stamped, recorded and taken in a folder to the departmental head"
- b) **Tracking of the Records:** Most of respondents interviewed said that both computers and registers were used for tracking of file movement. Files were recorded in registers on requests from the Records Management Unit as indicated by the other respondents. They said that details of the transaction were then transferred to the computer.
- c) **Metadata Capture and Audit Trails:** According to most of respondents interviewed, metadata capture and audit trails were not applicable in the management of human resource records because the unit practices were in manual format. The other respondents said it was a practice used in the management of other records in the departments' systems like health information systems. While the rest respondents said that they were not aware of metadata and audit trails.
- d) **Security of Records:** Most of respondents said that security of records was achieved through restrictions on access by unauthorized persons, use of lockable and fire proof cabinets and locking offices after work. The remaining respondents said that it was achieved through the use of passwords in computers.

- e) **Storage and Maintenance:** The respondents' said that files were stored in movable and lockable modern racks. Torn folders were replaced before sending them to action officers or on placing files back in the cabinets. They also said that regular fumigation, dusting and cleaning were done to keep away pests.
- f) **Retention and Disposal:** The respondents said that there was no control in retention and disposal of human resource records. They said that closed volumes of files were piled up in a separate room referred to as an "Archive" and no decision had been made about them.
- g) **Backup of Records:** Most of respondents interviewed said that the records were captured in the Government Human Resource Management Information system. They went ahead to say that human resource records for officers transferred to the county Government were scanned and kept by the National Government for verification in future after the audit exercise. The remaining respondents said that records were kept in the departments 'information system, human resource management information system and personal flash disks or hard disks. They further said that Government Human Resource Management Information system also provided backup for some of the human resource records.
- h) **Management of Vital Records:** The respondents pointed out that vital information was safely kept in secured places by the heads of department and in the headquarters. According to them, records were kept in separate lockable cabinets where only authorized officers could access them. They said that these were either confidential or secret records while passwords were used to access the vital electronic records in departments especially for disciplinary records.

4.3.1.4 Data Collected from Finance Staff

Regarding the types of records normally used in day to-day work by the finance department, the respondents enumerated records to include payment vouchers, invoices, bank statements, bank records, financial records, vote books, cash book, imprest records, internal audit files, circulars and correspondences relevant to finance and accounts issues as well as human resource issues.

As to whether records were readily available when required, most of the respondents did not agree, the others agreed, while one respondent said that they were not always available. The respondent who had noted that records were not always available further pointed out that missing files were the result of poor filing systems in the Records Management Unit.

On whether human resource records were required for use and for what purposes, most of the respondents agreed and gave such reasons as processing of salary payments, for confirmation of employees' personal details while processing payments for payroll audit where personal files were required and payroll analysis for verification of personal details of staffs in the ministry. 2 respondents did not agree and gave no reasons.

Concerning how well the human resource records were managed, most of respondents said that records were not well managed while 4 respondents said that they were satisfactorily well managed.

Regarding the duration taken to get the records including human resource records from the Records Management Unit, 2 respondents said that it took 30 minutes to receive the records; 1 respondent said that it took 10 minutes. 1 respondent said that it took 5 hours; 1 respondent said that it took 7 hours and 3 respondents said that it took

8 hours. Records took less time to be retrieved in departments where files were filed in lockable cabinets in the Heads of Departments' Office than in the ministry headquarters where they were in cabinets and were handled by records staff according.

Regarding experiences in missing of files, most of the respondents agreed while one respondent didn't agree. Out of the seven (7) respondents who agreed, 3 respondents said the decisions were made based on copies available, 3 respondents said that they made decisions based on temporary files while 1 respondent said they waited until the file was traced.

On the risks that records were exposed to in the ministry headquarters and departments, most of the respondents said misplacement of files was a common experience in the ministry. Other respondents said they had an issue with mishandling of files which resulted in their physical damage; 1 respondent said they experienced occasional loss of files; 1 respondent agreed that the Ministry experienced loss of files. 1 respondent said unauthorized destruction of files was meant to cover up unethical practices in the ministry.

Whether there were documented policies addressing the above problems, most of the respondents said they were not sure. They said that they could not ascertain whether there were documented policies or not. According to a respondent, there were documented policies. He stated that

“a policy existed in the form of directives that any file requested for should be returned to the records management unit within a day”

4.3.1.5 Data Collected from Secretarial Staff

Regarding the type of records that were required by secretarial staff for day to day operations, the respondents enumerated the records to include subject files, program files, leave and promotion processing, daily files, third copy file, incoming mails, replying correspondences, internal memos, human resource records and confidential files, among others

As to whether respondents handled human resource records and for what purposes, one respondent said that they did not handle human resource records, most of the respondents agreed that they handled them for training, compiling of leave, typing letters on promotion and confirmation, typing issues related to programs, payment of personal dues (salaries and personal allowances), disciplinary issues, transfers, reports, appraisal, responding to correspondence, facilitating processes for employees seeking human resource needs, reserving records, posting issues and other staff matters in the departments.

Concerning the duration taken for a file requested to be received, the respondents gave times ranging from immediately on request in departments to three (3) days in the ministry headquarters as follows:

4 respondents said files were immediately given on request in the departments, 5 respondents said files were given after 30 minutes in the Headquarters. 2 respondents said files were given after one (1) day in the Headquarters 3 respondents said files were given after two (2) days in the Headquarters respondent said files were given after three (3) days in the Headquarters.

The control of records was confirmed by all respondents when they were asked to confirm whether records were under control in their offices. They explained that they kept records under lock and key to ensure that there was no unauthorized access. Again they said that they recorded them in incoming and outgoing registers and were signed for by the officer requesting for them.

On whether the respondents were satisfied with the management of human resource records, some of respondents said they were not satisfied while most of the respondents were satisfied. Out of the respondents who were satisfied, 6 were from departments where files were kept in lockable offices under the custody of the heads of department, 4 were from the Ministry Headquarters where files were in a centralized records management Unit

4.3.1.6 Data Collected from Clerical Staff

Regarding the procedures for creation and maintenance of human resource records. Most of respondents interviewed said that creation of records was done on new appointments by opening a file. For the maintenance of records, they said that records were kept in the cabinets for safety and security and that registers were maintained for tracking their movement. The other respondents said files were opened when there were new subjects different from those in existence. And the remaining respondents said that in the computer system, personal details were captured and stored.

Most of the respondents said that records were created in manual format because mails were either received from the post office or were hand delivered from external or internal customers. The remaining respondents said that e-mails were recognized among the channels for communication in the ministry for day to-day operations. The

mails were either received or created and then maintained in computer hard disk or stored in external disks.

As for the management of records in the ministry and departments, most of respondents interviewed stated that mails were received, stamped, recorded and then filed in the officers' files. From there, they were sent for action and then filed back in the cabinets on return. The remaining respondents said that outgoing records were recorded in outgoing registers and then dispatched using G.P 54.

Concerning the overall control and efficiency in record keeping for day to-day operations, most of the respondents interviewed were of the opinion that record keeping control was efficient; the other respondents said the control was fair; while the remaining respondents said it was insufficient. The respondents who said the control was insufficient were from the headquarters. They recommended training of staff to enable control of misplaced files. They went ahead to say that low morale of staff also contributed to slow activities in the management system.

The clerical officers' comments towards the realization of record keeping for human resource records on day to-day operations were given as below:

a) Creation and capture

Most of the respondents said files were only opened when there was no existing file for a particular subject and for newly recruited staff the remaining respondents said registers were used for recording all files opened in manual system while maintained for records captured in electronic system.

b) Tracking of records

Most of the respondents said incoming and outgoing registers helped in tracing and location of files. They further stated that tracing of files was achieved through good

record keeping and use of signed registers showing where to, when and by whom files were collected. The remaining respondents suggested that files transferred from one section to another should be channeled through the records management unit for update.

c) Metadata capture and audit trail

Half of the number of respondents interviewed said that the metadata captured, was used in recordkeeping for identification of details of records including their background and other details. The remaining half of the number of the respondents interviewed said that metadata was used in the departments' systems like health information systems.

d) Security of records

Most of respondents interviewed said that files were kept in lockable, fire proof and movable cabinets whereas classified and sensitive records were kept separately in secret and confidential Records Management Units. The other respondents said that passwords were used in computers to secure the records.

e) Storage and disposal

Most of the respondents stated that there was adequate space created in file cabinets following the transfer of files to the counties. The other respondents noted that torn folders were replaced before files were released to users or filed back to the cabinets for their maintenance. The remaining respondents said that closed files were maintained in a store room referred to as "Archives".

f) Retention and maintenance

Most of the respondents said that disposal and retention schedules had not been prepared to determine records to dispose of in the ministry. The remaining

respondents said old (in-active) files were dumped in a store in a separate room referred to as an “Archive”.

g) Backup of records

Most of respondents stated that scanned human resource records had personal details for the officers transferred to the counties. The scanned copies were maintained in the national Government as back up. The remaining respondents however said that departments had backup copies too for some of their vital records.

h) Management of Vital Records

Most of respondents reported that vital records were kept in both separate file cabinets in the Records Management Unit and in a Confidential Records Management Unit at the Headquarters. The remaining respondents on the other hand said they were kept in separate file cabinets in departments.

A total of 4 respondents reported regular dispatch of mails when asked about how often mails were dispatched. 3 respondents said this was done on daily basis; 2 respondents said immediately the mails were signed, 3 respondents said twice a week. 1 respondent said on daily basis; 1(7.1%) respondent said when urgently required and depending on how soon the mail was received in the Unit.

4.3.1.7 Data Collected from Human Resource Management Officers

Regarding what types of records were normally used in day to-day work, all respondents enumerated the records as personal and subject records including policy, circulars, training, discipline, retirement, promotion, performance appraisal, loan application, appointment, payment and integrated personal payroll data.

In regard to whether the records were readily available when requested for, most of respondents said no; the other respondents said yes and a respondent said that

“At times records are readily available on request”

The respondents who agreed from the departments stated that files were few and were locked in the cabinets under their custody. They used them and returned them immediately because they were the same action officers who dealt with human resource management issues in the departments.

On whether they required human resource records for their use, all respondents agreed and said that they required the records for processing of leave, deployment, transfer, preparation of the ministerial human resource advisory committee agenda and recommendations to the cabinets secretary. The records were also required for processing of pension benefits, death gratuity benefits, promotion, training, conveying the decision of the authorized officer, secondment, payroll verification, processing payment and deductions.

Concerning how well human resource records were managed, 4 respondents stated that the records were not well managed, 5 respondents said that they were satisfactorily managed, 5 respondents said that records were fairly managed.

Responding on the duration taken to get the records including human resource records from the Records Management Unit, 2 respondents said that it took 30 minutes; 3 respondents indicated 10 minutes; 5 respondents said 8 hours; 2 respondents 7 hours, and 2 respondents 5hours. According to them it took less time to get the records in departments where files were in lockable cabinets under the custody of the heads of department than in the ministry headquarters where files were kept in shelves and cabinets.

Regarding experience with missing files, 12 respondents said that they had experienced missing files in the ministry headquarters and 2 respondents said that they had not experienced missing of files in their departments. 6 out of 12 respondents who had experienced missing of files said they made decision based on available copies of mails. 3 respondents said they used temporary files to make decisions while tracing the main file. 3 respondents said they gave time for the files to be traced. The respondents who said they had not experienced missing files in the department said the handling of files was restricted to a few officers.

On the risks that records were exposed to in the ministry headquarters and departments, 5 respondents said misplacement of files was a common occurrence in the ministry. 4 respondents said they had an issue with unauthorized access of records and disclosure of information. 3 respondents said they experienced physical damage of files 1 respondent said he/she had experienced accidental loss of files in the operation system, environmental damage, hiding of files and a loss of file in the ministry. 1 respondent said that they had experienced unauthorized destruction of files, theft, and alteration of information

Regarding whether there was a documented policy addressing the above problems, 5 respondents were not sure while 4 respondents agreed and 5 respondents said no. For the ones who agreed, they argued that the records management policy was about the regulations issued by records management staff on accessing the records the Unit.

4.3.1.8 Data Collected from Information Technology Staff

With regard to computerization in the ministry, 2 respondents mentioned health information systems used for relaying information on captured and stored patient's data as health records; 3 respondents mentioned human resource information systems

used for storing and sharing human resource data; 2 respondents mentioned integrated personal and payroll data for processing salary; 1 respondent mentioned integrated finance management information system for accounting and finance while; 2 respondents mentioned government human resource information system that was introduced by Government to achieve cost effectiveness, enhanced efficiency and confidentiality, to enable decentralization of human resource services and generation of records used in the ministry.

On whether the systems were used in managing records, most of the respondents agreed and gave the example of integrated personnel and payroll data, government human resource information system, human resource information system, and health information system while only one respondent didn't agree.

4.3.2 Objective Two: Best Practices and Standards

Data were obtained from the following respondents and their views were as indicated below:

4.3.2.1 Data Collected from Heads of Department (HODs)

In regard to the education level of staff employed to manage records in the ministry, The respondents pointed out that majority of the records management staff were diploma holders who were either records management officers or serving as clerical staff. The others comprised of form four school leavers who were serving as clerical officers or support staff. The rest were records management officers who were holders of Bachelor's degrees and were pursuing master courses in the relevant field.

Most of the respondents interviewed said that the staff had acquired the basic qualifications in records management but required capacity building on new approaches to be fully competent for their expected duties. Their performance was

below standard and yet they had the necessary skills according to the other respondents. The rest of the respondents said that their performance was satisfactory.

4.3.2.2 Data Collected from Records Management Officers

Manual retrieval tools (indexing and classification) were used for easy retrieval while computers were used for electronic records and were faster according most of respondents. In addition, they said that in manual practices, records were arranged numerically (using staff personal numbers which were well understood by the records management staff) and that retrieval was done physically by locating files from the cabinets. According to them, the time for retrieval was given ranging from 2minutes to 10 minutes where files were available in the cabinets. They said that sometimes files were not readily available in the cabinets and it took time to trace them.

Whether ministry experienced cases of missing files, most of respondents agreed. The respondents who agreed said that action officers kept files in their drawers and failed to return them to the Records Management Unit. According to them some files were hidden due to the nature of the content and that records staff lost track of file movement if not recorded in those offices. For the respondents who said minimal, they noted that there was improvement due to the transfer of files to the counties following the devolution of the ministry's functions. The respondents who did not agree from departments said that it was hard to lose track of their records because files were handled and kept by the same persons.

On the risks and or disasters that were likely to affect the management of human resource records, most of the respondents enumerated the risks as pilferage, mishandling of records, power fluctuation, missing of files, and misuse by the human resource (personnel).The other respondents said frequent ministerial postings or

deployment of skilled officers (turn over) was a knowledge management challenge towards planning in the ministry. The remaining respondents said that broken windows posed a danger to records during rainy season because it rained on files left on the tables in the headquarters Records Management Unit and noted that the office was infested with cockroaches which were enemies of records.

The respondents identified the solutions for risks and disasters which were likely to affect the management of human resource records as given below:

1. Files should not be left on the table after office hours, fumigation and cleaning should be done regularly and staff advised against carrying foodstuff to the office and eating in the storage areas to avoid infestation by rodents and pests.
2. The office should be equipped with well-maintained fire extinguisher equipments and regular inspections done to ensure their effectiveness.
3. Registers for records movement should be maintained in all sections for tracking of records.
4. Electronic data storage, back up and cloud storage were necessary to reduce cases of missing files.
5. Use of passwords was encouraged to ensure records were not accessed by the unauthorized persons.
6. The use of external hard disks for backup and regular training programmes for staff on the importance of records.
7. Well maintained standing generators and uninterrupted power supply should be in place for the control of power supply.

4.3.2.3 Data Collected from Finance Staff

Describing storage conditions for human resource records, a few of the respondents said they were well secured while most of the respondents said they were fairly secured.

In rating the state of physical facilities used for storing human resource records while considering the suitability of office accommodation and storage equipment, most of respondents said storage equipment including filing cabinets and shelves were suitable. Other respondents said that the storage facilities were inadequate while only one respondent said that the storage facilities were unsuitable.

On whether there were records disposal and retention schedules covering all records created and received in the ministry, a few respondents said that there were retention schedules while most of the respondents said that they were not aware. For the respondents who didn't agree, they argued that records have never been disposed of and were instead kept in a store room referred to as an "Archive". In the accounts department, there was an accumulation of files despite having a regulation that limited the retention of accounts records to seven (7) years.

Regarding the format favoured for the creation and maintenance of records, a few respondents were for both paper and electronic while most of the respondents said they favoured electronic format and none preferred the paper format.

On the rating of performance of records management staff, most of the respondents interviewed said their performance was fairly effective while only one respondent said it was ineffective.

4.3.2.4 Data Collected from Secretarial Staff

On the rating of support received from records management staff and effective use of movement registers for tracing of files and folioing of the letters in the files, 5 respondents said they were effectively supported by records management staff and were satisfied with folioing of letters and tracking of files. 5 respondents stated that the support received from records management staff and their performance was ineffective. 4 respondents said they received fairly effective support from records management staff while 1 respondent said that records management staff support and services were very effective.

As for the measures to improve human resource records management and quality of service in the ministry, the respondents had the following proposals: 3 respondents proposed strictness in tracking the movement of files using assigned registers which had to be signed for in any transaction involving movement of records. 3 respondents proposed having a hygienic working environment, adequate supply of equipment and deployment of trained and motivated staff. 2 respondents proposed delegation of duties to enable staff handle their colleagues' assigned duties (digit holder) while they were away. 2 respondents proposed having back-up of all records in the Unit, training of records staff to equip them with the current knowledge and to deploy adequately trained staff. 2 respondents proposed motivating staff by providing working materials to enhance their public relations and change their attitude towards time management which was a challenge in the Unit. 1 respondent proposed adoption of full automation of the records management system in order to improve the quality of service delivery. 2 respondents proposed supply of electronic equipment in good time and making a follow up of files sent out to ensure their early return.

4.3.2.5 Data Collected from Clerical Officers

With regard to the suitability of the classification system, 4 respondents described classification as efficient, 4 respondents pointed out that classification was satisfactorily used; 6 respondents said classification was within the required standard.

The respondents had the following comments regarding the disposal of records. All respondents said that the records were dumped all over the floor of the store room. They had the following suggestions about the disposal of records: 6 respondents suggested that they should be transferred to a designated store. 4 respondents suggested that they should be transferred to National Archives. 3 respondents suggested that they should be transferred to an established building for storage and 1 respondent suggested that they should not be disposed of.

4.3.2.6 Data Collected from Human Resource Management Officers

Describing storage conditions for the human resource records, 4 respondents stated that they were well secured. 9 respondents said that they were fairly secured and 1 respondent said he was not sure.

In rating the state of physical facilities used for storing human resource records while considering the suitability of office accommodation and storage equipment, 9 respondents said that storage equipment (filing cabinets and shelves) were suitable while 3 respondents said that the storage facilities were inadequate and 2 respondents said that the storage facilities were unsuitable.

On whether there were records disposal and retention schedules covering all records created and received in the ministry, 3 respondents said that there were retention schedules while 5 respondents said they were not aware and 6 respondents said there

were no retention schedules. The respondents who did not agree argued that this was a decision to be made from time to time by the heads of department.

Regarding the format favoured for creation and maintenance of records, 4 respondents were for both paper and electronic, 10 respondents said that they favoured electronic and none preferred paper format for creation and maintenance of records.

In rating the performance of records management staff, 7 respondents noted that their performance was fairly effective while 2 respondents opined that they were not effective and 5 respondents said they were effective.

4.3.2.7 Data Collected from Information Technology Staff

The information communication technology staffs 'comments on the day to day management of human resource records were as given below:

- a) **Creation and capture:** most of the respondents said creation was done through data entry and document scanning while the remaining respondents said that there was a system in place to document operational and business processes.
- b) **Tracking of the records:** 2 respondents said that tracking was done through data entry with the use of metadata. 2 respondents said it was achieved through creating of file numbers 1 respondent said it was done through record keeping checklist, 3 respondents said tracking of records was done by the system and 2 respondents said that tracking was possible through encryption.
- c) **Metadata capture and audit trails:** most of the respondents said that it was achieved through automated software tools and the remaining respondents said that it depended on number of times one accessed the system. They further pointed out that metadata capture was documented to ensure integrity and

authenticity of the record. This would ensure that allocated linkages and the users of records could be traced over time in handling of departmental records.

- d) **Security of records:** All respondents said that security control was achieved through the use of password.
- e) **Storage and maintenance:** All respondents said that storage and maintenance was achievable through the use of flash disks, hard disks and cloud storage. They went ahead to say that good storage facilities and proper maintenance ensured that records were safeguarded against environmental damage and security of records.
- f) **Retention and disposal:** All respondents said that Ministry could easily prepare retention and disposal schedules for disposal of records.
- g) **Backup of records:** Most of the respondents said that back up were done through the use of flash disks and cloud storage for none human resource records in the departments. The remaining respondents said that back up of records was rarely observed in the ministry.
- h) **Management of vital records:** All the respondents said that management of vital records was achieved through the file server, external hard disks, and use of passwords to access computer systems.

Regarding what record keeping standards were considered during the procurement of computerized system in the ministry, 3 respondents said that excel was considered as a record keeping standard for records management, 4 respondents said it depended on the type of records to be managed, while 3 respondents said it depended on functionality of computers.

4.3.3 Objective Three: Infrastructure and Resources Required to Support Sound Management of Human Resource Records

Data were obtained from the following respondents and their views were as indicated below:

4.3.3.1 Data Collected from Heads of Department (HODs)

The Heads of Department made the following comments concerning the management of records by the Top Management:

- a. **Policy formulation and implementation:** Most of the respondents interviewed said that there was no policy and sought support for the formulation of policy and resource mobilization. The rest of respondents, they depended on the guidelines, circulars and directives provided by Directorate of Public Service Management and National Archives to conduct activities in records management.
- b. **Budgetary allocation:** According to most of the respondents interviewed, there was no separate budget for records management activities in the ministry and departments. They pointed out that it was done in totality with other operations in the ministry. The rest of the respondents said that budgeting only covered the funding of activities apart from acquisition of stores.
- c. **Capacity building and training:** Most of the respondents said that either capacity building or refresher courses had only been offered to a few records management staff. The other respondents said that the staff required more of information communication technology based training and refresher courses.
- d. **Equipment and suppliers:** Most of the respondents said that they were issued with equipment, fire proof cabinets and stationery. The others said that full computerization had not been adopted because of inadequate computers and lack of trained records staff. And the rest of respondents said no support was given.

- e. **Storage and accommodation:** Most of the respondents said that even though space had been created with the transfer of some files to the counties, storage of closed volumes of files was poor. The rest of respondents said development partners had provided movable and fire proof cabinets and might continue supporting accommodation of records in future.
- f. **Information Technology:** Most of respondents interviewed said that adequate training support in information communication, procurement of computers and other appliances were necessary. The rest of respondents said that maintenance of the system by information communication technology officers was necessary if all the files were to be scanned for effective digitization process in the ministry

4.3.3.2 Data Collected from Records Management Officers

On whether the ministry had a policy and procedures, Most of respondents did not agree and went ahead to explain that the ministry used guidelines and circulars on records management that were provided by the Directorate of Public Management Services and National Archives and Documentation Services. A few respondents who agreed said that the policy was based on standards and procedures. According to them, the policy was about record keeping allowing only authorized personnel have access to them.

The records management officers 'comments towards the support for human resource records management by top management was as given below:

- a. **Funding:** Most of the respondents were of the view that there was no proper funding because there was no separate budget for the Records Management Unit while the rest said they were not aware of any support.

- b. **Policy and procedures:** Most of the respondents pointed out that application of a recognized standard like the National Archives of Australia Records Management Standard would provide the best practices and procedures. The remaining respondents said that the use of approved circulars and guidelines in records management provided the best procedures.
- c. **Capacity building and training:** Most of the respondents said that records management staff were considered along with other ministry staff in training projections. The remaining respondents said they had been trained.

“This had barred us from getting adequate training”.

- d. **Equipment and supplies:** Most of respondents said the ministry had benefited through collaboration with United States Agency for International Development (USAID) to get movable, lockable and fire proof cabinets, The other respondents said they had been provided with computers and cabinets. The rest of respondents said that they obtained their supplies through the normal requisitions.
- e. **Storage and accommodation:** Most of the respondents said that space for storage had been created when human resource records were transferred to county government. Others said closed files were transferred to a separate store sometimes referred to as an Archive. The rest of the respondents said storage was provided by servers in the systems while flash disks and hard disks used for storage of electronic records in departments.
- f. **Information Technology (Digitization):** Most of the respondents said that digitization was an ongoing process in the departments to computerize human resource records. However, only vital records were scanned and kept as back

up for pension purposes for the officers deployed in counties. The remaining respondents said that the ministry had not effectively adopted the digitization process due to lack of equipment and in most cases still depended on the manual system.

On whether there had been efforts to computerize and or to digitize human resource records or any other records, Most of the respondents said there were modalities in place including training of more staff in computers. Other respondents said there was an ongoing process for digitization in departments for other records as part of the health information system. The remaining respondents said that digitization of human resource records for officers deployed in county Governments was done to help in pension processing in future. They said that digitization would be adopted with the introduction of the integrated records management system in the ministry.

Regarding the skills and / or competencies required for records management staff in electronic records management, Most of the respondents claimed that not much had been done on computer training apart from the basic computer knowledge they had acquired before joining the service. The remaining respondents said that they had not been trained in Information Communication Technology.

4.3.3.3 Data Collected from Finance Staff

On whether information communication technology was used in the management of records in the ministry 7 respondents said information communication technology (ICT) was used in records management while 1 respondent said that information communication technology (ICT) was not used.

On the specific uses of information communication technology in the management of records in the ministry, 4 respondents said that information communication technology was used in storage of electronic records; 3 respondents said that it was used in creation of records and 1 respondent said it was used in mails registration.

Regarding the advantages of using information communication technology in the management of records, 3 respondents said that it helped in enhancing retrieval of information, 2 respondents said that it helped in sharing of information and saving of accommodation space, 2 respondents said that it helped in performance appraisal and tracking of records. 1 respondents said that it helped in inventorying of records.

Concerning the challenges encountered in using information communication technology in the ministry, 2 respondents mentioned power and internet failure which they said had resulted in loss of information, 1 respondent mentioned viruses and their effect on computers due to failure by information communication technology section to buy anti-virus in good time, 3 respondents mentioned slow response by the information communication technology officers to provide technical assistance. 1 respondent mentioned resistance to change towards adoption of new technology, and 1 respondent mentioned inefficient information communication technology (ICT) equipment and facilities, lack of training and resources for maintenance.

4.3.3.4 Data Collected from Secretarial Staff

When asked on the state of human resource records, the respondents pointed out that file were in poor state and that folders were torn due to low quality of material they were made from. They recommended replacement of torn folders to avoid loss of records.

On the duration an officer was allowed to retain a file in their offices, a total of 9 respondents said that the duration taken with a file in a section by action officers was determined by the action to be taken. However, they were expected to hold onto files only for a short time. 2 respondents said it took three (3) days, 1 respondent said it took three (3) hours, 1 respondent said it took thirty (30) minutes and 2 respondents said it took two (2) days.

The respondents had various views regarding the handling of mails as follows: 3 respondents said that received mails were taken to the action officers after recording them in the incoming register, 2 respondents said they took received mails to the mails office for stamping and recording. 2 respondents said they recorded the mails and took them to the supervisor for his instructions. 4 respondents said that in departments, mails were received, recorded and then presented to officer in charge for action, 2 respondents said that mails were received in a centralized office, stamped before being taken to the relevant offices for action and 2 respondents said mails were recorded in an outgoing register so that the person receiving them signed the register on receipt.

Regarding handling of mails for dispatch, 2 respondents said that distribution of mails was done by a designated person who recorded them in the outgoing register. The mails were then distributed in a register to be signed by the person receiving them. 4 respondents said that all mails for dispatch were taken to the mails office for appropriate dispatch. 3 respondents said that confidential mails were placed in an envelope and sealed, and recorded in GP 54 for dispatch, 2 respondents said that letters were enveloped, addressed, sealed then recorded in the delivery book, 2 respondents said that a copy of mail for dispatch was retained as a float or daily file

copy and 2 respondents said that mails were received from various departments in a centralized place before dispatch.

4.3.3.5 Data Collected from Clerical Officers

On the availability of working tools for the control of human resource records in the ministry, 6 respondents said that there was no records management policy and no records retention and disposal schedule, 2 respondents said that there were no records preservation procedures. 6 respondents said that a desk diary used for bring ups was available in the Ministry.

On the support received from top management in the in the Ministry, 6 respondents said that they were provided with stationery, furniture and computers, 6 respondents said that they were provided with lockable cabinets and furniture and 2 respondents said that they did not get any support.

On whether the respondents had the necessary knowledge, skills and competencies to enable them effectively manage both paper and electronic records, 7 respondents said that they still needed training on how to handle electronic records. 3 respondents said that the knowledge, skills and competency in e-records management was necessary for performance of their duties and 4 respondents simply said that they required skills in electronic records management.

4.3.3.6 Data Collected from Human Resource Management Officers

On whether information communication technology was used in the management of records in the ministry 12 respondents said that information communication technology was used in the ministry while 2 respondents said that information communication technologies was not used in the ministry.

On the likely use of information communication technology in the management of records in the ministry, 8 respondents said that information communication technology was used in storage of electronic records, 4 respondents said that it was used in creation of records. 2 respondents said that it was used in mails registration.

Concerning the advantages of using information communication technology in the ministry, 5 respondents said that it helped in enhancing sharing and retrieval of information and in back up of records. 5 respondents said that it helped in facilitating easy appraisal and saving of records, 4 respondents said that it helped in minimizing loss and inventorying of records.

Regarding the challenges encountered in using information communication technology in the ministry, 4 respondents singled out power failure and unreliable internet which they said had resulted in loss of information, 2 respondents said computers were infected with viruses due to failure by information communication technology section to buy anti-virus software in time, 4 respondents said that slow response from information communication technology staff to provide technical assistance and maintenance requests. 2 respondents said that lack of willingness on some parties to adopt new technology in their operations, insufficient facilities and inadequate computers were some of the challenges they experience. 2 respondents identified the challenges they faced to include lack of resources for maintenance, obsolete computers and inadequate computers and printers.

4.3.3.7 Data Collected from Information Technology Staff

Regarding the specific softwares to manage human resource records, 6 respondents named integrated personal and payroll data as the software used in managing human resource records, 4 respondents enumerated the software to include Government

human resource information system, excel, human resource information system and open source software.

On whether records management staff were involved in determining the software procured for use in the management of human resource records, 5 respondents said that records management staff were not involved in determining the software procured for use in managing human resource records. 2 respondents were not sure 2 respondents said that records management staff were involved in determining the software to be procured and 1 respondent said they were rarely involved.

In identifying roles played by the information communication technology (ICT) staff in the management of records including human resource records, 2 respondents mentioned involvement in provision of specifications and system management. 1 respondent said they provided system maintenance (technical assistance) to facilitate authenticity and security of records, 1 respondent said that their role was to ensure smooth flow of operations, 4 respondents said that they trained new staff and provided user support in computer associated problems and 2 respondents said that they provided safety and security of computers by installing antivirus software.

4.3.4 Objective Four: Challenges Associated with the Management of Human Resource Records

Data were obtained from the following respondents and their views were as indicated below:

4.3.4.1 Data Collected from Heads of Department (HODs)

The Heads of Department's comments towards human resource records on decision making, service delivery and service provision were as given below:

- a) **Decision making:** The respondents pointed out that human resource records helped in making decisions on deployment, promotions, training, leave transfer, retirement, and compensation with information gathered from records.
- b) **Service provision:** The respondents said that human resource records helped in deployment of officers according to their job specification, responsibilities and work plan.
- c) **Service delivery:** Most of respondents interviewed said that human resource records were concerned with daily operations and deployment of officers for various tasks. The rest of respondents interviewed said that human resource records enabled fair and prompt services in processing promotion and confirmation in employment.

Whether human resource records were considered a strategic resource in the ministry, the respondents agreed and identified the contributions of human resource records in processing of retirement, recruitment, transfer and training.

Human resource records contributed as given below:

- a) Helped in planning and succession management.
- b) Enabled employees to know the ministry decisions on training, renewal of contract, performance and disciplinary issues.
- c) Helped in tracking the performance of officers for the purpose of discipline, training and career progression.

4.3.4.2 Data Collected from Records Management Officers

Regarding the challenges experienced in the management of human resource records, 2 respondents said there were problems with tracking of human resource records. This

was a manual process involving physically visiting offices where records were marked or requested. 4 respondents cited lack of support from the top management in supply of equipment and stationery. 2 respondents pointed out that action officer held files for too long and there were rampant cases of missing of files resulting in accumulation of pending mails. 3 respondents said that there were inadequate staff and lack of incentives as well as lack of technological skills which contributed negatively to low performance of the Records Management Unit. 2 respondents claimed that some action officers directly received mails in their offices without channeling them through the Records Management Unit. According to them, the officers consulted the index on the subject matter of the mails and then called for the relevant file. They said that records management had not been allocated a budget and authority to incur expenditure. 2 respondents said that lack of consultation with records staff indicated non- commitment and concern by management. This according to them had contributed to limited resources, lack of equipment, inadequate storage space for closed files, and lack of file auditing in the Ministry.

4.3.4.3 Data Collected from Finance Staff

Regarding the challenges experienced in the management of human resource records, 6 respondents said that there were inadequate trained staffs leading to lack of professionalism in the management of human resource records. Further, they said that closed volumes of files were not accessible because there was no order in their arrangement. 2 respondents said that:

“we encountered problems due to inefficiency in recordkeeping practices, inadequate staff and the slow manual system”.

4.3.4.4 Data Collected from Secretarial Staff

Considering the challenges or problems that were encountered in records management in the ministry or departments, 5 respondents said some officers kept files in their offices longer than expected and at times locked them in their offices while they were away on official duties. 6 respondents said there were cases of missing and torn files because they were mishandled by some staff. 2 respondents said tracing of files was difficult where registers were misplaced. 1 respondent said that tracing of files in offices sometimes proved difficult if not recorded. 1 respondent said that human resource management staff was at times unclear on the suitable file in which to file certain records. They went ahead to say that lack of equipment and inadequate staff in Records Management Unit was the cause of delays in operations experienced in the Unit

4.3.4.5 Data Collected from Clerical Officers

In identifying what other training or skills the respondents required for effective performance, 6 respondents pointed out that they required refresher courses for skills improvement in records management and data entry programmes. 3 respondents said that they required courses in management of electronic records, computer skills, public relations and customer care. 5 respondents named the courses they required as information communication technology and introduction to integrated records management system for easier operations.

The respondents made the following comments in regard to the general management of records: 3 respondents said they lacked equipment and complained of difficulties in tracing files in a manual system. 2 respondents said they lacked support from top management on disposal of records and training in electronic records which they said

hampered smooth operations in the management of human resource records. 2 respondents said there were inadequate staff and computers in the Records Management Unit. 1 respondent said that recognition and motivation of records staff was a challenge. They said that they were discriminated against in terms of education and job skills. 2 respondents said that they experienced problems with obsolete computers, misplacement, misfiling and tracking of files movement. 2 respondents said poor handling of files had an effect on their future preservation. 2 respondents said that not all staff had records management skills but were not ready to accept the new changes.

4.3.4.6 Data Collected from Human Resource Management Officers

Commenting on the challenges experienced in the management of human resource records in the ministry, 2 respondents said they had issues associated with inadequately trained staff, electronic storage of records, inadequate staff, misfiling and misplacement of files. 2 respondents said that they were frustrated by the slow retrieval process of files in the ministry headquarters except in departments where files were few and handled by a few individuals. 5 respondents said that challenges such as physical damage to files, laxity in labeling and folioing of files were worsened with lack of folio sheets. 5 respondents said there was insufficient information communication technology equipment

4.3.4.7 Data Collected from Information Technology Staff

On whether computerization had improved the management of records in the ministry, 4 respondents said computers made the storage of records easy; it saved time and enabled people to take responsibilities through the use of passwords. 2 respondents said that to some extent it made it easy to track records. However,

computerization had not been widely adopted in the ministry. 4 respondents said that it was unfortunate that no specific system for human resource records management had been availed.

4.3.5 Objective Five: Strategies to Enhance the Management of Human Resource Records

Data were obtained from the following respondents and their views were as indicated below:

4.3.5.1 Data Collected from Heads of Department (HODs)

On whether sensitization on the importance of records should be extended to all staff in the ministry, the respondents agreed and pointed out that most of the officers in the ministry were not acquainted with records management practices. They suggested the following reasons for having regular consultation and meetings:

- a. Most ministry headquarters and departmental staff did not have records management background knowledge and yet they generated and used records.
- b. Sensitization programmes facilitated by records staff for all levels of staff would enlighten them on the importance of records to enable them achieve transparency and accountability in the ministry.
- c. Verification and auditing done by finance staff depended heavily on human resource records.
- d. Sensitization of the ministry staff would enable them understand issues affecting the management of records like regulations, legal framework and procedures.

4.3.5.2 Data Collected from Records Management Officers

Digitization was proposed by 5 respondents, they suggested that all records in the ministry be digitized to make their management involving tracking and storage easier. They proposed establishment of electronic records management systems backed up with regular training programmes such as sensitization and workshops on records management. This they said would enable staff to manage electronic records effectively. 6 respondents proposed regular disposal of records and adoption of new methods and skills which would lead to the restructuring of the records management system. They also proposed deployment of adequately trained staff as a solution to the workload problem. Again, the respondents proposed enforcement of best practices and procedures during orientation of staff on records management to enhance their skills. 2 respondents proposed procurement of standardized information communication technology equipment and materials. 1 respondent proposed channeling all incoming mails through the central Records Management Unit mail office. This they said would ensure mails were not lost in transit and at same time this would help in avoiding cases where action officers acted on loose letters instead of bringing them for filing. According to 1 respondent action officers should either request for the relevant file or confirm subject matter of a file for action from the Records Management Unit.

4.3.5.3 Data Collected from Finance Staff

On strategies to improve records management, 3 respondents singled out training of staff on records management and information communication technology. 2 respondents said that there was need to provide information communication technology requirements to underpin adoption of electronic records management

systems in the Ministry. 2 respondents said that there should be adequately trained and motivated staff. 1 respondent did not respond.

4.3.5.4 Data Collected from Secretarial Staff

On their part secretarial staff stated as follows: 5 respondents singled out tracking of files and delegation of duties to ensure that the business of the Unit continued in the absence of other staff. 3 respondents suggested carrying out a weekly census to trace files, 1 respondent suggested having regular dispatch of mails. 1 respondent recommended retaining copies of dispatched mails and maintenance of updated registers for daily operations. 3 respondents proposed establishment of a records management system as a lasting solution to problems in Records Management Unit. 2 respondents proposed deployment of adequately trained and motivated staff to the Unit. This they said would enable them cope up with records management practices involving folioing of correspondence and maintenance of file movement registers.

4.3.5.5 Data Collected from Clerical Officers

On the strategies for enhancing records management, 4 respondents suggested that they should be upgraded after acquiring training in records management to boost their morale. 2 respondents pointed out that the system(s) should be installed to track the movement of records, 2 respondents proposed that Kenya National Archives and Documentation Services should advise on disposal of records in the Ministry. 2 respondents proposed that all the clerical officers who had trained on records management be re-designated to the post of records managers as a way of motivating them and address the understaffing issue. 3 respondents proposed regular sensitization of all cadres of staff on the importance of records and the issues affecting their management like regulations and procedures. 2 respondents recommended

preparation of retention and disposal schedules and provision of necessary and appropriate equipment to facilitate operations.

4.3.5.6 Data Collected from Human Resource Management Officers

Regarding interventions to improve records management, 4 respondents recommended the introduction of electronic records management systems to save on space. 3 respondents proposed deployment of trained staff and supply of adequate computers. 2 respondents suggested that registers be maintained for tracking file movement which would work well if files were correctly referenced and labeling well-done. 5 respondents proposed that the ministry should urgently embark on transition from manual to electronic record keeping.

4.3.5.7 Data Collected from Information Technology Staff

Contributing on strategies towards enhancing the management of records, 3 respondents proposed issuing an official e-mail address to employees for transacting official business to be deactivated on leaving the Ministry. 2 respondents proposed adopting cloud computing technology for external storage of records, training of more human resource personnel and adoption and use of latest technology in computer maintenance. In addition, they suggested developing centralized records management systems that would cover all aspects of records management across the ministry and departments. 3 respondents proposed adoption of a records management system to ensure that electronic records were maintained in a secure database. This system they said would be integrated with those of departments and counties. 2 respondents proposed developing an independent system and a real-time data management system to help in tracing of records in ministry headquarters and departments.

4.3.6 Data Based on Observation

An observation checklist was used to verify data obtained from Human Resource Records Management Units and Human Resource Management in the Ministry of Health headquarters and its departments. The researcher presented observation data as given below:

1. **Records creation:** It was observed that mails were received from the post office and other departments. They were then sorted into official and private mails. The official mails were date stamped, recorded then put in a folder to be taken to the Secretary in Charge of Administration who then marked the mails to specific action officers. From there mails were returned to the Records Management Unit for filing then distributed to action officers. It was observed that file covers were torn and the quality of file folders was poor. Clerical officers in the Records Management Unit were observed keying data into computers to enable them track movement of the files. This showed that they had basic knowledge on computer use.
2. **On storage conditions:** It was observed that files were kept in shelves and mobile cabinets in the ministry headquarters and in single file cabinets in the departments. The available equipment and computers were shared. It was also observed that appraisal of records had not been done and many closed human resource records for officers in service and those who had left the service due to retirement, death, and dismissal, were dumped in a room referred to as an “Archive”. In addition, it was also observed that clerical staffs working in Human Resource Records Management Units were not conversant with retention or disposal schedules.

3. **Filing and maintenance:** It was observed that human resource records were well classified using the numerical system. Subject matter of the correspondences received was used for classification for general correspondences in the central Records Management Unit and departments for the purpose of maintenance. Files were maintained in filing cabinets.
4. **Access and Use:** It was noted that files were well indexed making it easy to retrieve them from the cabinets. It was further observed that file census was not regularly conducted by the Records Management Unit. This was noted from the schedules register for conducting the survey. The only way of tracking file was either by use of outgoing file register or visiting offices where files were requested or marked. From the observation, it was noted that most of human resource management officers had file movement registers in their offices but were not using them. The registers therefore could not be used for tracking of files. File census was rarely conducted making it difficult to know the whereabouts of a particular file. It was observed that human resource management officers required human resource records to process appointments, promotions, payment of salaries, compensations and processing of pensions, among others.
5. **Records security:** it was observed that although security measures were in place in the Records Management Unit including lockable cabinet and padlocking of the room after work, some clerical staff could not be trusted with the security of records due to the fact that they had not acquired enough experience and were issuing files without recording them. From observation, some of the clerical staff felt that they had not been trained sufficiently and that their training needs were not being factored in the training projections

making them even more demoralized. Safety of the building was also observed and it was established that there were no fire monitoring equipment such as smoke detectors and Records Management Unit experienced fluctuating electricity supply with no back up.

6. **Preservation of vital records:** It was observed that closed files were dumped in a separate room where they were exposed to dust and tear. In addition, file folders were of poor quality and ergonomic practices (ease of performance in consideration to overall human resource well-being) involving working conditions and potential threats had not been explored. Poor handling of files by the officers exposed them to tear and wear. Suitable storage facilities were observed in Records Units in the headquarters and departments. However, there were no retention schedules for closed files and many records had not been appraised leading to accumulation of files.

4.3.7 Discussions of the Study Findings

The findings were discussed as indicated below;

Lack of records management policy in the Ministry is likely to be the cause of the many challenges facing the Ministry of Health recordkeeping programmes as mentioned by the respondents interviewed. Policy addresses records management best practices, infrastructure, legal framework, programmes and application of standards among others for the service delivery. According to the Secretary in charge of Administration in the Ministry, the policy existed in the form of the various guidelines and circulars. It is important to note that policy go beyond circulars to offer overall direction in the management of records. Kemoni (2007), states that the absence of a records management policy has the ability to obstruct the role of public service providers. The secretary attested to the fact that sensitization of records management staff had not been done to his satisfaction,

certainly there have been poor performance of staff due to lack of skills and knowledge.

According to the users of human resource records who included finance, clerical, secretarial, human resource management and information communication technology staff, records were exposed to many risks due to lack of prompt decision making involving the management and the records management staff. The manner in which records were handled had far reaching effects on their integrity, security and safety. It is possible to change the situation if sensitization of staff on records is done at an early stage to safeguard records for disposition.

Best practices is provided by competent staff with adequate skills and knowledge acquired through basic education and training. The records management staff can only perform well after attaining a standard qualification. Ministry of Health like any Government Ministry should embark on records management programmes that will ensure that proper maintenance of human resource records is observed. Consideration should also be given to staffing of records management Units. Qualification for the staff deployed in records management units should be a matter of concern especially for the purpose of handling electronic records. In ability to fast track records movement in the records management unit is likely to cause delays in decision making and blame on the part of the staff. Misplacement and missing of files in the Ministry should be a forgotten challenge in the current computerization systems in the organizations and Ministries. According to Minnesota State Archives (2012) Ministries are moving fast towards electronic records management due to the advancement in technology and the changing times.

Top management according to clerical, finance, secretarial, human resource management officers and information and communication technology staff interviewed, observed that support is essential in ensuring that budget allocation is adequate for the supply of standard equipment and maintenance of the records management units. It is important that ISO: 15459 standard is observed in facilitating the operations involving records management systems in the Ministry.

According to Paul Ekman (2011), training is also about the change of attitude. With adequate budgetary allocation for records management programmes, Heads of department and Records management officers interviews consider training as an opportunity that would enable the records management staff acquire competency required for their duties if they can get different levels of training involving refresher courses, institutional based long courses, workshops and information communication technology courses for improved performance.

Non-compliance with legal framework underpinning human resource records management was observed to be a challenge in regard to storage and accommodation of semi- active records. The Ministry had not complied with DPM's circular on personnel records ref.No.12/6A/Vol.1 (71) of 12th March,2008 and hence files piling up in the store room with no space for other incoming records. It is important that the Ministry should embark on developing disposal and retention schedules as required in Directorate of Public Service Management Circular on disposal of records; this will ensure that records are preserved and space created for incoming files.

Respondents including clerical officers, human resource management officers, information communication technology and secretarial staff interviewed observed that there were several challenges involving maintenance of computerization in the

Ministry even though it was the preferred format. The conflict between information communication technology staff and records management officers was the cause of the conflict as explained by Miller (2009). It is important that a policy should be adopted that will ensure records managers are involved in planning and consulted on the hardware and software for the management of human resource records

Records management cadre came into existence in the year 2003. Before then, the records management functions were performed by executive officers which abolished and the officers were re-designated and deployed as records management officers. Some procurement officers were also designated to records management officers. Records management functions have been fragmented and lacked effective co-ordination for the functions have either been supervised by human resource management officers or administration officers. With proper staffing, records management policy, scheme of service and training of records management officers, it is likely that records management functions will improve as compared to the former administration of the cadre.

In 2007, the scheme of records management staff in Kenya was established with eight grades. This should be expanded to include top management in the management of records in the ministries i.e. a post of Director Record's management. With the recruitment of qualified staff to manage records functions in the ministries/departments, a satisfactory performance is expected in civil service.

Respondents including clerical officers, human resource management officers, information communication technology and secretarial staff interviewed noted that human resource records are important in enhancing service delivery through planning, transparency and accountability as they help in providing human resource staff with

benefits required for support. According to Swarfford and Grow (1992), records provide evidence for decision making on issues affecting employees. Well served employees are motivated and ensure they charge their duties to the satisfactory of the employer which also determines the performance rate of a ministry.

Meetings, consultation and sensitization programmes are highly recommended in the management of human resource records in the ministry as suggested by records users. According to the users interviewed, it creates awareness about the procedures and guidelines applicable in records management. Consultation should be a tool used to help both records managers and users in discussing issues affecting the management of records and support required as suggested by secretary administration in the Ministry of Health. It is therefore important that periodical arrangement for meetings be made to sort out issues related to the performance, support and other records management programmes.

Motivation of records management staff is a very critical aspect of improving performance in a ministry as suggested by records management officers, clerical officers, human resource management officers, information communication technology and secretarial staff interviewed. According to Maslow hierarchy of needs, self-esteem for the staff is important whenever good result of their performance is expected. Motivation and recognition should come hand in hand with other support with essential equipment required for the operation of the Records Management Unit.

Compliance with legal framework governing the management of records, National Archives and disposal Act (cap19) should be observed to ensure that records which are due for preservation are identified at an early stage through appraisal. This will

help in ensuring that unnecessary piling of records is avoided and space created for new incoming records.

The findings in observation revealed non-compliance and non-commitment on the part of management, users and records management staff. The observation analysis revealed relaxation and failure of records management staff to observe the available regulations and guidelines for the management of human resource records. The role of records manager is to ensure that records management programmes and practices are adhered to in their operation while also making an effort to streamline the operations in the records management unit. Adequate training, monitoring and review of the system in use can be carried out in order to enhance performance of the staff while being guided by regulation and legal framework for human resource records. For efficiency and effectiveness in the management of electronic records, adopting electronic records management system would hasten and streamlining the operations of both the ministry headquarters and departments.

4.4 Chapter Summary

The chapter presented, analyzed, and interpreted findings of the data collected from various cadres on the management of human resource records. The data was collected by administering interviews and questionnaires to different cadres of staff and by use of observation checklist to verify data obtained from the respondents. From the findings of this study, it was established that there were many challenges experienced in the management of human resource records in the Ministry of Health such as lack of support of top management, lack of budgetary allocation, unconducive storage conditions for records, lack of records management policy and need to review the procedures and infrastructure for managing human resource records.

CHAPTER FIVE

SUMMARY OF RESEARCH FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

The chapter provides a summary of the findings, conclusion and recommendations. The summary of research findings is based on the research questions and they are discussed briefly to offer an overview of the key findings. Recommendations and a model of action plan are provided for the management of human resource records in the ministry in order to support efficient and effective service delivery.

5.2 Summary of Major Research Findings

This section provides a summary of the research findings based on the research questions that guided the study.

5.2.1 How are Human Resource Records Managed in the Ministry?

Human resource records maintained by the Ministry contained personal details of employees. The records have employment details and helped in processing and determining promotions, training, achievement, leave, transfers, position, discipline, performance appraisals among others. The ministry practiced a hybrid system but with predominant manual system whereby mails were received and filed in the cabinet. Both registers and computers were used in tracking of records. Security of records was achieved through the use of lockable fire proof cabinets and the use of passwords in computers. There was adequate storage space created following the transfer of health workers' files to counties. Computers were largely used in the departments for maintenance of departmental records.

However challenges were noted pertaining to lack of a disposal policy and in particular absence of retention and disposal schedules resulting in the accumulation of closed files. The ministry had not vigorously embarked on the digitization process to ensure safety, preservation and backup of vital records. Only a few files had been scanned and kept as backup when files for officers deployed in the counties were transferred to their respective counties. Files were not readily available to users and loss of files still remained a major challenge leading to delays in decision making. The ministry had not come up with a policy to address the challenges

5.2.2 To what extent has the Ministry Deployed Best Practices and Standards in the Management of Human Resource Records?

Officers charged with the management of records had acquired basic knowledge but still required more training and capacity buildings, orientations and refresher courses to be fully competent in records management. Electronic records storage was preferred to manual storage. Most of staffs were not conversant with disposal procedures and as such there was an accumulation of records in the ministry headquarters and departments. Use of registers to track files and best practices and procedures for folioing of mails had not been put to good use. Deployment of adequately trained staff was essential for the ministry to effectively manage electronic records management system. Cases of missing of files were rampant in the ministry headquarters compared to the departments where files were fewer and were under the custody of the Heads of Department. Reasons for missing of files included failure by action officers to cooperate with records staff in control of file movement in their sections. The risks affecting electronic records management included fluctuation of power and the internet. The information communication technology staff had not fully mastered the use of metadata and audit trails. The same way, they had no control in

retention and disposal schedules because the ministry had not fully adopted electronic records management system.

5.2.3 What kinds of Infrastructure is there to Support the Management of Human Resource Records in the Ministry?

Ministry headquarters and departments lacked a records management policy and budget allocation for records management. Information communication technology related courses were required by records management staff. Supplies for the Records Management Unit were captured through normal requisition from stores. The Ministry experienced accumulation of closed and non-active files with inadequate space for storage. According to the users, information communication technology had not been fully integrated to support digitization. Information communication technology was mainly used as a storage medium in the ministry but its application could be extended to derive more benefits in areas such as creation, tracking, retrieval, saving space, sharing and minimization of loss of records. For electronic records management system, priority should be given to training, power and internet fluctuations among other challenges for effective management of electronic records. A policy should be formulated to facilitate the procurement of quality equipment and stationery that contributed to poor condition of records. The adoption of best practices and compliance with records management procedures would address the logistical issues surrounding the retrieval of files. Records management officers' involvement in determining records management software is desirable in order to ensure effective operations of the Records Management Unit. The role of information communication technology staff would be to provide the technical assistance.

5.2.4 What Challenges are encountered in the Management of Human Resource Records in the Ministry?

Human resource records play an important role in supporting decision making in human resource activities such as promotion, training, transfers and compensation among others. They support service delivery and are considered a strategic resource in the ministry's future planning. However, the Ministry faced challenges relating to lack of capacity building for records management staff and manual operations of Records Management Unit. Not much effort had gone into procuring an electronic records management system.

According to the users of records, low quality file folders contributed to the damage and loss of records. Deployment of inadequate staff, shortage of computers and equipment had far reaching effects on the operation of Records Management Unit. Lack of a record disposal policy had contributed to a shortage of space for records storage.

5.2.5 What Strategies Should Be Adopted to Enhance the Management of Human Resource Records in the Ministry?

The Heads of Department recommended sensitizations of ministry staff to enable them understand issues affecting records management. Ministry staffs generate and use records, yet they didn't have background knowledge on their management. ISO 9001:2008 internal audit report revealed non-conformity in control of records in some departments. Heads of Department proposed convening a meeting facilitated by the top management to be addressed by records management staff on the above challenges. According to the ministry's staff, automation of records would provide solutions to some of the above challenges in the ministry. Another intervention

measure recommended for achieving effective service delivery was deployment of adequately trained and motivated staff.

It was further recommended that customer care be adopted to enhance service delivery. Regular tracking of records on weekly basis, updating of registers and procurement of quality folders were recommended as necessary measures for the control and maintenance of human resource records. Surveys and appraisals of records should be conducted to determine records for disposal. This would be achieved by preparation of retention and disposal schedules. Disposal of non-current records by transferring them to National Archives would create space for newly created records. Information communication technology equipment should be procured in readiness for the adoption of an integrated records management system that would ensure transition from manual to electronic records management system.

All mails should be channeled through the central records office to ensure they don't get lost. Action officers should act on original letters filed in correct files and not copies. Indexing and classification should be confirmed by action officers before acting on any correspondence. Employees should be given official e-mail addresses and those leaving the ministry be deactivated. There was need to consider adoption of external storage of records using cloud computing technology. Central management information system should be developed covering all aspects of records management across the departments in the ministry.

5.3 Conclusion

The study revealed that management of human resource records was critical for equity, fairness and transparency in transacting business in the ministry. Human resource records play an important role as a strategic resource used as a basis for

decision making and planning in matters pertaining to employment retirement, training monitoring of performance and for succession management in the Ministry.

The study established that records management had positively contributed to improvement in the management of human resource records and other records in the ministry headquarters and departments. Files belonging to officers deployed in counties had been transferred to their respective counties and scanned copies of vital records maintained as backup. The Ministry in collaboration with development partners had acquired lockable fire proof file cabinets, and shelves. Even though the Records Management Unit did not have a budget of its own, it was supplied with its material requirements through normal requisition from stores. The departmental human resource records were secured and well managed because they were few and were under the custody of action officers. The departments had most of their records stored in computers and were readily accessible compared to those in the ministry headquarters.

However, a number of challenges were still persistent in the management of human resource records in the ministry headquarters and to some extent in the departments. The records management units lacked adequately trained staff. The staff lacked the competencies required to handle technical issues in electronic records management. The current operations were largely manual as far as creation, filing and maintenance of records was concerned. This had exposed staff to such risks as missing and misplacement of files, misfiling, loss of records and physical damage to records, among others.

The ministry staff preferred electronic systems to manual systems which, according to them contributed towards creating of space and tracking of records. Actions officers

were singled out as the main culprits with regard to contributors in missing of files because they kept files for too long. They also did not use registers for control movement of files. Information communication technology experienced challenges such as fluctuation of power and internet. Lack of maintenance and inadequate information communication technology equipment hampered the adoption of electronic records management in the ministry. Records staff were not involved in the procurement of information communication and technology equipment and their specifications.

A sensitization program was proposed to enable ministry staff understand the issues affecting the management of records in departments and the ministry headquarters. Deployment of adequately trained and motivated staff was recommended alongside on integrated records management system geared towards handling records management activities such as creation, tracking and disposal of records. This required procurement of adequate equipment including computers and their proper maintenance.

Formulation of policy, observation of procedures and adoption of best practices in records management provide methods and skills for performance improvement alongside regular appraisal of records to determine those for disposal. Action officers were discouraged from acting on copies of mails. It was observed that all staffs should be issued with official e-mail addresses which should be deactivated on leaving the ministry. It was recommended that external storage of files using cloud computing be encouraged as well as developing a centralized records management information system to cover all aspects of records management across the departments in the

ministry. The system should maintain electronic records in a database in the same way as a health information system.

5.4 Recommendations

The study findings revealed that the Ministry of Health faced challenges in the management of human resource records. This had impacted negatively on service delivery in the ministry. Based on the findings of the study, the following recommendations are made to enhance effectiveness and efficiency in service delivery.

5.4.1 Objective One: Management of Human resource records

5.4.1.1 Creators and Users of Records

The study revealed that users of records over stay with files and in the process delay decision making because of pending mails in the Human Resource Records Management Unit (HRRMU). Missing of files had also become rampant in the ministry. Some of the missing files were later traced in the users' offices where they were not recorded in the movement registers. A number of files over stay in pensions section pending submission of required documents from the retirees and dependants.

The study recommends cooperation from all users. Files should be brought back into storage in the shortest time possible. Users should be sensitized on regulation, procedures and issues affecting the management of records. They should also be sensitized on the risks that records are exposed to and how negligence on their part contributes to those threats and risks. The most common risks noted include loss of information and physical damage, environmental damage, theft, alteration of information, hiding of files and unauthorized access and disclosure of information.

5.4.2 Objective Two: Best Practices and Standards

5.4.2.1 Role of Records Management Officers in Records Management Unit

The study revealed laxity and failure by records management staff to incorporate the required records management procedures and best practices in records management thus resulting in rampant cases of missing files, poor filing of correspondence, and laxity in tracking of records while in use.

The study recommends that Records Management Officers incorporate records management standards and best practices in the management of the Ministry's records while also setting priorities for improved performance. There is need for Records Management Officers to utilize available resources in promoting efficient and effective management of records in the Ministry of Health

5.4.2.2 Retention and Disposal of Human Resource Records

The study established that there was lack of disposal and retention schedules to facilitate preservation or disposal of records. This had resulted into accumulation of non-current records in the Ministry. Records retention and disposal schedules should be developed in consultation with the Kenya National Archives and Documentation Service to minimize accumulation of records in the Records Management Units. Staff directly involved in disposal of records should be sensitized to acquaint them with policy procedures and guidelines for disposal of records

5.4.3 Objective Three: Infrastructure and Resources Required to Support Sound Management

5.4.3.1 Information Communication Technology and the Management of Human Resource Records

The findings revealed that records management officers were not involved in the planning, design and implementation of the electronic records management system currently in use in the Ministry. It is recommended that any form of automation implemented in the Ministry should involve records management staff who will ensure the integrity and trustworthiness of the records captured in the system. This will ensure that records maintained by the Ministry can be trusted as evidence and can guarantee effective service delivery. Consideration should also be given to the introduction of an integrated records management system that will link up ministry headquarters with other departments

5.4.3.2 Top Management and Heads of Departments Support

The study revealed various issues that required the intervention of Top Management in the form of Top Management Support. Among these were: Non- existence of a records management policy and records management procedures, poor security and safety of records, poor control of records caused by outdated systems and inadequate staff with requisite training and skills in records management. Therefore the study recommends that there be top management support in order to address the above challenges

5.4.4. Objective Four: Challenges Associated with the Management of Human Resource Records

5.4.4.1 Formulation and Implementation of Records Management Policy

The study revealed that the Ministry did not have a records management policy. The existences of such a policy would help provide guidance, control and direction in the management of records from creation to disposal and would facilitate standardization of records management procedures and practices in the Ministry. The study recommended that senior management in the Ministry should give urgent attention to the development of a records management policy.

5.4.5. Objective Five: Proposal for Strategies to Enhance the Management of Human Resource Records

5.4.5.1 Capacity Building for Records Management Staff

The study revealed that staff working in the Records Management Units both in the ministry headquarters and departments required capacity building and refresher courses in records management especially records managers and clerical staff. This was critical since some officers had been re-designated from other cadres. Training them would help provide the professionalism they required for effective performance. Therefore, this study recommended that Training program should be prepared for officers serving in record management units for the improvement in performance and for effective delivery of service. Following the introduction of the integrated records management system (IRMS) in the service, there is need for all records management officers to be computer literate.

5.4.5.2 Streamlining Records Management Systems

The study found out that top management was a key element in development and implementation of records management systems and programmes. The study

recommends that top management should lend support to efforts aimed at streamlining of records management systems and particular electronic records management systems in order to effectively support service delivery in the Ministry. The management should ensure that necessary steps are taken to preserve valuable records for future use by ensuring their security and safety in a secure environment.

5.5 Action Plan for Effective and Efficient Records Management in the Ministry

One of the objectives of the study was to come up with a records management action plan to guide the management of the Ministry. The records management action plan provided below is derived from Freedom of Information Act 2000. The action plan was a code of practice on records management under section 46 of the freedom of information Act 2002. The Code of Practice on Records Management (“the Code”) under the Freedom of Information (Scotland) Act 2002 (“the Act”) has been issued in accordance with the requirements of section 61 of the Act. It has been designed to support the objectives of the Act by setting out guidance as to the practices which, in the opinion of the Scottish Ministers, public authorities should follow in relation to creating, keeping, managing and finally disposing of their records. It applies to records in all formats. This generic action plan is intended to be used as the basis of sectoral action plans which are tailored to suit the needs of particular sectors, for example health, local government, etc.

The recommended action plan shows steps required to achieve compliance with the code. There are seven proposed steps in this plan to be followed in management of human resource records in the ministry of health to assist in enhancing efficiency and effectiveness in service delivery as shown on table 5 below: Records Management Standard was issued by the Controls Assurance Support Unit (CASU).

The Model Action Plan

Table 5: Seven (7) steps required to achieve compliance with the code

Completion by	Milestone (see related text in the model plan)	Code Ref	CASU standard
31 Jan 2019	1. The management should study the recommendations and then examine functions of the Ministry to determine activities at various levels including departments to acquaint themselves with the position of records management in the Ministry. Major areas of concern include: responsibilities procedures regulations and practices among others. All activities should be under a central command for coordination to ensure close working relationship.	5.1	1
30 Apr 2019	2. The management should undertake an audit of records management to establish the need for compliance with the required standard and best practices. They are supposed make consultations with champions and records management officers where necessary. The management should then analyse business activities in the Ministry that will lead to the preparation and drafting of an overall records management policy statement.	6	2
30 June 2019	3. The management should discuss and come with budget allocation to ensure that adequate resources are in place to support the records management functions. This will be followed by identifying skills and knowledge required by records management staff for the purpose of recruitment of records management staff. The management should then consider the relevant qualifications and various categories of cadres for records management support staff and then introduce training programme on awareness of records management issues for inclusion in induction training.	7.3 8.4 6	7 8 4.8 2
30 September 2019	4. The management should avail records management policy statement and then undertake complete records survey after recruiting staff if required	7.3 8.4	8 2

Completion by	Milestone (see related text in the model plan)	Code Ref	CASU standard
31 January 2020	5. Management should introduce a programme of professional training for records management staff to ensure that the staff comply with all requirements observed in records management. The management should then design and implement a system to ensure that records are appraised in good time.	7.3 9.4	8 5
30 June 2020	6. The management should put in place record keeping systems to ensure it meets operational needs and accord with the regulatory environment. Measures will then be put in place to ensure that records maintenance procedures provides for quick and efficient location and retrieval of records.	8.5 & 8.6 8.7 8.8	7 5
1 January 2021	7. The Management should establish a performance measurement scheme for the records management system i.e. monitoring and evaluation measures.	6.2	10

5.6. Suggestion for Further Research

The study proposes the following areas for further research.

5.6.1 Computerization of Human Resource Records

This study indicated that there were many challenges in automating human resource records held in paper form. There is need to evaluate in greater the effect of computerization of analog human resource records in the Ministry of Health with the on-going devolving and functions and systems in the Ministry.

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APPENDICES

Appendix 1: Letter of Introduction

Moi University
 School of Information Science
 P.O Box 3900-30100,
 Eldoret.

RE: COLLECTION OF RESEARCH DATA

I am a student at Moi University undertaking a Master of Science degree in Records and Archives Management. As part of the course requirements, I am conducting a research study to assess the management of human resource records in the Ministry of Health. The study aims at assessing the state of human resource records management in the Ministry with a view to proposing strategies to enhance their efficient and effective management.

I have identified you as a respondent and therefore kindly request you to complete this questionnaire. Your honest response to these questions will assist me to meet the objectives of the study. I would like to assure you that the information provided is for academic purposes only and will be held confidential. You will be free to obtain the results of the study when completed upon request.

Do not write your name

Thank you in advance,

Yours Faithfully,

Aloice O. Sudhe

Sign.....Date.....

Appendix 2: Interview Guide for Top Management in the Ministry

Instructions

This interview guide is for the purpose of the research only and the information you give will be treated confidentially. Please answer all the questions provided as honestly as possible, to the best of your knowledge.

Section A: Background Information (Tick (√) the appropriate option (bracket))

Currently working in which Ministry/Department?

Your current Designation?

1. Does the top management have a significant role in the record management policy?
2. What support does the top management provide for efficiency and effectiveness of record management in the Ministry?
3. What comment would you give on the efficiency and the effectiveness of the record management in the Ministry?
4. What support do you give to management of human resource records or other records towards:
 - a) Decision Making
 - b) Service delivery
 - c) Accountability and transparency

What is the importance of human resource records in the performance of ministry?

What are the future plans for record management in the Ministry?

Appendix 3: Interview Guide for Heads of Department

Instructions

This interview guide is for the purpose of the research only and the information you give will be treated confidentially. Please answer all the questions provided as honestly as possible, to the best of your knowledge.

Section A: Background Information

What is your Current Ministry/Department?

What is your current designation?

Please state your work experience.

Objective B: Investigate how human resource records are managed in the ministry

1. What records do you require in order to carry out your duties efficiently and effectively?
2. Do you readily get these records when you need them?
3. If the answer is no, explain why?
4. What are your comments on the overall efficiency of the records keeping system in the Ministry/Department?
5. How well are human resource records managed in the Ministry/Department?

Objective C: Determine best practices and standards applied in the management of human resource records in the Ministry/Department.

6. What is the level of staff employed to manage records in the Ministry/Department?
7. How qualified and competent are records management staffs in the Ministry/Department?

Objective D: Determine infrastructure and resources required to support sound management of human resource records in the ministry

8. What support do you as management give to the records staff in terms of the following:
 - a) Policy formulation and implementation

- b) Budgetary allocation
- c) Capacity building and training
- d) Equipment and supplies
- e) Storage and accommodation
- f) IT (including Digitization).

Objective E: Challenges and strategies to enhance the management of human resource records in the Ministry/Department.

9. How do human resource records contribute to the following activities in your Ministry/Department?
 - a) Decision Making
 - b) Service Provision
 - c) Service delivery
10. Do you consider human resource records a strategic resource in the Ministry/Department?
11. Do you support the sensitization of all staff in the Ministry/Department on the importance of records management

Appendix 4: Interview Guide for Records Management Staff

Instructions

This interview guide is for the purpose of the research only and the information you give will be treated confidentially. Please answer all the questions provided as honestly as possible, to the best of your knowledge

Section A: Background Information

What is your Current Ministry/Department?

What is your current Designation?

Please state work experience.

Objective B: Investigate how human resource records are managed in the ministry

1. Describe the types of human resource records created and maintained in your Ministry/Department.
2. Explain how human resource records are managed in the Ministry/Department
 - a) Manually
 - b) Electronically
 - c) Hybrid
3. How are the following records keeping controls realized for human resource records?
 - a) Creation and capture
 - b) Tracking of the records
 - c) Metadata capture and audit trails
 - d) Security of records
 - e) Storage and maintenance
 - f) Retention and Disposal
 - g) Back-up of records
 - h) Management of vital records

Objective C: Determine best practices and standards applied in the management of human resource records in the ministry.

4. What procedures are used in retrieval of records and on average how long does it take to retrieve a record?
5. Does the Ministry /Department experience cases of missing files?
6. What risks and/or disasters are likely to affect the management of human resource records in the Ministry/Department?
7. How are such risks/ disasters addressed?

Objective D: Determine infrastructure and resources required to support sound management of human resource records in the Ministry/Department.

8. Does the Ministry/Department have a records management policy and procedures?
9. If yes, does the policy and procedures cover the management of human resource records?
10. What support is provided by top management to the Records Management Division in terms of:
 - a) Funding
 - b) Policy and Procedures
 - c) Capacity building and training
 - d) Equipment and supplies
 - e) Storage and accommodation
 - f) I.T (Digitization)
11. Have there been any efforts to computerize and/ or digitize human resource records or any other records in the Ministry/Department?
12. What skills and/or competencies do records management staffs have to manage electronic records?

Objective E: Challenges and strategies to enhance the management of human resource records in the ministry

13. What challenges do you face on a day to day basis concerning the management of human resource records?
14. How are these challenges addressed?

15. What other suggestions can you make to enhance the management of human resource records?

Appendix 5: Questionnaire for Records Creators and Users (Human Resource and Finance staff)

Instructions

This questionnaire is for the purpose of the research only and the information you give will be treated confidentially. Please answer all the questions provided as honestly as possible, to the best of your knowledge.

Section A: Background Information (Tick (✓) the appropriate option (bracket))

What is Current Ministry/Department?

What is your current Designation?

Please state your experience.

Objective B: Investigate how human resource records are managed in the ministry

1. What records do you normally use in your day to day work in the Ministry/Department?
2. Are you able to get all the records required in good time?
3. Do you at any time require human resource records for your use and if yes for what purpose?
4. In your assessment, how well are human resource records managed in your ministry/Department?
5. How long does it take you to get records including human resource records from the registry (Records Management Unit) if you request for them?
6. Do you ever experience cases of missing files/records and if yes what do you use to make decisions?
7. What risks affect records in your Section/Department/Ministry?

A	Loss of file	
B	Unauthorized access/ disclosure of information	
C	Unauthorized destruction	
D	Accidental loss of files	
E	Environmental damage	

F	Physical damage	
G	Theft	
H	Alteration of information	
I	Misplacement of files	
j	Hiding of files	

8. Are there documented policies for addressing those problems in the Ministry/ Department?

Yes	No	Not sure
-----	----	----------

9. If yes. Please explain which policies?

Objective C: Determine best practices and standards applied in the management of human resource records in the ministry.

10. How would you describe the storage conditions for human resource records and other records in the Ministry /Department?
11. Please rate the state of physical facilities used to store human resource records and other records in your ministry/Department?

Facilities for storage	Suitable	Unsuitable	Inadequate
Office accommodation			
Filing cabinets			
Shelves			
Racks			
Cupboards			

12. Do you have a records disposal/ retention schedule covering all records created and received in the ministry/ Department?

Yes	No	Not aware
-----	----	-----------

13. If not how do you determine records for disposal?
14. In what format would you prefer human resource records to be created and maintained?

Paper	
Electronics	

Others please specify.....

15. Rate the performance of record management staff (where 1= effective, 2 = very effective, 3 = fairly effective, 4 = in effective and 5 = neutral)

	1	2	3	4	5
On a scale of 1-5, how would you rate the efficiency/effectiveness of records management staff?					

Objective D: Determine infrastructure and resources required to support sound management of human resource records in the ministry

16. a) Is Information Communication Technology used in the management of records

Yes [] No []

- b) If yes, in what ways are they used?

Mail registers	
Creation of records	
Storage of electronic records	

- c) What would you consider to be the advantages of using Information Communication Technologies (ICTs) to manage human resource records in the Ministry/ Department?

Enhanced retrieval	
Keeping of an inventory	
Saves on space	
Minimizes loss	
Backups	
Enhanced sharing	
File/records tracking and keeping an audit trail	
Facilitates easy appraisal and disposal of records	

- d) What challenges are encountered in using ICT in your Ministry? Please explain

Objective E: Challenges and strategies to enhance the management of human resource records in the Ministry/Department.

17. a) What challenges do you experience in the management of human resource records in your Section/ Department/Ministry?
- b) What other suggestions/proposals can you make towards the improvement of records management?

Appendix 6: Questionnaire for Clerical Officers

Instructions

This questionnaire is for the purpose of the research only and the information you give will be treated confidentially. Please answer all the questions provided as honestly as possible, to the best of your knowledge.

Section A: Background Information (Tick (✓) the appropriate option (bracket))

What is Current Ministry/Department?

What is your current Designation?

Please state your work experience.

Objective B: Investigate how human resource records are managed in the ministry

1. What are procedures for the creation and maintenance of human resource records?
2. In what format are records created and managed in your Ministry/Department?
3. Explain how human resource records are managed in the Ministry/Department.
4. What are your comments on the overall efficiency of the record keeping system in the Ministry/Department?
5. How are you able to achieve the following record keeping controls in your day to day operations in the Ministry/Department?
 - a) Creation and capture
 - b) Tracking of the records
 - c) Metadata capture and audit trails
 - d) Security of records
 - e) Storage and maintenance
 - f) Retention and Disposal
 - g) Back-up of records
 - h) Management of vital records
6. How often do you dispatch mails belonging to other ministries or departments?

Objective C: Determine best practices and standards applied in the management of human resource records in the ministry

7. How suitable is the classification adopted by your Ministry/Department?
8. How do you dispose of non-current records?

Transfer to store	
Transfer to an established ministry records center	
Transfer to National Archives	
Do not dispose at all	

Others specify.....

Objective D: Determine infrastructure and resources required to support sound management of human resource records in the ministry

9. What tools are available in your area of work in the Ministry/Department?

Tool	Yes	No
Record management policy and guidelines		
Records Management Procedures Manual		
Classification scheme/File Plan		
Records preservation procedures and guidelines		
Records Retention/Disposal schedule		
Desk diary for bring ups		

10. Please comment on the appropriateness of above tools for use in the Ministry/Department?

	Quite satisfactory	Satisfactory	Unsatisfactory
Equipment			
Archival boxes			
Storage space			
Filing system			
Quality of staff			

- 11. What support do you get from the management towards the management of human resource records in the Ministry/Department?
- 12. Do you consider yourself having the necessary knowledge; skills and competencies to enable you manage both paper and electronic records effectively?

Objective E: Challenges and strategies to enhance the management of human resource records in the ministry

- 13. What other training/skills do you require to effectively perform your duties?
- 14. What challenges/problems do you face in the management of records?
- 15. What other suggestions/proposals would you make towards enhancing the management of human resource records.....

Appendix 7: Questionnaire for Secretarial Staff

Instructions

This questionnaire is for the purpose of the research only and the information you give will be treated confidentially. Please answer all the questions provided as honestly as possible, to the best of your knowledge.

Section A: Background Information (Tick (√) the appropriate option (bracket))

What is Current Ministry/Department?

What is your current Designation?

Please state your current work experience.

Objective B: Investigate how human resource records are managed in the ministry

1. What records do you require records for your day to day operations of your work?
2. Do you at any time handle human resource records?
3. If the answer is yes, for what purpose do you handle these records?
4. How long does it take to get a record requested from the Records Management Unit?
5. How do you exercise controls over records whenever they are under your custody?
6. In your opinion, are you satisfied with the management of human resource records in your ministry/Department?

Objective C: Determine best practices and standards applied in the management of human resource records in the ministry

7. Rate the performance of record management staff (where 1= effective, 2 = very effective, 3 = fairly effective, 4 = in effective and 5 = neutral) please indicate the extent to which you agree with the following statement?

	1	2	3	4	5
a). The support you get from records management staff in availing the required human resource records for use?					
b). movement registers for tracing of files					
c).Folioing of the letters in the file					

8. In your opinion, what measures can the staff put in place to improve human resource records management and quality service in the Ministry?

Objective D: Determine infrastructure and resources required to support sound management of human resource records in the ministry

9. In your assessment, what is the state of human resource records in the Ministry/Department?
10. On average, how long do files requested for action take in your office before returning them to records management unit?
11. How do you handle mails received direct from customers in your Ministry/Department?
12. What is the procedure for mail dispatch in your Ministry/Department?

Objective E: Challenges and strategies to enhance the management of human resource records in the ministry

13. What challenges/problems do you encounter with regard to records management in the Ministry/Department?
14. What other suggestions/proposals would you like to make towards enhancing the management of human resource records?

Appendix 8: Questionnaire for Information Communication Technology Staff

Instructions

This questionnaire is for the purpose of the research only and the information you give will be treated confidentially. Please answer all the questions provided as honestly as possible, to the best of your knowledge.

Section A: Background Information (Tick (√) the appropriate option (bracket))

What is Current working Ministry/Department?

What is your current Designation?

State your current work experience.

Objective B: Investigate how human resource records are managed in the ministry

1. What computerized systems are used in the Ministry and for what purpose?
2. Are any of these systems used to manage records?

Objective C: Determine the best practices and standards applied in the management of human resource records in the ministry

3. How the following record keeping controls are achieved using computerized systems?
 - a) Creation and capture of records
 - b) Tracking of records
 - c) Metadata capture and audit trails
 - d) Security of records
 - e) Storage and maintenance
 - f) Retention and disposal of records
 - g) Back up of records
4. What record keeping standards are considered when procuring computerized systems and /or workflow systems in the Ministry?

Objective D: Determine infrastructure and resources required to support sound management of human resource records in the ministry

5. What specific softwares are used to manage human resource records?

6. Are records management staffs involved in determining systems and software to be procured for use in the Ministry/Department?
7. What are the specific roles of Information Communication Technology (ICT) staff in managing records including human resource records?

Objective E: Challenges and strategies to enhance the management of human resource records in the ministry

8. Explain if computerization has improved the management of records in the Ministry/Department.
9. What other suggestions would you like to make towards enhancing the use of computer technology to manage human resource records in the Ministry/Department?

Appendix 9: Observation Checklist

Background information

What is Current working Ministry/Department?

Date of observation?

No.	Items to be observed	Details
	Records creation	Correspondence management Registration of incoming and Outgoing mails Quality of file Folders and papers Availability and use of standard forms Availability and use of computers
1	Records storage	Appropriateness of Equipment Layout and design and space adequacy Rooms for storage of semi-current and non-current records Security of records
2	Filing and maintenance	Classification system Arrangement Record management policy
3	Access and use	File retrieval tools File tracking system and tools Record access policy
4	Records security	Security measures Fire monitoring such as smoke detectors Electricity back-up etc Vital records programme
5	Records preservation	File wear and tear Presence of dust Leaking roof Monitoring instruments for temperature and humidity(Environmental Control) Vital records identification

		Preservation policy Physical location
6	Appraisal and retention scheduling	Presence of retention schedules Overdue records earmarked for disposal Records disposal certificate
7	Computer	Existence of computer Computer applications in records management
8	Electronic records	Storage equipment Back-ups

Appendix 10: Research Authorization from NACOSTI



NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY AND INNOVATION

Telephone: +254-20-2213471,
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Email: dg@nacosti.go.ke
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when replying please quote

9th Floor, Utalii House
Uhuru Highway
P.O. Box 30623-00100
NAIROBI-KENYA

Ref. No.
NACOSTI/P/16/38415/11276

Date:

25th May, 2016

Aloice Olali Sudhe
Moi University
P.O. Box 3900-00100
ELDORET.

RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on "*Assessment of the management of human resource records in Ministry of Health, Kenya,*" I am pleased to inform you that you have been authorized to undertake research in **Nairobi County** for the period ending **25th May, 2017.**

You are advised to report to **the Principal Secretary, Ministry of Health, the County Commissioner and the County Director of Education, Nairobi County** before embarking on the research project.

On completion of the research, you are expected to submit **two hard copies and one soft copy in pdf** of the research report/thesis to our office.


BONIFACE WANYAMA
FOR: DIRECTOR-GENERAL/CEO

Copy to:

The Principal Secretary
Ministry of Health.

The County Commissioner
Nairobi County.


The County Director of Education
Nairobi County.



Appendix 11: Research Permit

CONDITIONS

- 1. You must report to the County Commissioner and the County Education Officer of the area before embarking on your research. Failure to do that may lead to the cancellation of your permit.**
- 2. Government Officers will not be interviewed without prior appointment.**
- 3. No questionnaire will be used unless it has been approved.**
- 4. Excavation, filming and collection of biological specimens are subject to further permission from the relevant Government Ministries.**
- 5. You are required to submit at least two(2) hard copies and one(1) soft copy of your final report.**
- 6. The Government of Kenya reserves the right to modify the conditions of this permit including its cancellation without notice.**

REPUBLIC OF KENYA

NACOSTI
 National Commission for Science, Technology and Innovation

RESEARCH CLEARANCE PERMIT

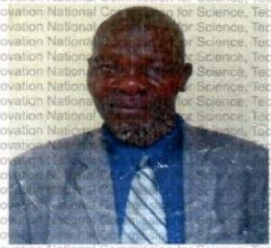
Serial No. A 9919

CONDITIONS: see back page

THIS IS TO CERTIFY THAT:

MR. ALOICE OLALI SUDHE
 of MOI UNIVERSITY, 0-100 Nairobi, has been permitted to conduct research in **Nairobi County** on the topic: **ASSESSMENT OF THE MANAGEMENT OF HUMAN RESOURCE RECORDS IN MINISTRY OF HEALTH, KENYA** for the period ending: **25th May, 2017**

Permit No. : NACOSTI/P/16/38415/11276
Date Of Issue : 25th May, 2016
Fee Received : ksh 1000


Director General
National Commission for Science, Technology & Innovation