

**A Work Plan for Digitising Personnel Paper Records for Residence District
Commissioner's Offices at Kyadondo County Head Quarters**

By

Nakasolya Rebecca

16/U/8587/Eve

**A Project Report Submitted in Partial Fulfillment of the Requirements for the Award
of Degree of a Bachelor of Library and Information Science of
Makerere University**

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Declaration

I, Nakasolya Rebecca, hereby declare that this research report entitled “A Work Plan for Digitising Personnel Paper Records for Residence District Commissioner’s Offices at Kyadondo County Head Quarters” is my original work carried out in partial fulfillment of the award of the Degree of Library and Information Sciences under the guidance and supervision of Dr. Fredrick Lugya Kiuwa. The matter embodied in this report has never been submitted for any academic award to any University or institution of higher learning.

Signature.....

Date.....21 / 08 / 2019.....

Nakasolya Rebecca

16/U/8587/Eve

Approval

This is to certify that this dissertation entitled "A Work Plan for Digitising Personnel Paper Records for Residence District Commissioner's Offices at Kyadondo County Head Quarters" by Nakasolya Rebecca has been submitted for evaluation for the attainment of the Degree of Bachelor of Library and Information Sciences of Makerere University under my supervision and approval.

Signature.....

Date.....21 / 08 / 2019.....

Dr. Fredrick Kiwuwa Lugya

Supervisor

Dedication

I gladly dedicate this dissertation to my lovely parents Mr. Samuel Nakaswa and Mrs. Judith Nakaswa for their financial support towards my education at the University, my brothers and sisters plus all my friends for their initiative, ideals, training and principles that have taken me to this level of my education.

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May the God bless you all!!

List of Abbreviations

DWR	-	Daily Work Report
EASLIS	-	East African School of Library and Information Sciences
EDMS	-	Electronic Document Management Systems
EDRMS	-	Electronic Document and Records Management Systems
ERMS	-	Electronic Records Management Systems
HOD	-	Head of Department
I.T	-	Information Technology
ICTs	-	Information Communication Technologies
RDC	-	Resident District Commissioner

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Abstract

The purpose of the study was to develop a work plan for digitizing personnel records at Resident District Commissioner's Office at Kyadondo County Head Quarters. The objectives of the study were to; determine the types of personnel records managed, examine how personnel records are managed, evaluate the level of adoption of ICTs in the management of personnel records, and develop a work plan for digitizing personnel records at Resident District Commissioner's Office at Kyadondo County Head Quarters.

The study used a case study research design while adopting a qualitative approach to data collection. Data was obtained through the use of interviews and observation methods. In the study, 1 RDC, 1 Deputy RDC, 3 records officer, 3 Human Resource Officers and 2 secretaries who have access to the personnel records were purposively to participate in the study.

The study established that RDC's office generates a number of personnel records which include; personal requisition forms, job application documents, memorandums, interview documents and reports, reference checks, acceptance letter, contract terms and conditions, personal records, leave forms, resignation letters, bank loan documents, salary advance forms, which exist in both paper and electronic formats.

There are various personnel records management practices at RDC's office which include; registration of all the personnel records, tracking of personnel records, folioing of personnel records, classification of personnel records, filling of personnel records, storage of the personnel records and maintaining security of personnel records at RDC's office.

The study established that there different ICTs which can be used in the digitisation of personnel records were; computers, photocopiers and scanners. The records staff had all the skills and knowledge needed in the digitisation of the personnel records at the RDC's office.

The study also revealed different loopholes for the personnel records management at RDC's office which include; incompliance from the staff, delay with the files, inadequate backups, insecurity of records, misplacement of record files and the lack of a personnel records management policy. This showed a need for the work plan to ensure easy access to the personnel records.

Chapter One

Introduction to the Study

1.1 Introduction

This chapter presents background of the study, statement of the problem, purpose of the study, objectives of the project, significance and justification of the study.

1.2 Background of the Study

Records management is as old as human history. The first record keeping was done by human kind more than 5,000 years in Egypt and ancient Sumer. The earliest Sumerian records were made using reeds cut at a slant to form wedge-shaped marks on clay, which was then baked hard (Cumming, 2010). Many of these clay tablets survive today, and scholars can even understand them. The earliest records look like accounts; lists of cattle, sheep and straw (Nicholson, 2008).

Records are important as they make a great role for the organization process. The human resource management in both private and public sectors across the range of functions depend on the existence of information held in the records for their efficiency and effectiveness. All over the World governments and organizations as well as individual people use different ways of keeping records to assure that the documents are well managed (Bitekerezo, 2013).

The field of records management has over the past two decades undergone great advancements and this is mainly due to the emergence of modern information communication technology (Kasozi, 2012). The adoption of ICTs in organisations has improved on the performance of tasks (Wamukoya, 2016). Records are the life blood of organizations and as such are seen as vital resources that need to be managed like other resources in organisations such as human resources, finance and supplies (Kayumbe, 2014).

Tusubira and Mulira (2012) argued that at the organizational level, it is widely accepted (though not fully appreciated) that the integration of ICT in organizational functions is necessary for increased efficiency, cost-effectiveness and competitiveness information in various forms (Toyo, 2017). Organizations today

have adopted the use of ICT in order to cope with the ever increasing information generated within the organization (Lyman, 2014).

The use of information technology cannot be ignored in any sphere of human endeavors. Olayemi (2007) posits that ICT is computer-related technology used to process, store and transit data. Since the early 1990's ICT adoption and use in management of organizational and government affairs was effected with great initiatives (Luyombya, 2011). Wafula and Clark (2015), concur that the use of ICT's was recognized in Uganda to improve efficiency and effectiveness of government through the different initiatives since 1990.

Baryamureeba (2008) argues that the overall goal of adopting ICT use in the country is to promote the development and effective utilization of ICT with access to a wide range of online services. These online services range from electronic files and documents, networking information systems and emails. All these online services constitute records as they hold information relevant and evidence of institutional operations and administration.

As noted earlier, emails facilitate easy and rapid exchange of information that simplifies communication in large and geographically distributed organizations (Dabbish and Kraut, 2016). Personnel records if properly managed are assets that assist individuals and organizations in meeting their goals. As noted by Brendan (2012), effective personnel records keeping provides evidence of business transactions between individuals, groups or organizations guaranteeing transparency and accountability, revamping continuity in civil service functions and strengthens financial management.

Brendan (2013) notes that today, the proportion of information on electronic media is increasing exponentially and modern technology is rapidly changing the way governments, institutions, organizations, and individuals conduct their businesses and thus altering the nature of records and archives being created.

The proper management of personnel records today requires extensive manifestation of the digitization programmes for organisations to achieve their objectives. Digitization is defined as the process of converting the content of

physical media, including, but not limited to, periodic articles, books, manuscripts, photographs, film, and audio, to a digital format (Feigel, 2015).

Feigel (2015) further argues that this practice has brought significant benefit to libraries, museums, and archives internationally, as digitization, combined with increasing capacity of storage and worldwide internet connection to this information, causes rapid changes from the use of the traditional collection management format of using, managing, and accessing knowledge and information related to these collections (Feigel, 2015).

1.3 Background to Kyadondo County Head Quarters

The office of the Resident District Commissioner just like any other office has got its mandate as stipulated by the Constitution, the Local Government Act 1997. It depicts the functions of the RDC as a representative of the President and the government in the district, coordinate government services in the district, advise the district chairperson on matters of a national nature that may affect the district or its plans or programmes and particularly the relations between the district and the government.

The article 203 of 1995 Constitution also provides for the establishment of the office of the RDC and the roles provided for as; to monitor implementation of central and local government services in the district, to act as chairperson of the district security committee, to carry out other functions as may be assigned by the President or prescribed by Parliament, and inspect the activities of local governments.

Resident District Commissioner's (RDC) offices at Kyadondo County Head Quarters has a number of information which are generated from the different activities undertaken at the office such as; general meetings, carrying out workshops, passport applications, crime resolution records. It has a well-established infrastructure in terms of computers and Internet facilities though majority of the records are in paper form which causes a number of challenges during the storage, preservation and retrieval these records.

RDC's Office at Kyadondo County Head Quarters provide a number of services to workers, staff and other members of the community with the different kinds of

records they need from the observations. Telephone and direct email services is also offered to the users of the library. It is possible to access email from almost everywhere within the ministry through the wireless system.

The choice of the RDC's Office at Kyadondo County Head Quarters is based on the fact that the office is responsible for a number of activities. The offices are using a manual records management system post its initiation. However, the apparent transitions in technology have greatly influenced a shift from traditional manual records system, to electronic and digital systems to some level, although much of the registry activities are still largely handled manually.

According to the Nankya (2018) illustrating the offices' future plans, records management is prioritized and digitizing as well as shifting from devastating and fading manual records management systems would be implemented to improve the state of records in the Resident District Commissioner's Office at Kyadondo County Headquarters. The offices also receive a number of electronic most especially emails which are systematically saved in folders for future reference.

It is upon this background that the researcher is prompted to conduct this study to develop a work plan for the digitization of the personnel records at RDC's Office, Kyadondo County Head Quarters to best deal with digital records to promote efficiency and effectiveness in service delivery in the institution.

1.3.1 Personnel Records Centre at RDC's Office

The Resident District Commissioner's Office at Kyadondo County Headquarters is guided by a vision and a mission in its institutional operations like any other organisation. The RDC's Office is responsible with the management of employees. There are a number of activities carried out at the office that lead to generation of the employee records. Employee records are duly created for administrative purposes.

Personnel records provide a basis for decision making in every area of personnel work, including human resources forecasting and planning; recruitment and selection; employment (including promotion, transfers, disciplinary procedures, termination and redundancy); education and training; pay administration; health, safety and welfare.

Employee records are generated from the human resources and kept in the file cabinets for future reference and use. It is very important to efficiently manage the records due to their role played in ensuring accountability and decision making in the organisation. IRMT (2011) stated that it is impossible to eliminate ghost workers from the payroll unless it is possible to establish an authoritative list of staff. This can only be provided from accurate personnel records.

The RDC's Office generates a wide number of employee records such as pay roll records, leave files, the workers health records, policy manuals that are used in the management of workers. Staff files are important as they serve as evidence that an employee really exists and that the employee's grade is appropriate to the paid salary and that any additional benefits are correct and duly authorized

Personnel records are kept in the records centre managed by three (3) staff. Employee records should be properly and systematically managed to foster such democratic values of transparency, accountability and good governance. If personnel records are not properly managed or misplaced, then valuable evidence of who did what, when, why and how would be lost forever and may result in litigation.

Accurate, complete, reliable right information available in personnel records assist administrators for academic planning, personnel management particularly staff training and development, payment of pensions and gratuities, staff retirement, payment of wages and salaries, conflict resolution.

1.4 Problem Statement

Personnel records, which are the most fundamental source of government information about its civil servants, are only beginning to be managed as a strategic resource (Marutha, 2011). Almost all the personnel records at the Resident District Commissioner's Office at Kyadondo County Headquarters are managed in the form of paper. Due to the numerous amount of information gathered more time is delegated when sorting this information and locating the needed information from records kept. Records misplacement rate is alarming, shortage of records storage space, delays and inconveniences clients experience during their visitation to the offices in search for their records hence creating a mirage of backlog files. Majority

of records remain in closed paper files are not weeded and exist in large quantities. The storage areas are congested with large quantities of Government of Uganda publications and printed material and the lack of guidelines to promote the management of the digital records. It is in this light, that the researcher is prompted to develop a Work Plan for Digitising Personnel Paper Records for Residence District Commissioner's Offices at Kyadondo County Head Quarters.

1.5 Purpose of Study

The purpose of the study was to develop a work plan for digitizing personnel records at Resident District Commissioner's Office at Kyadondo County Head Quarters.

1.6 Study Objectives

The study objectives were;

- i. To determine the types of personnel records managed at RDC's Office at Kyadondo County Head Quarters
- ii. To examine how personnel records are managed at RDC's Office at Kyadondo County Head Quarters
- iii. To evaluate the level of adoption of ICTs in the management of personnel records at RDC's Office at Kyadondo County Head Quarters
- iv. To develop a work plan for digitizing personnel records at Resident District Commissioner's Office at Kyadondo County Head Quarters.

1.7 Research Questions

The study was guided by the following research questions;

- i. What are the different types of personnel records managed at RDC's Office at Kyadondo County Head Quarters?
- ii. How are personnel records are managed at RDC's Office at Kyadondo County Head Quarters?
- v. What is the level of adoption of ICTs in the management of personnel records at RDC's Office at Kyadondo County Head Quarters?
- vi. How can a work plan for digitizing personnel records at Resident District Commissioner's Office at Kyadondo County Head Quarters be developed?

1.8 Justification of the Study

This research will be justified by the fact that personnel records are key resources for development and sustainability of the public service. It is thus, important to consider the best ways to manage personnel records in all formats. Blunt (2015) provided a technical point of departure by pointing out the link between bureaucratic accountability of government officers and organizations, transparency and the availability and validity of information.

Government policies are vulnerable to poor quality information in the same way that information about the economy and market conditions is essential to valid private sector calculation (Blunt, 2015).

Also enhancing personnel records management through technology is an important phenomenon in Uganda and there has been no research on the question of the many strategies adopted by the government to gain control and provide better services to citizens. It is therefore, important at that moment to pay attention to personnel records management in various formats.

Similarly, if implemented could assist the government to improve its records management infrastructure for public service. Finally, improved personnel management on the one hand, and better management of personnel records on the other is crucial to securing the reform process and modernization of the public service.

1.9 Scope of the Study

This section presents the conceptual, geographical and the time scopes of the study as described below;

1.9.1 Conceptual Area

The study focused on Developing a Work Plan for Digitising Personnel Paper Records for Residence District Commissioner's Offices at Kyadondo County Head Quarters.

1.9.2 Geographical Area

The study was carried out at Residence District Commissioner's Offices at Kyadondo County Head Quarters.

1.9.3 Time Scope

The study was carried out in a period of two months from May to August as predetermined by the department of Library and Information Sciences, Makerere University.

1.10 Significance of the study

The primary beneficiaries of this study will be:

RDC's Office at Kyadondo County Head Quarters: The study will provide RDC's Office at Kyadondo County Head Quarters lead to the digitization of the personnel records that will lead to effective personnel records management thus enabling quick service delivery.

Researchers: The study results shall also be used as a reference point for future studies in the digitization of personnel records. Future students of Makerere University particularly those from the department of library and information sciences shall find it useful for their research studies.

Researcher: The researcher shall also gain the award of Bachelor's degree upon successful completion of the research study. It is a prerequisite for the award and thus shall be a great achievement to the researcher.

1.11 Definition of Key Terms

Digitization: Digitization is the process of transforming analogue material into binary electronic (digital) form, especially for storage and use in a computer (Pearce, 2015).

Digital Record: According to McDonald (2016), these are records which are created shared or managed through the use of electronic means. Also, Tafor (2013) defines digital records as Information obtained through the use of ICT environment; these records may have or not have a paper record to back it up.

Record: According to Akor and Udensi (2014), a record means any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means.

Records Management: Adenike (2013) states that records management is an aspect of work that manager often look down on until they need a vital record that is not within reach. He further notes that good records management can enhance organization's performance even its decision making abilities and organizations should ensure that any record created can be used to support evidence of its transactions in a court of law.

Chapter Two

Literature Review

2.1 Introduction

This chapter reviews related literature on the digitization personnel records according to the objectives in order to establish a research gap.

2.2 Types of personnel records managed in government offices

Human resource planning determines records created in the everyday procedures of HRM. These records are traditional papers which are kept in files, however, progressively they might be held in the electronic arrangement (Madulu, 2016). HRIS is additionally prone to rely on upon information sheets that may give "evidentiary" information, including authorizations and endorsements. HRIS may catch this information during preparation of HR occasions, for example, appointments or promotion, however, unquestionable proof of these occasions should even now be kept up as records (for instance, letters of appointment or promotion).

The analysis procedure itself is liable to create reports, records of discussion and internal correspondence, some of which may need to be continued kept in policy files. In a completely computerized framework, HR records and reports might be held electronically, yet it is likely that manual staff documents and policy or subject file will keep on being made will be held in a central recording system. Planning record ought to be as a component of the development of all plans. They can give valuable experiences into the evolution of practices and inform the improvement of future plans and policies (Marutha, 2011).

2.2.1 Recruitment Records

Enrollment or choice includes various diverse procedures, including filling of new or empty vacancy, advertisement of the vacancies to be applied internally or externally, interviewing applicants, testing of the applicants to measure their aptitude levels (Madulu, 2016). The enrollment procedure may include communication in individual, by means of phone through general print based exchange through the internet or by email.

Records must be kept to report appointments as well as to confirm that the enlistment procedure has been competitive, reasonable, and straightforward and with regards to built up guidelines and strategies. In a few circumstances, sound tapes might be made in the interviews and should be dealt as records. Records archiving the enrolment procedure ought to be kept up as a subject or case files by the organization that is most straightforwardly required with the enlistment procedure.

The enrolment procedure may likewise incorporate the issue of a report or "warrant" approving the filling of the position. Once a hopeful has been chosen, the records identified with unsuccessful competitors ought to stay on files for a specific period, on the off chance that, for the occasion, applicant inquiries the determination procedure or the organization wishes to consider the candidates for different positions (Ndenje- Sichelwe, 2011).

2.2.2 Promotion Records

Promotion of the employees in the organisation cannot be ignored as it can help the employees to reach the personal goals, therefore the reason of the organisation to promote an employee is normally based on the different assessment of the individual based on different factors such qualifications, performance experience and the potential of the individual (Cover 2007). The information of the employee to be promoted can be obtained through the performance appraisals and others record kept in individual person file.

Promotion record are very important in the organisation because through them is where we can get the basis of merit demands of the true information of the employee. This is to say that all information based on promotion of the employee must be kept on the personal file of the every employee in the organisation. Promotion records are there in the organization to ensure the increase in pay for the purpose of pension. Thus any information related to promotion are very important for enabling the payroll is currently and pension requirement is met when the time reach (Marutha, 2011).

2.2.3 Payroll Records

Payroll records in the organization are very important as they are used to verify the

amount that the employee is being received according to the his or her position, level of education, qualification, grade salary scale and any allowances entitled to be paid (Medina 2008). For example an acceptance letters, copies of letter of appointment and others information related to the employment of a candidate will likely be sent to the organisation accounting office to ensure the individual is added to the system of the payment.

Therefore, each human resource activities that influence change to an employee payment and allowances will influence changes in the payment system, therefore the effective management and communication of same information is very important to maintain the accurate payment. Clearly there is requirement to integrate system and business process that are involved in separate but related function. Payroll record was the one of the best business function to be computerized. Initially pay information for every individual are maintained in database.

As such system still available, large organisation are used payroll information as a part of combined financial management system so that record affecting different business process need to be entered into computer. The need of computerization, payroll records were stored in register and pay list with payroll files maintained to hold the form and documentation required to request, authorize and direct change to payroll for individual employee (Adamson and Zampetti 2011).

Payroll system also increased efficiencies and effectiveness in payroll management, whereby employees get their compensation timely and reduced the risk of entering the calculation error greatly since electronic payroll allows an organisation to keep employee records integrated with payroll data which are helpful when it come to make change in pay scheduling and keeping track of employee work hour (Johare and Rietsema 2013).

2.2.4 Training and Development Records

Every new individual from staff obliges to prompt their employments and to the organisations overall. During their careers, staff members ought to likewise get open doors for further instruction, preparing and individual and expert advancement. Once in a while, if the preparation is broad or excessive, holding

might be needed: the worker concurs that in return for access to instruction or preparing, he or she will embrace to work for the business for a particular endless supply of the preparation.

Where conceivable, examinations about instruction and preparing ought to happen during the worker's performance assessment and reported in composing a confirmation of choices considered and choices made. The new worker's prompt line managers and the HR officer will have a joint obligation regarding dealing with the records of staff incitement and beginning preparing. Prompting records identified with particular workers ought to be set on their individual staff document.

Demands for preparing or instruction, alongside endorsements or dismissals, data about courses went to, post-preparing reports and testaments or different records of capabilities ought to be set on the staff documents or caught electronically (McDonald 2016). Electronic devices in keeping digital records improve accuracy, transparency and provision of timely and quick access to training and development records for both employees and employers in organisation (Ngai and Wat 2016).

A different arrangement of records on preparing opportunities, for example, depictions of courses or data about instructive foundations should be kept by the HR unit as subject document. Progressively data about preparing and capabilities is kept electronically in HRIS to permit HR supervisors to screen and assess preparing necessities and opportunities over the organisation (McDonald, 2016).

2.2.5 Human Resource Planning, Monitoring and Policy Development Records

Human resource planning is in charge of evaluating and checking the organisation's HR needs, planning for the future and creating suitable policies and guideline. Planning and observing activities may relate, for instance, to enlistment needs; aptitudes investigation; age and sexual orientation profiles; rearrangement of the workforce position, administration, conservation, or the recognizable proof of staff due to retirement and the effect on benefits plans.

Policies cover a wide range of activities and those activities are occupation and evaluating structure, codes of conduct, grievance procedures well being and security, work relation and levels of nonappearance. Administrators undertaking planning monitoring and policy advancement should get to information about

current workers with the goal they can make the analysis about existing and future HR prerequisites (Mc Donald, 2006).

Human resource planning determines records created in the everyday procedures of HRM. These records are traditional papers which are kept in files, however, progressively they might be held in the electronic arrangement. HRIS is additionally prone to rely on upon information sheets that may give "evidentiary" information, including authorizations and endorsements. HRIS may catch this information during preparation of HR occasions, for example, appointments or promotion, however, unquestionable proof of these occasions should even now be kept up as records (for instance, letters of appointment or promotion).

The analysis procedure itself is liable to create reports, records of discussion and internal correspondence, some of which may need to be continued kept in policy files. In a completely computerized framework, HR records and reports might be held electronically, yet it is likely that manual staff documents and policy or subject file will keep on being made will be held in a central recording system. Planning record ought to be as a component of the development of all plans. They can give valuable experiences into the evolution of practices and inform the improvement of future plans and policies (Marutha, 2011).

2.2.6 HRIS-Generated and Desktop-Generated Records

The storage, search, distribution and access capability of electronic systems has encouraged users to dispense with the paper copy (Cover, 2007). With the introduction of the computers in many working environments, personnel records created electronically are stored with changing degrees of formality and standards on the desktop itself (Cumming, 2010).

It is of value that HR managers continue to create records in paper form after the installation of the HRIS. However, once the computer system is fully operational it is common to discontinue the maintenance of paper records systems. But, this would require that effective digital records management procedures to be in place and working well to ensure the documentation and preservation of reliable and authentic evidence in electronic form (Cover, 2007).

Payroll records seemed to be the first business functions to be computerized.

Initially, pay records for each employee were typically maintained in a stand-alone database. While such systems still exist, large organisations are now more likely to administer payroll as part of combined or integrated personnel, payroll or financial management system so that data may be entered in the computer for documentation and archival saving (Adamson and Zampetti, 2011).

2.3 How personnel records are managed in government offices

According to Horseman (2011), it state that, the government it have responsibility to maintain and preserve the record in proper and orderly way. According to this theory the records must be accessible and useable, as much to carry out its own business as for political, administrative and juridical control; as memory and evidence. Records are increasingly stored in electronic formats which create additional demands on their management. Points of departure and methodologies must be tested for their correctness and their usefulness in the digital age.

Most organisations undertake various basic human resource or workforce management functions, including human resource planning; monitoring and policy improvement; establishment control; enrollment; appointment; performance assessment; staff training, promotion, recommendation and transfer, disciplinary and grievance procedures; participation, leave, and disorder; payments and remittances (Matula, 2015). Every one of these activities produces records that should be captured and oversight in recordkeeping frameworks, paying little heed to whether the records are in paper or electronic configuration (Majó, 2012).

There is only one criterion which makes a record, an electronic one. An electronic record contains machine-readable information, as opposed to a paper file which contains human-readable information. Machine-readable records cannot be read without the proper hardware and software. A coding process of the information (converting the data into an electronic signal) makes the record machine-readable. Once an electronic document has been printed, the printout is not an electronic record, since the information is now in human-readable form (Wallace, 2016).

Electronic records should be preserved in such a way that its form, retrieval, reliability and authenticity as evidence of a particular activity are not

subject to change, bearing in mind the safety of the records. For example, if the information in the medical records is changed, it will eventually be useless or misleading to clinicians and nurses during a patient follow up visit. That in itself is a health risk since the doctor may repeat the same prescription or treatment conducted during the first consultation (Ojo, 2009).

However, IT is a good tool that can be utilized in smoothening access to records. The East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) are still far behind with the adoption of IT for records management. (Ndenje-Sichalwe, 2011). Kenya and South Africa are good examples of lack of records management automation. This may be because computation of archival services requires the purchasing of hardware, software, training, consultancy, networking, system maintenance, user friendly system identification, records security measures to prevent unauthorized access and virus prevention against data corruption (Ndenje-Sichalwe, 2011).

Digital records are now received in a large number of archives. Due to the size some of these records are now losing value as a result of its age, which is round about 15-20 years. This shows a very serious need to strengthen effective and efficient management of digital records for easy retrieval and access to records (Stephens, 2010).

2.4 Level of adoption of ICTs in the management of personnel records

Adoption Process in digital records is the mental process that employees and management go through from the awareness of digital records to its infusion or becoming loyal users, and use widely in HR functions (Asogwa and Ezema, 2012). Record keeping in public organization is very important since it facilitates Human Resource Management process through provision of crucial information necessary for decision making (Medina 2008). The life cycle of digital records includes creation, use, storage and disposition for most business and government entities. Some organizations archive certain records deemed invaluable, as the last phase of the life cycle when they are not destroyed (Wallace, 2016).

2.4.1 Creation

One of the biggest challenges for any electronic management system is to document the origination of new records in a logical and consistent manner for future use, retrieval and storage. What constitutes a record is established by the organization's policy. If correctly identified at the beginning of the life cycle, a record is easily accessible until the record's usefulness expires and it is destroyed. Depending on the organization, some records are created automatically by the system when certain data are entered into the computer. Other systems require an individual to create a record manually (Josiah, 2009).

2.4.2 Access and Use

Once a record is created electronically, it is normally distributed and used as an information tool for business or governmental purposes. For this reason, records are stored in a repository for easy access. While active, most records are warehoused, but accessed through a database with identifying information that labels the record (Wallace, 2016).

2.4.3 Storage and Maintenance

After a file has been used and is no longer needed regularly, a record is often stored as inactive. Records must be stored for access prior to being destroyed according to the rules stated as organisational policy. Part of the reason for such emphasis on proper storage relates to privacy issues. The prudent organisational policy addresses security as a major part of responsible record maintenance (Saffady and William, 2018).

2.4.4 Disposition

Records must be accessible for a certain number of years. Both private and public organisations keep records for litigation purposes, in case they were forced to defend certain actions taken in the past. How records are disposed of is of critical importance. Since electronic files can be restored in expert hands, it is critical that electronic files be erased with no possible way to retrieve the information (Josiah, 2009).

2.5 Challenges facing government offices in adopting ICTs

The process of managing electronic information or data for different human resource activities is having many obstacles for organization. This means that records in different principles of records management utilize the records in different format, it's more difficult to ensure that the context, content and the structure of the record in different do not have a physical format. Therefore these can affection the long term of system reliability and trustworthiness of electronic information (Saffady and William 2018).

When electronic record is managed there should be carefully planned and tailored approach and regulatory framework which operate the system in the organization in the organization. If the effective digital records management procedures are not well arranged, that records vital to business activities may become obscured in a digital or lost through obsolesces (McDonald, 2016). Electronic information or record needs much less storage space that paper records, therefore this help in saving out weight by others consideration.

The record which are kept for ten years are more are likely to be subjected to problems of technical obsolesces. Likewise, it is expensive to create and maintain a digital records programme compared to a-paper system recordkeeping. The process of preserving electronic record is higher and it having high cost because the system is need a sophisticated computer, therefore the good environment for specialized information technology staff in the most cases is very expensive.

Digital records sometimes can be corrupted and manipulated, therefore in order to avoid this situation there should be strong security rules which guide the issue of manipulating the information or records can be altered with ought the organization knowledge simply because the storage media and computers environment do not appear to have changed (Durant, 2009).

Technical change in the process of keeping records is inevitable , therefore it is advisable that the electronic to be preserved in electronic devices like computers environment and they should have a responsible and qualified personnel who is responsible to manage the record system which are important resources in the

organization (Ezima, 2012).

GAO (2012) on its study about Challenges in Managing and Preserving Digital records, revealed that records of historical value are not being identified and provided to NARA for preservation in the archives. As a result, valuable digital records may be at risk of loss. Part of the problem is that records management guidance is inadequate in the current technological environment of decentralized systems producing large volumes of complex records. Another factor is the low priority often given to records management programs and the lack of technology tools to manage digital records.

Finally, NARA does not perform systematic inspections of agency records and records management programs, and so it does not have comprehensive information allowing it to identify records management implementation issues and areas where its guidance needs to be strengthened. NARA plans to improve its guidance, and to address technology issues. However, NARA's plans do not address the low priority. Urassa (2009) found out that there is absence of e- record keeping and registry staff, this has led to the delays on files movements which takes a lot of time to find a file caused by reluctance of employees who deals with a lot of things and hence delayers who in decision making and problems solving; Poor communication among departments in registry offices which leads into misplacement of files.

Marandu (2007) revealed that there is challenge on effective record keeping in the public organisation, many employees, for example registry clerks and other staffs dealing with records an issues concerning records management do not have enough knowledge related to electronic record management. Therefore, it is important for them to learn proper principles of digital records management system in performing their daily duties and responsibilities. However, their studies could not determine the challenges for adoption of e-records for the management of human resources.

Majid and Abozava (2014) on the study of Computer Literacy among university Academic Staff: A case of IIUM, the study found that majority of senior staff members of International Islamic University in Malaysia are computer illiterate most of them are older staff member in non- academic departments. Kanuti (2014)

on the Challenges Facing Preservation of Vital Records in Public Sector in Tanzania, the study found that there is a shortage of IT experts in public organizations in Tanzania, thus some of public organisations, such as EWURA have failed to integrate its record management system into ICT.

2.6 Strategies for the digitization of personnel records

Attewell (2012) asserts that every employee in the organization should have the required knowledge for him or her to be able to adopt the new technology introduced into the organisation, therefore basing on this theory the organisation is required to ensure that the employees have the knowledge needed for adopting the new technology, the new knowledge can be acquired through workshops and seminar within the organisation premises or outside the organisation.

If the organisation won't equip its employees with required knowledge, it becomes difficult for the organisation to adopt new technology since the employees will fail to use the new technology for improving the employee performance and organisation performance. Thus, the organisation would get loss on purchasing new technology which cannot be used by the employees for improving the organisation performance (Madulu, 2016).

According to Abrahamson (2011), under conditions of uncertainty, organizations imitate innovation models promoted by "fashion-setting organizations" and that the diffusion rates and final levels of adoption of any given management innovation cannot be fully explained by rational or technically efficient arguments. In addition to techno-economic forces, socio-psychological factors have a significant influence in decisions to adopt and engage in continued use of a management innovation.

Thus, management fashion is largely a cultural phenomenon, shaped by norms of rationality and expectations of progress i.e. management must be seen to be always looking for improvement. The underlying expectation is that over time, the use of a specific management fashion will eventually decline and new fashions must emerge (Madulu, 2016).

Ndenje-Sichalwe (2011) on her study about the role of records management in the Implementation of Public Service Reform Programme in Tanzania revealed that

although the introduction of the PSRP had resulted in some efforts in reforming the records management practices in the government ministries, records in the government ministries were not well managed. The findings of the study established that current records management practices in the government ministries were accorded low priority, registry personnel were not adequately trained and the absence of specific budgets allocated to registry sections hindered the effective operations of the registries.

Additionally the research in records management sponsored by the Army Research International Records Management Trust (2007) on its study about *Fostering Trust and Transparency in Governance: Investigating and Addressing the Requirements for Building Integrity in Public Sector Information Systems in the ICT Environment, Tanzania case study*. The study revealed that PO- PSM use digital records, whereby it had embarked on a scanning programme to provide electronic copies of key documents that in future could be accessed through the HCMIS. Moreover, the study could not highlight the level of adoption attained for e-records for HRM.

Medina (2008) in her study cautions that e-mail must be managed as a business record; and it must be done in a manner consistent with existing records management policies and practices. Cover (2007) cites examples of poor e-mail management, which include ignoring retention and disposition requirements or not deleting e-mail messages at all. Medina argues that e-mail should not be treated as a records series by simply creating a store of all e-mail. The experience of the United States is an example of how governments can be adversely affected by poor management of e-mail.

The White House's practice of recycling back-up tapes before 2013 led to arguments that some e-mails were lost and has been the subject of several lawsuits. Sasali (2007) on his study about *Exploring Factors to the Effectiveness of Personnel Records Management in Public Organizations in Tanzania*, revealed that public organisations in Tanzania use digital records, and there are electronic devices for records keeping, but paper records are still used to the large extent, particularly on employees' employment records. However, their studies could not show the level of adoption attained.

2.6.1 Developing an Effective Digital records Management System

An electronic records management process should involve each layer of the organization. It must be created by a cross functional team, including representatives from top management, IT, legal, compliance and Human Resources. A representative from each area should be involved in setting expectations and comprehending the goals of the organization (Medina, 2008). In addition to cross-functional involvement in the development of the organizations' process, employers should provide all employees with training on the new electronic records management policy or process.

Every person has to be on the same page as to where and how given records will be stored. It is the only way to ensure consistency in the maintenance and retrieval of those records. Finally, employers embarking on a digital records management system should disseminate normal communications regarding the corporate policy on records management and should retrain employees after any great technology or process upgrades. Regularly revisiting the corporate policy or practice is a better way to ensure that it still meets the organization's needs, and is implemented as expected (Majó, 2012).

2.6.2 Factors influencing the digitization of personnel records in government offices

According to Kim and Galliers (2004) adoption process is influenced by the following factors.

Knowledge and Skill: Any organization should have skilled and knowledgeable people who can plan and implement HR policies of the organization. If the organization lacks this, it is likely to face difficulties in the adoption of a particular required appropriate technology. For example, if there is no any employee who knows how to use computer, the organization will not employ the device unless it undergoes training of its staff or hire a new employee with required skills and knowledge.

Funds: Adoption of new technology involves purchasing the technology; therefore if an organization facing shortage of funds or financial constraints will not be in the position to adopt the technology, even if the organization has employees with enough knowledge on the use of the technology.

Culture: Every organization has the ways or means of executing its daily activities. Such culture has created trust on the efficiency of technology they have been using for several years. When new technology is introduced, such organization is likely to become reluctant to adopt it.

Changing of the Status Quo: If the new technology would lead employees or management team to change or lose their position in the organization. The organization is likely to ignore the new technology.

2.7 Research Gap

Many reviewed studies based on areas such as factors for the effectiveness of personnel records management in public organizations, effectiveness of record management system in public organisations and factors affecting negatively proper records management practices in the Government agencies. In the reviewed studies, the researcher identified the gap on examining the digitization of personnel records, specifically examining how the personnel records are managed at RDC's Office at Kyadondo County Head Quarters. Furthermore, evaluating the level of adoption of ICTs in the offices and examining the challenges facing RDC's Office at Kyadondo County Head Quarters in implementing digitization of personnel records for human resource management have been reviewed and resulting into gaps to be filled by the study.

Chapter Three

Research Methodology

3.1 Introduction

This chapter presents the research design, area of study, population of the study, sampling method, sample size, data collection methods, data collection instruments, data analysis, data quality control, ethical considerations and limitations to the project.

3.2 Research Design

Katebire (2007) describes the concept research design to refer to a general strategy adopted for answering the research questions. The study used a case study research design. A case study is an empirical enquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident (Yin, 2003). It is clear from this definition that case studies involve an in-depth study of a unit which could be a section of an organisation or the organisation as a whole thus making it necessary to use a case study research design.

3.3 Area of Study

The study was carried out at Residence District Commissioner's Offices at Kyadondo County Head Quarters.

3.4 Study Population

Kombo and Tromp (2009) refers to population as an entire group of persons or elements that have at least one thing in common. The target population in this study will comprise of the workers at the Residence District Commissioner's Offices at Kyadondo County Head Quarters and the records officers, secretaries and the human resource officers who were responsible for the management of the records. The total population will be 19 people to be considered for the study.

3.5 Sampling

Sampling can be viewed as the selection of some representatives from a study's population of interest (Aina, 2012). Trochim (2006) warns that during sampling one should not concern themselves with having numbers that match the proportions in

the population but rather, should aim at having enough to assure that they will be able to comment on small groups in the population.

3.5.1 Sampling Techniques

This study adopted purposive sampling in choosing its respondents. According to Aina (2012), purposive sampling can be viewed as a judgemental form of sampling in which researchers, based on their knowledge of the population, handpick certain individuals for their relevance to the issues being studied. It is evident from this description of purposive sampling that one of its major advantages is that it increases the likelihood that researchers get at least some relevant information from the respondents at sites considered to possess certain characteristics crucial to the study. Purposive sampling was used to select from the population those respondents with prior knowledge on the topic of study.

3.5.2 Sample Size

The sample size entails the number of participants chosen from the whole population (Ngulube, 2005). Shapiro (2008) stated that the sample size of a survey most typically refers to the number of units that were chosen from which data were gathered. The sample size is as shown in the table below;

Table 1: Sample Size

Category	Number of Respondents
RDC	1
Deputy RDC	1
Records Officers	2
Human Resource Officers	3
Secretaries	2
Total	9

Source: Field Data (2019)

A sample size of only 9 respondents was used to represent the whole population under study. These included 1 RDC, 1 Deputy RDC, 3 records officer, 3 Human Resource Officers and 2 secretaries who have access to the personnel records.

The RDC and his deputy were selected to participate in the study because are responsible with the management of the workers at the office. The human resource officers were selected because they frequently use the personnel records on a daily basis in their operations such as payment of workers, performance appraisal and

recruitment of the workers among others. The records officers were also involved in the study because they are responsible with the management of personnel records at RDC's Office.

3.6 Data Collection Methods

The study used three methods of data collection which included the interview method, questionnaire method and the observation methods.

3.6.1 Interview Method

According to Sahu (2013), interview method is one of the most common methods of data collection, particularly in social and behavioural science. It is one common method of collecting primary data that involves verbal interactions between the researcher and respondent during which information is obtained for a study. The study employed structured interview that operates within a formal written instrument referred to as an interview guide. The method used to get the information from the RDC, deputy RDC, 2 human resource staff, 2 records officers and 2 secretaries (See Appendix 1).

3.6.2 Observation Method

Sahu (2013) asserts that observation is a planned, carefully and thoughtfully selected method of data collection. The researcher can observe the elements under the study without asking anything. This implies that if observation was taken accurately, then subjective bias was also reduced. However, while applying the observation method of data collection, a researcher should keep in mind the following; what to observe, how observations are required to be noted and how to ensure accuracy of the information. In addition to the above, Kothari (2009), noted that under the observation method, the information is sought by the way of investigator's own direct observation without asking from the respondent.

3.6.3 Document Analysis

O'Leary (2010) has defined documentary analysis as a collection of various forms of written text as a primary source of research data. The researcher analysed the documents which were found at Residence District Commissioner's Offices at Kyadondo County Head Quarters such as the records management manuals,

policies and procedures for records management, records management reports, and the organisation's website.

3.7 Data Collection Instruments

The study employed three data collection instruments that is; interview guide, questionnaire and observation guide.

3.7.1 Interview Guide

According to Ritchie and Lewis (2008), an interview guide lists questions, topics and issues to cover while collecting data especially in qualitative studies. Yin (2009), states that interview guides are deliberately constructed to collect in-depth data from the interviewees devoid of any biases. The guide contained open-ended questions and was semi-structured in nature. This allowed the researcher to collect detailed data which are flexible since semi-structure component implies that the questions set for the interviews are alterable and do not have to be followed verbatim as the need may arise in the course of the interview (Ritchie and Lewis, 2008). Open-ended on the other hand implied that the questions are framed in such a way that they can elicit both the facts and opinions from the respondents (Yin, 2009). It should be noted that although the interviews were conducted in a semi-structured form, data elicited were carefully recorded, coded and made ready for analysis and presentation (See Appendix 1).

3.7.2 Observation Guide

According to Kawulich (2015), observation guide refers to a list of aspects that the researcher is to be keen with, to study in the field. Observation guide was used to collect data in a particular setting therefore the observations focused on the setting and activities concerning the issues of concern of the study. This instrument was used by the researcher; characteristics fitting the situation are recorded down in a note book and analyzed during data collection (See Appendix 2).

3.7.3 Document Analysis Guide

A document analysis guide was used to collect secondary data needed for the study. This instrument guided the researcher to remain focused on all the documents which are in Residence District Commissioner's Offices at Kyadondo County Head Quarters concerning records management. These documents included conference

papers, reports, plans and policies which provided a rich insight and background into the current situation of records storage and retrieval at Residence District Commissioner's Offices at Kyadondo County Head Quarters. The method was used to get to provide a more organised approach to the background information that relates to the topic of records retrieval systems of at Residence District Commissioner's Offices at Kyadondo County Head Quarters (See Appendix 3).

3.8 Data Analysis and Presentation

3.8.1 Data Analysis

Nuria, Jaume, and Julia (2007) notes that data analysis involves questions that are partially on analysis techniques consisting of triangulating and enriching data from all possible sources. In qualitative research, data analysis can be viewed as the range of processes and procedures whereby the researcher moves from the qualitative data that have been collected into some form of explanation, understanding or interpretation of the situations investigated.

This is notwithstanding the fact that the analysis of case study evidence is the least developed and most difficult aspects of doing case studies (Yin, 2003). Yin (2009), further recommends that data analysis for case studies should be done by categorizing and testing qualitative evidence to address the initial proposals of a study.

In this study, data was grouped according to determined themes and analysis involving counting the number of certain phrases, events, activities, behaviors. He however warns that, the basic objective of data analysis is to derive conclusions from the data, keeping a clear chain of evidence from the data and all bits of data is a critical issue in this stage. Several common problems must be addressed during data analysis (Nuria, Jaume and Julia, 2007).

3.8.2 Data Presentation

According to Katebire (2007) defines data presentation is the process of looking at and summarizing data with the intent to extract useful information and develop conclusions. Data was first edited for possible errors to ensure completeness, accuracy, uniformity and consistency. This is carefully done to avoid changing the meaning of what the respondents will have presented. Data was presented with the

use of phrases and opinions. This brings order to the data collected and makes it meaningful because data analysis involves processing collected data into relevant information using qualitative data analysis approaches.

3.9 Data Quality Control

Data quality control in qualitative research is quite not simple and realistic but Nahid (2013) argues that the trustworthiness of a research report lies at the heart of issues conventionally discussed as valRDC's Officety and reliability.

3.9.1 Data Validity

Hopkins (2000), defines validity as how well a variable measures what it is supposed to measure. Edwards and Talbot, (2014) suggest that the valisidity of information is based on the extent to which the methods measure what they are expected to. validity is also seen as the extent to which a study is free from interference and contamination and control or variable manipulation.

3.9.2 Data Reliability

Reliability tells one how reproducible measures are in a retest. For reliability, the interview guides were pre-tested on a small group of staff from the APA (n=10) before distribution to the main sample. The pre-test exposed mistakes/errors which help put up counteractive action quickly before resources were seen on collecting data whose reliability and validity would (later) be questioned. The pre-test exercise was used to determine whether the questions are clear and could be understood by different respondents, which led to improvements in the precision of the questions and how they capture content.

3.10 Ethical Considerations

Mai (2011) argues that, writers differ widely on ethical issues in research; they often disagree on what is and is not ethically acceptable in social research. Ethics is very important in research and should be applied at every stage of research. The researcher applied the following to ensure that she complied with ethical standards for Makerere University research;

- 1) The researcher obtained an introductory letter from the Department of Library and Information Science, Makerere University upon completion and approval of the

research proposal. This letter authorized her for data collection and research report writing.

- 2) The researcher also obtained an acceptance letter from the Residence District Commissioner's Offices. This allowed and authorized the researcher to conduct the study and respondents to provide for data collection
- 3) The whole project report was compiled according to Makerere University undergraduate research project guidelines and format.

3.11 Study Constraints

The research study was limited by variety of factors which include: time, finances and access to information on the topic.

- 1) Time was a challenge due to the fact that the period allocated for the research is short to allow adequate collection of secondary data on the study.
- 2) Limited finances yet they play a major role in research studies of this kind. This is so because the researches needed to buy materials, print documents for data collection. Without finance the study was not to portray the true picture it supposes to produce.
- 3) The initial unwillingness of the officers at RDC's Office in allowing the researcher to use their personnel records for study and the provision of requested information.

Chapter Four

Presentation, Analysis and Discussion of Findings

4.1 Introduction

This chapter presents, analyses, interprets and discusses the study findings. The study aimed at developing a work plan for digitizing personnel records at Resident District Commissioner's Office at Kyadondo County Head Quarters. Data was presented according to the objectives of the study which were to; determine the types of personnel records managed, examine how personnel records are managed, evaluate the level of adoption of ICTs in the management of personnel records and develop a work plan for digitizing personnel records at Resident District Commissioner's Office at Kyadondo County Head Quarters.

4.2 Background Information

The study examined the respondent's level of education, experience and their position so as to draw conclusions on the results obtained in the study.

4.2.1 Response Rate

The purpose of this section was to examine the different categories of people who participated in the study. Interview method was used to determine the results of the study. Results are presented as shown in the table 2;

Table 2: Response Rate

Category of Respondents	Expected No. of Respondents	Actual No. of Respondents	Percentage (%)
RDC	1	—	—
Deputy RDC	1	1	14.5
HR Officers	3	2	28.5
Records officers	2	2	28.5
Secretaries	2	2	28.5
Total	9	7	100

Source: Field Data (2019)

Table 2 above shows the response rate in the study. 1(14.5%) was the deputy Resident District Commissioner (RDC), 2(28.5%) were the Human Resource

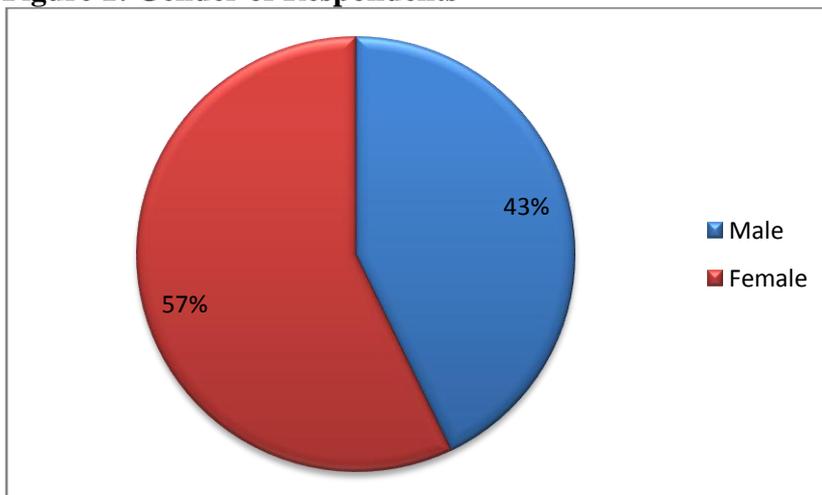
Officers, Records Offices and Secretaries respectively resulting into a total response rate of 78%. The total response rate for the study was high since all the majority respondents participated in the study as expected.

Foley (2015) noted that it's preferable to get a high response rate (70% or higher) from a small, random sample rather than a low response rate from a larger pool of potential respondents. Therefore the response rate justifies the results of the study can be generalized for the whole population at RDC's Office regarding the management of personnel records.

4.2.2 Gender of Respondents

The study aimed at examining the gender of the respondents so as to understand the ratio of female to male staff who participated in the study. Observation method was used to determine the results of the study. The results of the study are as shown in the figure 1;

Figure 1: Gender of Respondents



Source: Field Data (2019)

Figure 1 above shows the gender of the respondents who participated in the study at the RDC's Office. It shows that the majority of the respondents were female with 4(57%) and 3(43%) were the male who participated in the study. This proves what is said that the records profession is dominated by female. This is confirmed by Okite-Amughoro (2017) who referred the profession to as a feminine profession as the commonly held view.

4.2.3 Experience of the Respondents

This was aimed at understanding the respondents' experience so as to analyse their capability of understanding the management of personnel records at RDC's Office at Kyadondo County Headquarters. The interview method was used to examine the level of experience of the respondents who participated in the study. The respondents' experience is as shown in table 3;

Table 3: Experience of the Respondents

Period of Work	Number of respondents	Percentage (%)
2-5 years	2	28.5
5-10 years	3	43.0
10 years and above	2	28.5
TOTAL	7	100

Source: Field Data (2019)

Table 3 above shows that 2(28.5%) of the respondents had worked for a period of 2-5 years, 3(43.0%) of the respondents had worked for a period of 5-10 years and 2(28.5%) of the respondents had worked for a period of 10 and above years. The study findings shows that majority of the users had worked for 5-10 years at the RDC's Office. This is because the workers at the office are in good conditions, motivated and receive incentives while at work. This is a reliable group of people to participate in the study because they have experience on the personnel records.

4.3 Defining the project scope

The scope of the project was examined so as to set the limits of the digitisation project at the RDC's office. The mission of the project, activities carried out, frequent users and the personnel records generated are as described below;

Mission of digitising the personnel records: The study established the mission for the digitization of the personnel records at the RDC's offices and this is "to ease access and retrieval of personnel records at the RDC's offices."

4.3.1 Activities carried out that lead to generation of personnel records

The study also established that there various activities that are carried out at the RDC's offices that lead to generation of personnel records. These are as described below;

Recruitment of Employees: In the interviews with the human resource staff, recruitment of new employees at the organisation lead to generation of different personnel records. The assistant human resource officer said that this always happen when the organisation has gotten new projects from different donors thus a need for new employees.

Orientation of the Employees: From the interviews with the respondents, after the shortlist of the recruited employees, these are inducted which involves the communication of the duties and responsibilities to the employees.

Appraisal of Employees: The study also established that personnel records at the RDC's Office are generated from the appraisal of the employees. Through the appraisal of the employees, RDC's Office staff receive promotions, awards and salary increments which needs documentation thus generating of the personnel records.

Payment of the Salaries and Allowances: In the interview with the human resource officer, records at RDC's office are generated through the payment of the staff. Employees at RDC's office are paid on a monthly basis and these receive allowances according to the work done which leads to creation of records such as pay rolls, pay slips and others.

Training and Development: The study also established that RDC's office usually attempt to improve the current or future performance of the employees by increasing the ability of an employee through educating and increasing one's skills or knowledge in the particular subject. The study also revealed that training of the staff at leads to generation of more academic documents that supplement on the personnel records at the RDC's office.

4.3.2 Frequent users of personnel records at the RDC's office

The study established the frequent users of the personnel records at the RDC's Offices and below was the results;

Human Resources Staff: From the interviews with the respondents, personnel records are accessible to the human resource staff who are responsible with the management of employees at the RDC's office. The study also reveals that the

human resource staff are the creators of most of the personnel records at the RDC's office.

Government Agencies: The study also revealed that the RDC's office is a public office managed by the office of the president. It was revealed that government officers from the Ministry of Labour and Social Development, president's office and those from the office of the prime minister regularly visit the RDC's office to have access to the personnel records for a number of purposes.

RDC and the deputy RDC: In the interviews with the human resources staff, it was revealed that since the RDC and deputy RDC are the heads of the institution, they regularly ask for the personnel records for use in different activities. It was also established that most of personnel records are forwarded to the RDC for approval and acknowledging the transaction carried out at the office.

4.3.3 Kind of personnel records to be kept at the RDC's Office

The study established that there are different types of personnel records generated and stored at the RDC's Office as discussed below;

Recruitment records

The interview with Human resource officers revealed that RDC'S Office conducts internal employees recruitment whenever need arises and in most cases when they have a new project. It was also established that the external recruitment is carried out by the Public Service Commission (PSC). RDC'S Office uses physical files, boxes, flash disks, email, and computers to keep internal recruitment records, and parts of external recruitment records from PSC. One of the Human resource officers said that;

“Human Resource Department no longer receives physical job applications but only electronic application forms are received. These are passed through HR email links created for the applicants to submit their C.Vs, application letters and the necessary documents.”

The findings show that RDC's office conducts only internal recruitment by transferring employees from office of the president, this supported by URT (2009) that public employees can be transferred from parastatal organisation to another; the application for a post in a parastatal organization shall be made through the employer. The employer shall forward the application to the Parastatal Organisation

concerned and indicate whether or not he is prepared to release the public servant if selected for the post.

The recruitment records include; application letters, memorandums, conflict of interests, shortlists, interview documents and reports, reference checks and many others as below;

Job Application Documents: These include the employees' application letter, curriculum vitae, academic documents and all the other documents providing information about the employee.

Lists of shortlisted candidates: This has the communication of the shortlisted candidates to the panelists. This helps them to know the candidates they to know the candidates suitable for the interviews and plan well for them. These make sure that the panelists have no personal interests towards the applicants during interview so that clear decisions are made while hiring or recruitment.

Interview Documents and Reports: These shows the results of the interviews for the recruited employees. It shows who held the interviews and scores received by the candidates on different positions. These records help the HR personnel to contact the successful candidates to report at work for induction.

Acceptance Letter: This is a letter written by the new employee confirming that he/she shall perform the duties and the responsibilities under the pre-stated terms and responsibilities.

Contract Terms and Conditions: This document has all terms and conditions provided to the employee who intends to start working with RDC's Office. These include; the time of arrival and departure, salary and other accompanying allowances, the employees' supervisor and all other conditions pertaining the job.

Leave Forms: There different types of leave forms signed by the employees at the RDC's Office in case they are going to leave the work for some time. These depend on the purpose for the application of the leave and these include compassionate leave forms, maternity leave forms, annual leave forms, among others.

The findings show that not all recruitment records are kept by the RDC's office, only internal recruitment records(application letter, curriculum vitae and copies of academic certificates) and some of external recruitment records (employees selection report and the list of names of the new employees) from PSC are kept in hard copy files, CDs and computer. The findings are line with Sasali (2017) who revealed that public organizations in Tanzania use electronic records, and there are electronic devices for records keeping, but paper records are still used to the large extent.

Performance Monitoring and Evaluation Records

The interview with the Human resource officer revealed that performance appraisal records at RDC's office are kept in hard copy files, computer and then in the records management system. The human resource manager said that;

“Performance appraisal records are always kept in employees' hard copy files, but electronically are kept in computers for purpose of sending them to the project donors through the use of particularly when there is a need for employees' promotion or demotion”

These include the orientation checklists forms, orientation evaluation forms, goals documents, performance appraisal, probationary documents and confirmation of employment documents.

The findings show that performance appraisal records at RDC's office are kept in both hard copy files and computer. This means that the human resource manager and the employees are able to submit performance data directly to the HR department in electronic form, also it implies that employees promotion regarding to their performance might have been done on time and accurately. The same observation was done by Yeung and Brockbank (2015) and Bitekerezo (2013) who argue that electronic human resource management can impressively decrease time and cost for the HR department, since it executes various HR activities efficiently and effectively.

Financial Records

The human resource officer reported that these included the bank loan letters and documents, pay slips, salary increment forms and others.

Bank Loan Documents: From the interviews with the human resources officers, RDC's office employees request for salary loans from a number of banks. The employees sign a number of documents that act as the collateral security for the loans secured. These documents contain the amount of money earned and what the staff wish to get plus the grace period in which the loan would be paid. These are signed by the employee and the Head of Department for approval.

Salary Advance Forms: The study also established that RDC's Office staff request for the salary advances when they run short of money. There a number forms filled and kept in the registry showing the amount requested and the staff who received the salary in advance signed.

Payroll records: The interview with the deputy RDC and Human resource officers revealed that payroll records are kept in the RDC's office managed by President's Office and the Public Service Commission, also when brought from the president's, they are kept in hardcopy files and computer. The deputy RDC said that;

“We always keep payroll records by use of hardcopy file in the cabinets.”

Thus, employees at the RDC's office might have been paid their monthly salaries late yet paying employees in a timely and accurate fashion is an important part of keeping employees satisfied with their jobs and willing to work for RDC's office. Previous studies, for example Johare (2013) and Rietsema (2010) have dissimilar results, which show that electronic payroll system has increased efficiency and effectiveness in payroll management, whereby employees get their compensation timely and reduced the risk of entering and calculation errors greatly, since electronic payroll allows an organization to keep employee records integrated with payroll data, which can be very helpful when it comes to making changes in pay, scheduling, and keeping track of employee working hours.

4.3.4 Formats of Personnel Records at RDC's office

From the interviews administered and observation made on the formats of the personnel records at RDC's office, the following are the results of the study;

Paper Base Records: Form the interviews with assistant records officer, over 70% of the records at RDC's Office are in paper form. These are kept in the registry and offices in shelves and filing cabinets. As observed, appropriate security is provided

that is the Biometric System and security cameras to track the staff who misuse the organisation's records.

Electronic Records: these are mostly email approvals for grants received and sent at the RDC's Office. These are allocated to different projects according to the funders. In the interview with the records manager, currently the digitisation of the records at the organisation is taking place and the project is aimed at making all the records at RDC's office in electronic format which makes it easy to track and retrieve such records. Other electronic records may include email correspondences, job adverts, tracking template among others.

Despite of the directives by policy and regulations on the use of electronic devices, there are still the using hardcopies for record keeping, this implies that RDC's office might have been facing shortage of fund devoted for adoption of digitisation for Human Resource Management, thus both paper file and computers are used for record keeping. The same observation was done by Ndenje-Sichalwe (2011) on Role of Records Management of personnel records, revealed that the absence of specific budgets allocated to registry sections hinder the effective operations of the registries, particularly in maintenance of computers for electronic records keeping, thus the use of paper files will not be avoided since they can serve purpose when computers collapsed by virus, or there is power cutoff.

4.3.5 Access to the Personnel Records at RDC's office

The study also examined the access to the personnel records so as to setup the requirements needed before digitising the personnel records at the RDC's office. The responses are as described below;

From the interviews with the respondents, it was established that only the RDC, deputy RDC, human resource officers and the records officers have access to the personnel records kept at the RDC's office at Kyadondo County Headquarters.

Resident District Commissioner: This is the head of the institution who is responsible to give a go ahead on all the activities that take place at the office. It was established that the RDC has access to all the personnel records available in the office. The study also revealed that the RDC is responsible to issue out appointments and provided approval or termination of any employee at the office.

Human Resource Staff: The study also established that the Human Resource Staff have access to the personnel records because they are responsible with the management of the personnel records available at the office. These were reported as the creators of most of the personnel records available at the RDC's office.

Records staff: These were described as the custodians of the personnel records kept at the RDC's office. These are responsible with the management of the personnel records in the records centre. It was revealed that the records staff are responsible with all the records management activities such as registration of records, classification of the records, storage and retrieval of the records at the RDC's office.

4.4 Defining the timeline for the project

The study also examined the time that is the digitisation project is expected to take place, the responsible persons, and the deadlines for accomplishing the project as described below;

4.4.1 Period Required to Digitise the Personnel Records at RDC's offices

From the interviews and observation, the digitisation project at the RDC's Office will take a period of two (2) months depending on the number of factors as described below;

Amount of personnel records at the RDC's office: It was established that the RDC's office is currently managing hundreds of paper files for the staff. These are kept in folders where by the each employee is having a file. This is hinderance because it will require enough time to carry out the project.

From the interview with the records assistant, RDC's office has over 377 active personnel files and 56 box files kept. She also reported that each file contained over 300 paper records and box file had over 700 paper records.

The study established that majority of the personnel records are kept in closed shelves which store box files which also have numerous records. The file cabinets are always under key locked room. These hold about 260 personnel spring files. It was also revealed that the organisation is currently working on the purchase of the office trays meant to keep the active records in offices.

Number of records staff: The study also established that the RDC's office has only two records staff. In addition, one of the records personnel had gone for further studies which means that she rarely attend to the records management activities at the RDC's office.

Nature of photocopier and scanner in the office: From observation, the nature of the photocopier at the RDC's office can only scan documents in black and white and save to the computer. However, the scanner which can scan and save coloured images is very slow when it comes to scanning the many records.

4.4.2 Responsible people in the digitisation of Personnel Records

From the interviews, it was established that the records staff will be responsible with the digitisation of the personnel records at the RDC's office. The study established that the records manager will act as the project manager assisted by the records officer. This is because they have the knowledge and skills to effectively use the machines available in the office.

It was also established that the digital images shall need to registered, organised, classified and effectively stored for easy retrieval. The respondents reported that this is the work of the staff with such skills needed to manage the digitized images.

4.5 Project Planning

The study also examined the planning of the digitisation process so as to know whether the RDC's office has a policy on the digitisation of personnel records, copy right issues, and the documentation of the digitized images at the RDC's office. The results of the study are as described below;

4.5.1 Policy on Digitisation of Personnel Records

From the interviews, it was established that the RDC's offices had no policy and guidelines that can be followed in the digitisation of records. It was established that, the office is currently using the National Archives and Records Act which does not cater for the digitisation of the personnel records at the office.

The study established that when digital images are received or created at the RDC's office, folders are generated and named with an appropriate name which could be the name of the employee, activity carried out among others. The documentation of

such records takes place using a Microsoft access database that also provides the information which can be retrieved for by the records staff.

From the interviews, it was established that there is need for a database to store and manage the digitized images at the RDC's office. It was established that this will improve and facilitate the retrieval of information required on personnel records at the RDC's offices.

It was also established that to ensure the longevity of the master images of the vital personnel records, the master copies should be stored at the National Archives and Records Centre. The records staff reported that before digitisation of the records, guidelines for the digitisation of the personnel records shall be developed to support the digitisation process at the RDC's office.

4.5.2 Activities involved in the management of personnel records at RDC's offices

The study also established the current personnel records management practices as discussed below;

Registration of all the Personnel Records: in the interview with the Human Resource Officer, a records registration book for both the incoming and outgoing personnel records is in place to track all the records in the organisation. It portrays the type of record, the person who delivered the record, the person who received the record, the person taking the record, the one who gives away the record, date, and signatures which is done for the purpose of accountability.

Classification of personnel records: From the interview with the records manager, classification numbers are provided to the personnel records following a certain criterion. From observation, personnel files were classified and filed using alpha-numeric numbers generated by the records staff according to the project and the year of carrying out the project.

Filling of Personnel Records at RDC's office: From the interview with the records officer, RDC's office generates a number of personnel records which are put in folders and kept in the filing cabinets. These are retrieved whenever the need arises. The human resource officer reported that each recruited employee has a file with a unique identifier that is used in locating the files.

Labeling personnel records: Records are written on in a red pen ink which helps to track them in the organisation. If anyone removes a record, it can easily be traced and worked on immediately. For example 1a, 1b, 1c, 1d..... kind of labeling belongs to contracts and in case 1c is missing, it can easily be tracked. As well, 2a, 2b, 2c, 2d..... labeling is for the leave forms which are put in the file. If any misses, then questions may arise and tracked to restore the record.

Tracking personnel records: The study established that different trackers are used to know status of the personnel records at the RDC's Office. The interview with the records manager revealed that RDC's office uses a number of tools in tracking of the personnel records in organisation which include; file tracking register, file tracking card, use of barcodes, and physical check of files in the storage areas.

Movement of personnel Records: Records staff were asked to indicate whether they had systems or mechanisms for controlling the movement of records, majority of the respondents indicated that RDC's office had mechanisms put in place to cater for the transfer and movement of personnel records.

Access to the personnel records: Personnel records are kept so that they can be made available to authorized users when required. Before a records manager or records staff issues files or records he or she ought to ensure there is a system in place to ensure movement of those records and that they can be tracked from the point they leave the records centre to the time they are returned and shelved or kept in their right place.

Storage of the personnel records: From observation, personnel records at RDC's office are stored in a good condition appropriate which simplifies the retrieval of these records. The researcher also observed a number of records safely kept in spring files put in locked file cabinets with labels. The records centre also has box files which are kept in closed shelves.

Personnel Records Retrieval Practices at RDC's office: Personnel records retrieval is the use of finding aids to make available to a user a record or file from its place of storage. The study also established a number of practices carried out RDC's office that ensure effective retrieval of personnel records in the organisation.

Security of Personnel records at RDC's office: In the interview with records assistants, it was established that all the staff members must first present their Staff Identification cards to have access to the records. This enhances security of the personnel records besides the folioing and the biometric system among others. The researcher observed a security camera put in the at the entrance of the RDC's officer to view all the people who enter and exit the office. This is as shown in figure 2;

Figure 2: Security Camera at the Entrance of the Office



Source: Field Data (2019)

4.5.3 Challenges in management of personnel records at the RDC's offices

Poor filing systems: In the interview with the records assistant, she reported that majority of the staff end up filling wrong information into the system which makes the management personnel records very hard.

Non compliant staff at RDC's offices: The human resource manager reported that users of personnel records at RDC's office are not compliant with the file transit ladder and minutes sheet which makes it hard to trace the personnel records in case they are misplaced. These miss out filling of some important information claiming that the process is tiresome and exhausting thus ignoring it.

Delay with the records: The study also established that some officers at RDC's office over delay with the personnel records yet these may be needed in other offices. The delay with the records may also lead to misplacement and loss if not kept in the safe custody.

Manual records management system: The study also revealed that, most of the records were maintained using manual system and this was a serious problem because in case of any disaster such as water and fire outbreak, records will be totally lost without any recovery.

Misplacement of records: Misplacement and misfiling of records through carelessness especially by the unskilled personnel in the records unit and this implied that the information in the file was not complete there by leading to delays in decision making in an organization.

Poor quality equipment used: In addition to the above, the retrieval tools were not of good quality for example the file folders were of inferior quality hence prone to wear and tear of records, lack of dust masks and gloves exposed the personnel to the health hazard.

Lack of a personnel records management policy: one of the key respondents mentioned that, the library lacks a policy that would have provided the guidelines and procedure in management of the Personnel records at RDC's office.

The results show that RDC's office is facing Poor filing systems, Non compliant staff at RDC's offices, Delay with the records, Manual records management system, Misplacement of records and Lack of a personnel records management policy. The mentioned challenges have been hindering effective adoption of digitisation projects for human resource management records.

The findings indicate that some employees might be computer illiterate, thus have been avoiding the application of electronic devices, also such employees might have been presenting paper documents whenever asked to present digital records, leading to human resource officers at RDC's office wasting more time in converting the paper documents into electronic records. The similar result was revealed by Majid and Abazova (2014). The study found that majority of senior staff members in offices in Malaysia are computer illiterate, most of them are older staff members in non academic departments.

4.5.4 Suggestions for improving Management of Personnel Records

The study also established a number of measures that can be employed to improve the management practices of personnel records at RDC's office and these are;

Routine personal check on records while they are in action transit: The records manager reported that strict check-ups of the staff should be initiated in order to track the use of the record and for what purpose. This should be done before filing back the personnel records into the file cabinets.

Staff training about the principles of records management: One of the human resource officers reported there is need for training of the staff at RDC's Office on effective use of personnel records. The move and transfer of files in the organisations should be over emphasised and staff with all the relevant knowledge to ensure that this is done effectively.

Allocation of more funds to the records department: The records manager reported that more funds should be allocated to the records management section. RDC'S Office planning committee should allocate enough funds to records section to enable the Head of records management acquire equipment, supplies and facilities which are key in total management of records.

Employ more trained records staff: In the interview with records assistant, the organization should employ more records staff. All seminars and workshops organized should incorporate a module on records management to enable officers at all levels to appreciate the importance managing records in an organization.

Automation of records management systems: The assistant human resource officer said that there is need to automate the record storage and retrieval system due to the fact that the volume of records in the department is ever increasing and this will help to create the storage space for the new incoming records.

Improve on the records filing system: Besides that, records should be properly filed by ensuring that right documents are in right files and reviewing, updating the filing systems for efficient management and retrieval of information.

4.6 Defining the audience

The users of the records at the RDC's officer were also examined so as to be able to set the standards for accessing the personnel records before the digitisation process commences. The responses are as discussed below;

4.6.1 Internal users of personnel records at the office of the RDC's office

The study established that the internal users of the personnel records at the RDC's office were; the Resident District Commissioner (RDC), the deputy RDC, the human resource staff and the records. It was also revealed that there is restricted access to the records centre whereby only authorised people are supposed to access the personnel records. The researcher observed a biometric scan at the entrance that restricts entrance of unauthorised personnel in the records centre.

Figure 3: Biometric scan at the Records Centre



Source: Field Data (2019)

4.6.2 External users of the records at the office of the RDC's office

The study also revealed that the RDC's office is a public office managed by the office of the president. It was revealed that government officers from the Ministry of Labour and Social Development, president's office and those from the office of the prime minister regularly visit the RDC's office to have access to the personnel records for a number of purposes.

4.7 Evaluating assets

The study also examined the different ICTs and equipment that can be used in the digitisation of personnel records at the RDC's offices so as to identify the methods that can be used in the digitisation of the personnel records, ICTs that can be utilized in the digitisation of records. This is as described below;

4.7.1 Equipment is available to do digitization at the RDC's Office

From observation and interviews, the researcher found out that there a number of ICTs available at the RDC's office used in the management of personnel records. This was established so as to identify some of the equipment that can support the digitisation process at the RDC's office. The different ICTs available in the office are as discussed below;

Desktop Computers: The study established that there are two (2) computers in the RDC's offices, one in the records center and three computers were housed in the human resource. These can support the process of digitisation because once all these are utilized, it saves time to digitize hundreds of personnel records in the RDC's office.

Photocopier: From observation, it was established that the RDC's office has a Kyocera photocopier is currently used to reproduce copies of personnel records at the office. The researcher discovered that the Kyocera 5050 series have got a powerful scanner that can be use to capture images and transferred to the computer. Therefore once configure well, the photocopier in the office can support the digitisation of personnel records at the RDC's office. The photocopier observed in the RDC's office is as shown in figure 4;

Figure 4: A Photocopier in the RDC's office



Source: Field Data (2019)

Hp Scanner: From observed, RDC's offices have an HP Scanner which is small in the size that is used in scanning of their documents. The study established that this scanner can be of great use to support the digitisation of personnel records at the RDC's office.

Laptop: From observation, the records manager had a laptop in the office that is used to accomplish the office duties. It was established that this laptop can also be supportive in the digitisation of personnel records at the RDC's office.

The findings imply that the use of computers (which are connected to internet) might have made it easier for Human resource officers to spot employee's competence trends or to identify areas of weakness, also easily to retrieve and use training and development records as a basis for goal setting or aid in selecting staff assignments by matching competencies with required skills in a short period of time, moreover the use of computers might have provided more transparency to training records for everyone in the organisation.

This is consistent with Ngami and Watt (2016) who argue that electronic devices improve accuracy, transparency and provision of timely and quick access to training records for both employees and employers in the organization, also electronic devices such as computer enable human resource officers to format a profile of their staff, where they can identify their strengths and weaknesses, so they will know what they have in the personnel sense. Accordingly, they will be able to structure appropriate development promotion training and recruitment. Therefore the right people will be placed at the right time for quality human resource management and personnel management.

4.7.2 Digitized images or born-digital materials available

From the interviews, it was established that the RDC's office has few digitized images or born digital personnel records that are managed. These are stored in folders accessible to the staff whenever needed.

4.8 Developing the project plan

The study also examined how the digitisation of personnel records can be carried out so as develop a work plan that will support the digitisation of the personnel records at the RDC's office. This is as described below;

4.8.1 Staff training to manage digitization work at RDC's Office

The study established that all the records staff at the RDC's offices received all the required qualifications that were needed to manage the digitisation process. The qualifications for the records staff were as shown in table 4;

Table 4: Qualifications of the Records Staff

Category of staff	Qualifications
Records manager	Bachelor of Library and Information Sciences
Records officer	Diploma in Records and Archives Management

Source: Field Data (2019)

It was also established that the records staff had acquired skills to use the ICTs that were available at the RDC's office from the different trainings organised by the office of the president. The researcher also observed that the records staff had knowledge and skills to use the photocopier and the scanners in the records centre.

From the interviews, it was also revealed that the office of the president is supporting the records manager to attend to Masters in Information Science from Makerere University. This will support the records manager to obtain more knowledge and skills that will support the digitisation of personnel records at the RDC's office.

The availability of skilled and qualified records personnel will support the digitisation of personnel records at the RDC's office. The dissimilar observation was done by Kanuti (2014) on the challenges facing digitisation of vital records in public sectors in Tanzania, revealed that there is shortage of skilled records personnel in public organizations in Tanzania, thus some of the public organisations, such as EWURA had failed to integrate its record management system into ICT system, which impels all records movement to be conducted manually, thus the process has reduced efficiency to registry operations.

4.8.2 Benefits of Digitising the Personnel Records at the RDC's Office

The study also examined the importance of digitising the personnel records at the RDC's office so as to establish the need for a work plan for the digitisation of records at the RDC's office. This is as discussed below;

Save time and money with digital personnel records: The study also established that digitisation of personnel records at the RDC's office will save the time for the staff in the process of searching and retrieving these records. The records officer reported that it is not easy to search and find personnel records from filled up filing cabinets full of records.

Minimise Administrative Tasks: It was also revealed that digitisation of records at the RDC's office will reduce on the administrative tasks of searching and retrieving the personnel records needed. When the job applications forms, personnel questionnaires, sick leave requests, appraisals and annual reviews are digitized, saves space, promotes access, and leads to automatic import and indexing of personnel records.

Ensure Security and Privacy: The study also revealed that digitisation of records will promote the security for the personnel records available at the RDC's office. The study established that personnel records are very confidential, so access to these records will require a password. In addition, a retention period for documents can be set in order to delete application documents.

Remote Access: The study also established that digitisation of personnel records will promote access to these records even away from the office. The records staff reported that this will simplify the work of the external users of these records such as the staff at the President's office who regularly refer to these records. Authorised employees can also access digital files and information via the internet or app. If a member of staff wants to see their last three payslips, all they need to do is log into their own personnel file from a mobile device and their information is available straightaway.

Chapter Five

A Work Plan for Digitising Personnel Paper Records for Residence District Commissioner's Offices

5.1 Introduction

This work plan is for information and personnel records managers and the Human Resource staff considering scanning or digitising accumulated physical personnel records. This Work Plan:

- explores reasons for digitising accumulated physical personnel records
- identifies issues commonly encountered during digitisation projects, including personnel records management and handling, and suggests possible solutions
- assists with developing a business case and planning a digitisation project
- ensures the application of appropriate technical standards depending on the value of the personnel records being digitised
- ensures accountable decisions are made about destroying or retaining personnel records after digitisation.

For digitisation projects, project managers will need to refer to the National Records and Archives Act. In this work plan original or pre-digitisation personnel records are referred to as 'source personnel records'. Personnel records created by the digitisation process are referred to as digitised personnel records.

5.2 Scope

This work plan covers the digitisation of accumulated paper or non-digital personnel records for ongoing business use. It also addresses the management of subsequent digitised personnel records. It does not cover ongoing digitisation of incoming paper documents for incorporation into workflow systems.

5.3 Reasons for Digitisation of Personnel Records at the RDC's Offices

There many reasons for considering digitising existing personnel records. These and the expected benefits may influence the processing or subsequent treatment of the personnel records. Some of the common reasons are:

- saving space
- integrating with business information systems
- having better access
- protecting the personnel records.

5.3.1 Saving space

If saving physical space and associated storage costs is the primary reason for the project, the source personnel records will need to be destroyed or transferred to the National Records and Archives Center after digitisation. If destroying the source personnel records is not authorised under the National Records and Archive Act, Records Personnel will need to contact the National Records and Archives Centre to discuss whether destroying or transferring them can be authorised. This should occur early in the project or the expected savings in space and storage costs may not be achievable.

5.3.2 Having better access

If the main reason for digitisation is to provide better access to the personnel records, the impact on the users will be a central issue in the planning. These are some of the questions that the records staff will need to consider:

- Are the users within the RDC's Office or government, or are they members of the public? This will affect decisions on whether the existing retrieval mechanisms are adequate or whether other mechanisms will be needed.

Is the equipment adequate for achieving the expected benefits? Retrieval rates, the speed of interaction between networks and the display quality and performance of computer terminals all affect the user experience.

- What level of quality will be acceptable? Different levels of quality are available in digitisation processes, particularly those that convert the text into editable format using OCR technology.

5.3.3 Protecting the personnel records

Many personnel records targeted for digitisation have long-term business use. These personnel records may have deteriorated and become fragile. Digitisation can be a way of protecting them by reducing ongoing handling. The fragility of the personnel records will need to be considered when planning the digitisation. Digitising also mitigates the risks associated with having single copy physical personnel records.

5.4 Planning to Digitise

The purpose and role of the source personnel records will inform decisions on the purpose of digitisation, the likely cost savings, the appropriate disposal (destruction or transfer) and the degree of integration into current systems. Questions that should be answered include:

- Why were the personnel records created?
- Are they being used for the same purpose now?
- If not, how does the business process which created them differ from the one used now?
- Why are they still needed in the current business process?
- Will digitising the personnel records add value to the current business process? How?
- What controls supported the source personnel records?

Personnel records need to be analysed in the context of their controls, such as registers and indexes, and also in the context of other information about how the personnel records were created and managed.

5.4.1 Media and formats

The physical composition and state of the source personnel records will affect issues such as security, physical handling, the scanning equipment needed and possibly the structuring of the project.

Records officers will also need to know the quantity and condition of the source personnel records and their current and anticipated use.

5.4.2 Types of digitisation

There are two different types of digitisation or scanning:

- Creating a digital photocopy or image of the source record; the digitised record is static and cannot be changed and the content cannot be manipulated.
- Optical character recognition (OCR); this ‘translates’ the digitised record into machine-readable text, which can then be changed or manipulated.

While these two processes are often performed at the same time, they are quite different. OCR technology can achieve high quality results with most kinds of text especially those with a typeface. However, it may not be very accurate with other text such as handwritten text. Quality assurance processes need to be built in to

verify the resulting text. The level of quality assurance will depend on the aim of the project and the format used.

5.4.3 Large-scale digitisation projects

Digitisation projects involving large volumes of personnel records can be extremely costly and resource-intensive. If Records officers break down big projects into smaller components based on clearly defined parameters Records officers will be able to:

- achieve smaller objectives more quickly
- learn from experience
- optimise equipment and resources

Issues to consider include:

- How long can the organisation afford to have the personnel records unavailable?
- Can source personnel records be digitised on request and out of sequence? If so, do Records officer's procedures ensure that the exceptions are managed effectively and integrated into the project?

5.4.4 Preparing a business case

When Records officers have a thorough understanding of the business requirements and the personnel records themselves, Records officers should prepare a business case. The business case should describe the personnel records and their relationship to other personnel records. It should also outline the benefits and costs of digitisation. It will provide the basis for obtaining approval for the project. The business case should clearly address:

- the purpose of the digitisation project and likely benefits
- project planning and management, including quality controls and assurance procedures
- personnel records management issues associated with both the source personnel records and the digitised personnel records
- decisions about whether to keep, destroy or transfer personnel records, ie sentencing
- requirements for handling personnel records
- appropriate technical specifications.

5.4.5 Project management

Digitisation projects need to be managed like any other project. Most agencies have a preferred project management method and supporting software. A digitisation project requires more flexibility than many other projects and many project management methods may not provide the flexibility needed. The project management approach used may need to be modified.

5.4.6 Documenting the project

All digitisation projects should be carefully documented. The degree of documentation depends on whether or not the digitised personnel records will replace source personnel records which will then be destroyed. In this case a higher standard of documentation is required. Records officers should assess the risks to determine the documentation requirements.

5.4.7 Quality control and quality assurance

A quality control statement sets out the level of quality that the digitisation is to attain. Quality assurance is the process of verifying that the level of quality has been achieved. The levels of quality control and quality assurance depend on whether the digitised personnel records will replace the source personnel records. If so, then higher standards of quality control and quality assurance are needed.

Quality controls need to be devised and documented for each part of the digitisation process and for both external providers and in-house projects. Quality control should address:

- the accuracy of the digitised personnel records such as:
- operator training
- storage reliability
- processes that deal with failures in the quality of digitisation
- logging and analysis
- physical integrity of the personnel records ensuring the record components are still in order.

5.4.8 Digitisation equipment

Purchasing high-quality scanners may be an expensive option for one-off projects. Engaging specialist service providers may be more cost-effective if digitisation

requirements are of limited scope, quantity or duration. The RDC's office may be able to provide advice about specialists and may even be able to provide occasional access to spare scanners. It is unlikely that a low-end office scanner will meet the demands of quality and quantity.

It is important to consider the occupational health and safety of staff when selecting and installing equipment, especially the way the equipment is set up. The speeds and capabilities of scanners published by vendors are often not a good indication of the actual time required for processing. To make accurate estimates Records officers should undertake trials on the personnel records to be processed.

5.4.9 Digitising in-house or outsourcing

Either the RDC's office itself or a commercial provider can undertake a digitisation project. There are issues to consider for both options. In some cases a combination of the two might be best for example using an external service provider on office premises. When outsourcing a project manager should be careful to ensure that security handling requirements are met. See the section on handling security classified material for more information. Some issues to consider when deciding between an in-house or outsourced digitisation process are outlined below;

In-house:

- personnel records are continuously available and under RDC's office control
- requires purchase or leasing of equipment which may be difficult to justify (such as for a one-off project)
- requires dedicated and specifically-skilled staff
- requires initial and ongoing training of specifically-skilled staff
- allows enhanced control over application of metadata
- skills and quality assurance are maintained in-house
- allows greater control over the security of the personnel records
- quality controls can be easily adjusted as issues are identified
- the RDC's office must bear costs associated with technical infrastructure problems such as network downtime or equipment failure.

Outsourcing:

- personnel records are unavailable to the RDC's office for a period
- payments for scanning images are all-inclusive

- high production levels or volumes are available
- trained operators can be expected
- vendor absorbs costs of technology upgrades, failure or downtime
- involves physical transportation and handling protocols and processes for despatch of personnel records to the vendor
- the RDC's office needs to maintain quality controls and assurance processes independent of vendor quality processes
- complex contractual arrangements are needed to specify standards, security controls, quality requirements, communications, variations and how to resolve problems
- project brief and specifications need to be clearly articulated.

5.4.10 Intellectual property rights

The rights to intellectual property are generally the same for digitised personnel records as for source personnel records and no additional consideration is necessary. However, intellectual property rights may need to be considered if the digitisation of the personnel records has increased their use, particularly when personnel records are made publicly available.

5.5 Some Decisions about the Personnel Records

The intended use of the digitised personnel records will affect:

- the disposal status of the source personnel records
- the quality and standards that should be applied in the digitisation
- the methods that should be employed for managing the source personnel records after digitisation.

If the digitisation is mainly to create a reference copy for ease of access, the source personnel records are unlikely to be destroyed and will still exist as the authoritative version. In this case, a lower quality process may be acceptable.

However, if the source personnel records are likely to be destroyed the digitised personnel records will be the only official record. Records officers will therefore need to apply more stringent format standards and quality controls.

5.5.1 Digitising microfilm or microfiche

In some cases personnel records may have been converted to microfilm or microfiche and the original source personnel records may or may not still exist. Digitising the microfilm or microfiche version may be an effective technique. Or it may be that the initial conversion project was done to lower standards than those of today. If the original source personnel records exist, it may be better to use them as the source. When this option does not exist, Records officers may have to accept a lower-quality result from the digitisation of the microfilm or microfiche.

5.5.2 ‘Packaging’ digitised personnel records

If digitised personnel records are intended to replace source personnel records that will be destroyed, Records officers should consider how closely the physical representation of the source personnel records needs to be reproduced. For example, paper files may contain booklets, pamphlets and other multi-page items, and Records officers may want the digitised record to reflect this. Records officers may choose to use formats that allow images to be packaged as multi-paged images.

Similarly, images should be stored in systems that represent the physical order of documents in files. This will enable metadata to be transferred between formats.

- File and document naming conventions can be used for representing the physical order.
- Directory structures can be used to recreate file structures.

5.5.3 Managing digitised personnel records

The type of system used for ongoing management of digital personnel records depends on how they will be used. For example a set of images for reference purposes would need at least some form of indexing to assign and maintain links between the image and a retrieval point.

When the digitised personnel records will be incorporated into an information system the management protocols of that system will be applied to the digitised personnel records. Such systems will offer much greater functionality for ongoing management of the images. Decisions on how to integrate the digitised personnel records into the system are complex. While such decisions could be separated from

the actual digitisation project, they should be considered during the planning stage as they may have an impact on:

- the metadata extracted from the digitised personnel records as part of processing
- the formats and specifications of the digitised personnel records
- the extent to which the digitised personnel records can be changed
- whether the digitised personnel records in the new system should be considered ‘new’ personnel records. If the personnel records have been substantially changed in the way they are presented and are considered to be ‘new’ personnel records, any previous decisions about whether or not they can be destroyed should be reviewed.

If the digitised personnel records are regarded as the functional replacements for the source personnel records, the system should be able to maintain the representation for each record as it was when digitised and any subsequent modifications within the system.

5.5.4 Storing digitised personnel records

Digitised personnel records can consume considerable storage space. File compression may be an option. Various versions of digitised personnel records will be produced during the process (such as a raw version, an enhanced version, a quality checking version and a final format version). While all but the final can be discarded soon after the quality assurance process is completed, this still consumes storage space. This space must be available during the production process if it is done in-house.

If the source personnel records are relocated for digitising Records officers should take care to protect them in transit, in temporary storage and during processing. Temporary storage should conform to the Standard for the physical storage of personnel records produced by the National Records and Archives Centre. The security requirements of the Protective Security Policy Framework should be followed at all times. Records officers will also need to consider security requirements for the digitised personnel records, the equipment and the storage media used.

Options for the ongoing storage of digitised personnel records include:

- a dedicated server

- magnetic tape
- WORM (write once, read many) storage media such as CD or DVD.

If Records officer's does not have a digital preservation plan, the best approach to ensure that digital personnel records survive is to maintain them in network storage wherever possible.

5.5.5 Digital preservation implications

Once the personnel records are digitised, Records officers will need to ensure that the software, formats and media are all maintained to facilitate access to the digitised personnel records.

A digital preservation management plan will help ensure a systematic approach to accessibility and reliability of all digital personnel records.

Decisions on managing source personnel records after digitisation depend on whether destruction of the source personnel records is authorised. See the section on destroying or transferring source personnel records for more information.

All source personnel records will be needed until quality assurance processes are complete. Further detail is provided in the section on quality control and quality assurance. Individual items will need to be easily retrieved in case they need to be re-digitised to meet the quality requirements.

If destruction of the source personnel records is not authorised the personnel records will need to be managed in ways that preserve their integrity. This will usually involve reconstructing the source personnel records to the way they were before digitisation. If the personnel records have been dismantled as part of preparing the documents and they need to be retained permanently as part of the collection at the National Records and Archives Centre, Records officers should contact the National Archives for advice about repackaging the physical personnel records.

Records officers should discuss this with the National Archives before starting the digitisation project as it may affect the digitisation process. As a general safeguard, Records officers should consider keeping all source personnel records until the

project is finished. This will allow Records officers to revert to the older system in the unlikely event that it becomes necessary.

5.5.6 Destroying or transferring source personnel records

Whether or not source personnel records can be destroyed is fundamental in determining how a project will proceed. This should be established early in the planning stage as it will significantly affect other decisions.

The National Records and Archives Centre is responsible for authorising the destruction of personnel records. It does this by issuing legally-binding documents that are known as ‘personnel records authorities’ or ‘disposal authorities’. In the case of source personnel records for digitisation projects, the authorities that are most likely to apply are:

5.5.7 Metadata requirements

The capture of metadata should be as automatic as possible as it is more accurate and less tedious than manual entry. However, this is not always technically possible. Techniques such as bar coding of documents and linking the barcode number to the original control personnel records might be an interim option for linking images with a control system.

OCR technology offers greater possibilities for automatic metadata capture. Automatic capture of key fields might be possible, especially when source personnel records use a standard format or template. However, all data gathered by OCR technology will need to be quality assured to verify the accuracy.

The comprehensiveness of the metadata depends on whether the digitised personnel records are reference copies, or whether they are intended to reproduce the functionality of the source personnel records and therefore act as authoritative personnel records of business action. If the latter, then metadata will need to be more comprehensive. If the source personnel records continue to be the official personnel records of business and the digitised personnel records are for reference purposes only, then simple metadata may be adequate.

Determining metadata for digitised personnel records will depend on three issues:

- the requirement to manage the digitised personnel records

- the extent of integration into current systems

5.5.8 The extent of integration into current systems

Digitisation is often undertaken to make the information in source personnel records more accessible. Integration with a current system usually provides this enhanced accessibility. In this case, the system will provide the controls and retrieval points needed. At a minimum, the metadata from the digitised personnel records will need to provide a link to the system.

A greater degree of integration could be considered. This will involve extracting more metadata from the digitised personnel records, often using OCR technology. In this case, make sure that the syntax (form) and semantics (meaning) of the metadata from the digitised personnel records match those of the current system. This needs careful analysis and mapping between the fields in the current system and the data in the digitised personnel records. The metadata extracted from the digitised personnel records will then be imported (usually through an xml schema) into the system.

If the digitised personnel records are intended to replace the source personnel records that will be destroyed, greater attention is needed to preserve the features of the source personnel records that prove their authenticity.

5.6 The Digitisation Process

5.6.1 Preparing the source personnel records

Document preparation is a major component of every digitisation project. Records officers will need to assess the condition of the source personnel records to determine whether they can withstand the physical handling involved in digitisation.

They need to be adequately managed, tracked, replaced (if necessary) and Records officers need to make sure that the number of personnel records received back is the same as what went out.

Records officers will need to define business rules for document preparation. Commonly encountered areas needing rules are:

- the management of fragile or damaged source personnel records. Not all source personnel records will withstand the physical handling required for automatic document feeds. If personnel records are fragile or damaged consider alternative equipment.

Some personnel records may require minor remedial treatment to enable them to be passed through a scanner. Alternative methods might be to photocopy the fragile pages and scan the copies or to enclose them in clear protective covering to enable them to withstand the digitisation process. Care should be taken not to damage or compromise source personnel records that will be retained. Records officers should consult a professional conservator if remedial treatment is required

- removing papers from bindings such as staples, file clips or paper clips
- managing loose items in ways that ensure the original order of the personnel records is maintained
- aligning pages to enable automatic feeding into high-speed scanners
- dealing with adhesive notes, white out, blank pages, faded, torn or illegible pages and reverse pages not relevant to the file
- order of digitisation from front to back of file or back to front.

Testing is recommended before Records officers decide what method and equipment to use. If automatic document feeders (ADFs) are used for original personnel records, check how the pages feed through and whether paper jams can be removed without damaging the originals.

The extent to which the original source personnel records can be dismantled to enable digitisation depends on their format. If the source personnel records are to remain as long-term personnel records, it might be necessary to reassemble or rebind them. Consult the National Records and Archives Act about an appropriate form of repackaging. The aim will be to retain the integrity of the source personnel records as evidence of organisation.

5.6.2 Handling other formats

Not everything in an analogue form is suited to digitising using standard document-style procedures. For example, there might be enclosures on files containing objects

such as maps, plans, drawings, audio, video, photographs, samples or specimens. Records officers will need rules for dealing with these.

If a sequence of paper files contains material known to require different handling, a separate process might be needed. For example, x-rays in medical files will need a different process from paper documents.

The reliability and authenticity of personnel records depend not only on the content being digitised but also on evidence of all processes. It is important to capture all the annotations, comments and information that relates to the source personnel records. This could include annotations or notes on the backs of pages, captions on photographs or comments on envelopes that contain photographs. Records officers might need a process to ensure that all the information is digitised.

For example, in sets of source personnel records where some pages have annotations on the back and some don't, it would be best to have a check box or other indication of quality assurance to assure users that the backs of the pages not copied were not merely overlooked but excluded from copying because there was no content.

Decisions on how to package the images should be based on how to best reflect the source personnel records. For example, multi-page images could be used to capture both the front and back of pages.

There should be guidelines for document preparation (see the section on documenting the project). In establishing these guidelines, Records officers should be aware that the unexpected will inevitably arise. Records officers should allow for flexibility and the ability to revise document preparation procedures.

5.6.2 Handling digitised personnel records during digitisation

During digitisation, versions of the digitised personnel records are created for processing purposes. The initial capture of the digitised personnel records is usually done in a proprietary format used by the scanner. These are known as RAW files and are subsequently converted to the preferred format. During that process various validation checks on the quality of the digitised record occur.

Options also exist in common scanning software for enhancing the digitised record, using techniques such as ‘sharpening’ or ‘clipping’ of highlights or shadows, ‘blurring’ to eliminate scratches, ‘deskewing’ to straighten pages and ‘spotting’ or ‘despeckling’ to touch up specific areas.

Depending on earlier decisions about whether the digitised personnel records will be the continuing record of business, the business rules for enhancement should be clearly documented:

- If the digitised record is to become the record of business, this documentation is critical in proving the authenticity and integrity of the conversion process and therefore the reliability of the record as evidence of business.
- If the digitised record is only for reference and is not intended to replace the source record, this documentation is less critical to maintain. Rules will still be needed for practical implementation purposes.

If digitised personnel records cannot be enhanced because they are intended to replace the source personnel records, copies could be made to allow for enhancement.

5.6.3 Partially digitising source personnel records

A thorough understanding of the personnel records will help Records officers decide whether the whole set of personnel records or just some should be digitised. Partial digitisation options might include:

- Chronological digitising from a certain date
- Digitising only certain formats such as all bound registers
- Digitising only key documents.

Chronological or format-based approaches are relatively straightforward. Such projects are not uncommon and some agencies may already have a portion of the source personnel records microfilmed or microfiched from previous projects. Records officers will need to base decisions about disposal on the source personnel records as a whole.

Where a ‘key document’ approach is taken, the digitised version is only a portion of each source record. It removes the key documents from their original context, thereby changing the nature of the record. The partially digitised record will

become a ‘new’ record in the context of the ongoing business. Consequently, disposal decisions on the source personnel records may be affected.

This approach is also likely to involve greater document identification and preparation as files may have to be dismantled. If the source personnel records need to be kept, the documents will have to be replaced correctly in their original context, again requiring physical resources and a quality assurance process.

5.6.4 Managing masters and derivatives

Digital masters of source personnel records are a sequence of digitised images that most closely represent the original source personnel records. Master files should be held separately and should be unalterable. They should be stored as uncompressed files.

Master files are used to enable further productions of derivative files which may be in a lower-quality resolution or made to enhance their capacity for distribution over networks.

5.7 Technical Specifications

The technical specifications that apply to the digitisation process will depend on whether the digitised personnel records are to replace the source personnel records as the record of business, and whether the digitised personnel records need to be retained long-term.

Project managers should contact the National Records and Archives Act to identify appropriate technical standards for digitisation. This is essential if the personnel records being digitised require long-term retention. Issues to consider are:

- file
- formats
- resolution
- type of image
- colour resolution or bit depth
- colour management
- compression.

The recommendations for technical specifications are based on the following general principles to help Records officers select formats that will optimise the chances of formats being readable in the future.

- Preferred formats are:
- open source (non-proprietary) formats
- Adequate technical support should be available for ongoing maintenance and assurance of migration capability.

If the source personnel records will be retained and the digitised personnel records are for reference or convenience purposes or are not intended for long-term retention, it is not essential to adhere to such high technical standards.

Chapter Six

Summary, Conclusions and Recommendations

6.0 Introduction

This chapter presents the summary of the findings, conclusions and key recommendations to improve on personnel records management at RDC's office.

6.1 Summary of Findings

The purpose of the study was to develop a work plan for digitizing personnel records at Resident District Commissioner's Office at Kyadondo County Head Quarters. The objectives of the study were to; determine the types of personnel records managed, examine how personnel records are managed, evaluate the level of adoption of ICTs in the management of personnel records, and develop a work plan for digitizing personnel records at Resident District Commissioner's Office at Kyadondo County Head Quarters.

The study used a case study research design while adopting a qualitative approach to data collection. Data was obtained through the use of interviews and observation methods. In the study, 1 RDC, 1 Deputy RDC, 3 records officer, 3 Human Resource Officers and 2 secretaries who have access to the personnel records were purposively to participate in the study.

6.1.1 Types of personnel records managed at RDC's Office

The study established that RDC's office generates a number of personnel records which include; personal requisition forms, job application documents, memorandums, interview documents and reports, reference checks, acceptance letter, contract terms and conditions, personal records, leave forms, resignation letters, bank loan documents, salary advance forms, which exist in both paper and electronic formats.

6.1.2 How personnel records are managed at RDC's Office

There are various personnel records management practices at RDC's office which include; registration of all the personnel records, tracking of personnel records, folioing of personnel records, classification of personnel records, filling of

personnel records, storage of the personnel records and maintaining security of personnel records at RDC's office.

6.1.3 Level of adoption of ICTs in the management of personnel records

The study established that there different ICTs which can be used in the digitisation of personnel records were; computers, photocopiers and scanners. The records staff had all the skills and knowledge needed in the digitisation of the personnel records at the RDC's office.

6.1.4 A work plan for digitizing personnel records at RDC's office

The study also revealed different loopholes for the personnel records management at RDC's office which include; incompliance from the staff, delay with the files, inadequate backups, insecurity of records, misplacement of record files and the lack of a personnel records management policy. This showed a need for the work plan to ensure easy access to the personnel records.

6.2 Conclusion

From the study, it can be deduced that personnel records are inextricable entwined with improved human resources management. It also became apparent that proper human resource management cannot be ensured without properly managed personnel records. Employees are among an organization's most important, and usually most valuable assets and like any other assets, staff are a resource that must be deployed to maximum advantage. Therefore, proper management of personnel records can make a significant contribution to the objective of creating personnel records by ensuring that information is available to take decisions and to protect the rights both of the state and of individuals. Meanwhile, digitisation of personnel records system should run effectively to promote the access and retrieval of the personnel records at the RDC's office. Thus the need for the a work plan for digitisation of personnel records at RDC's office.

6.3 Recommendations

The study recommended that;

6.3.1 Digitisation of the Personnel Records

RDC's office should purchase more computers to help in the management of electronic records and in the digitization of the records. In order to save on storage

space and increase the efficiency of storage of medical records and turn-around time of retrieving them at the RDC'S OFFICE, the researcher recommends computerization of personnel records keeping. In addition to the above-mentioned benefits of computerization, the expectation is that the patients will be attended to timely and faster.

6.3.2 Training of the Use of ICTs for the Employees

Training programs on IT usage should be organized periodically by RDC's office for staff. This will enable the employees to update their knowledge and skills about emerging information technologies which are being introduced in the work place.

6.3.3 Training of RDC's office Staff on Records Management

RDC's office staff should train its entire staff on the best records management practices. Skill training and development forms an important part in any career development and service delivery in any organisation. The researcher therefore recommends that the Records staff and employees should be constantly upgraded with relevant training to enable them cope with the demands of personnel records management.

6.3.4 Security and Enhancement of Confidentiality for Personnel Records

The researcher recommends that security officers should be available 24hrs around the clock to ensure that patient records were not tampered with. Personnel records contain very important data on all the investigations carried out about the patient including management and care given. It is therefore important that such records should be in a secure place lest patient life is compromised when crucial information is needed to address issues.

6.3.5 Computerization of Personnel Records

The researcher recommends that computerisation of personnel records processes should be fully fledged. A fully-fledged computerisation of processes involving management of personnel records will greatly improve service delivery on a number of activities carried out. For example, retrieval of files will be fast and employees attended to promptly.

6.3.6 Close supervision of the Records users

The study also recommended that RDC'S OFFICE should provide strict supervision to its staff members who use personnel records for different purposes. These include officers from different departments who have no experience in the proper management of the personnel records used.

6.4 Areas for Further Studies

1. Designing an automated personnel records tracking system for organisations
2. Security of personnel records in the electronic environment

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Section C: Project Planning

14. Do you have a policy on the management of digital personnel records at the RDC's office?
15. (i) If yes, how does the policy deal with the following while managing personnel records?
 - Copyright and legal policies for staff
 - How digital images, once created, are managed
 - How image content and technical information will be documented
 - Plans for safe storage, conservation and preservation of master images and surrogate images to ensure their longevity
 - Plans for migration to new formats and technologies as needed
 - Plans for digitizing and documenting new objects
- (ii) If No, then the workplan will include the plan to establish the a policy for managing digital assets

Section D: Defining the audience

16. Who are the internal users of personnel records at the office of the RDC's office?
17. Who are the external users of the records at the office of the RDC's office?
18. How are the personnel records accessed currently at the RDC's office?
19. How do you prefer to access the personnel records after digitization at the RDC's office

Section E: Evaluating assets

20. What kind of personnel records that will require to be digitization at the RDC's office?
21. How will the digitized personnel records be stored RDC's Office?
22. Are there any digitized images or born-digital materials available?
23. Is there any documentation available for the personnel records at RDC's Office?
24. If yes, then what kind of documentation is provided for the personnel records?
25. Does the Office of the RDC has copyright over the personnel records?
26. Is there any documentation to show this copyright?
27. What equipment is available to do digitization at the RDC's Office?
28. What equipment is missing/ not available to do digitization of personnel records at RDC's Office?
29. What digitization software is appropriate for this digitization project?

30. What are the physical space requirements for the:

- Computers or workstations
- Server
- Scanners
- Other specialized equipment

Section F: Understanding the importance of planning

31. Are staff trained to manage digitization work at RDC's Office?

32. If yes, what are the qualifications of the staff?

33. If No, what are their training needs for the staff at RDC's Office?

34. Is there any probable funding opportunities?

Section G: Developing the project plan

35. Will digitization significantly enhance access or increase use to the staff at RDC's Office? If yes how?

36. What institutional or project goals might be met by digitizing the personnel records at the RDC's office?

37. What are the costs/benefits of digitizing the personnel records at the RDC's offices?

38. Does current technology yield images of high enough quality to meet the stated requirements and uses?

39. Does technology allow digital capture from a photo intermediate? Will the project need to start 'from scratch' with either a new photo or digital image capture?

40. Does the RDC's office staff now have expertise in the necessary technology?

41. Will all or part of the collection be digitized to promote effective collection management practices or public access to collections information?

Appendix 2: Observation Guide

The researcher used the observation guide to take note and get information about the registry without taking any participation in asking questions. The research was able to obtain the following information that will help in digitization of the personnel records at the Residence District Commissioner's Offices.

Section B. Types of personnel records managed at RDC's Office

1. Categories of records kept
2. Formats of the records generated
3. Conditions of the records kept
4. Amount of records kept in the registry

Section C. How personnel records are managed at RDC's Office

1. Classification numbers
2. Arrangement of the records shelves
3. Storage facilities available
4. Period of records stay in the registry

Section E. Level of adoption of ICTs in the management of ICTs

1. Types of ICTs available in the offices
2. Computers available to manage the records
3. Number of IT experts

Section F. Challenges facing RDC's Office in adopting ICTs in the management of personnel records

1. Methods used in management of records
2. Time spent to perform certain specific records management functions
3. Equipment used in records management
4. Physical appearance of the storage areas

Section G. Strategies for the digitization of personnel records at RDC's Office

1. Number of staff involved in records management functions
2. Conditions of the ICTs available
3. Current ICT facilities in place and their functional suitability
4. Strategies undertaken to improve on the records retrieval systems

Appendix 3: Document Review Guide

The researcher used this guide to review the documents such as text books, magazines, reports, journals, on storage and retrieval of records regarding the following;

- Manuals on records management
- Manuals on methods for management of records
- Policies on the challenges of management of records
- State documents on the practices in managing records
- Guidelines, procedures and policies on management of records
- Government Act on management public records

Appendix 4: Krejcie and Morgan (1970) Table for Determination of Sample Size

<i>Table for Determining Sample Size of a Known Population</i>									
N	S	N	S	N	S	N	S	N	S
10	10	100	80	280	162	800	260	2800	338
15	14	110	86	290	165	850	265	3000	341
20	19	120	92	300	169	900	269	3500	346
25	24	130	97	320	175	950	274	4000	351
30	28	140	103	340	181	1000	278	4500	354
35	32	150	108	360	186	1100	285	5000	357
40	36	160	113	380	191	1200	291	6000	361
45	40	170	118	400	196	1300	297	7000	364
50	44	180	123	420	201	1400	302	8000	367
55	48	190	127	440	205	1500	306	9000	368
60	52	200	132	460	210	1600	310	10000	370
65	56	210	136	480	214	1700	313	15000	375
70	59	220	140	500	217	1800	317	20000	377
75	63	230	144	550	226	1900	320	30000	379
80	66	240	148	600	234	2000	322	40000	380
85	70	250	152	650	242	2200	327	50000	381
90	73	260	155	700	248	2400	331	75000	382
95	76	270	159	750	254	2600	335	100000	384

Note: N is Population Size; S is Sample Size *Source: Krejcie & Morgan, 1970*

Appendix 5: Introductory Letter

MAKERERE

P.O.Box 7062 Kampala Uganda
Email: info@cis.mak.ac.ug
URL: <http://cis.mak.ac.ug>



UNIVERSITY

Tel: +256 - 392 - 000 - 180
Fax: +256 - 414 540 620
twitter: @makcocis
facebook: makcocis

COLLEGE OF COMPUTING & INFORMATION SCIENCES
EAST AFRICAN SCHOOL OF LIBRARY AND INFORMATION SCIENCE (EASLIS)

July 22nd, 2019.

The Resident District Commissioner
Kyadondo, Wakiso District
P. O. Box 7218,
Wakiso, Uganda.

Dear Sir/ Madam,

RE: INTRODUCTION LETTER – NAKASOLYA REBECCA REG. NO. 16/U/8587/EVE

This is to introduce to you the above named student of East African School of Library and Information Science under the College of Computing & Information Sciences, Makerere University. She is offering a Bachelor's Degree in Library and Information Science (BLIS) Year III.

As part of the study program, she is carrying out a research study entitled, "*A Work Plan for Digitizing Personnel Records in the Resident District Commissioner's Office at Kyadondo County Headquarters*".

The purpose of this communication is to request you to offer her the necessary assistance required.

Please note that all the information obtained shall be used for academic purposes only.

Sincerely,

Dr. Joyce Bukirwa

HEAD OF DEPARTMENT
LIBRARY AND INFORMATION SCIENCE

Appendix 6: Acceptance Letter



OFFICE OF THE RDC

Located at Kyadondo County HeadQuarters, Kasangati, P.O. Box 7218,
Wakiso Uganda

In any correspondence on AN/210/201/19
this subject please quote No. _____

25th July, 2019

Ms. Nakasolya Rebecca
Makerere University,
KAMPALA.

RE: PERMISSION TO CARRY OUT RESEARCH AT THE OFFICE OF THE RDC

Reference is made to your letter dated 22nd July 2019, requesting to carry out research on
"A Work Plan for Digitising Personnel Records in Resident District Commissioner's Office at
Kyadondo County Headquarters."

This is to inform you that, your request to carry our Research at the Resident District
Commissioner's Office at Kyadondo County Headquarters has been granted.

Yours Sincerely

A handwritten signature in black ink, appearing to be 'Kato Ibrahim'.

Kato Ibrahim (Mr.)

A large, stylized handwritten signature in black ink, possibly reading 'for RDC'.