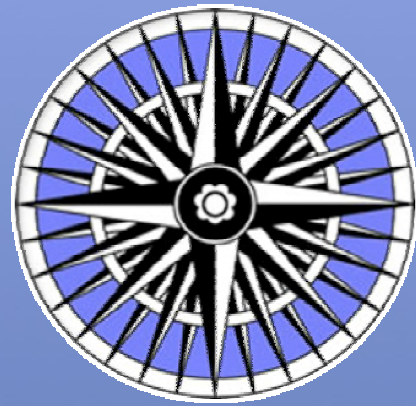


# INTERNATIONAL RECORDS MANAGEMENT TRUST



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## TANZANIA CASE STUDY

JANUARY 2007

Fostering Trust and Transparency in Governance

*Investigating and Addressing the Requirements for Building Integrity  
in Public Sector Information Systems in the ICT Environment*



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## TERMS OF REFERENCE

- 1 Michael Hoyle and Dr Justus Wamukoya visited Dar Es Salaam, Tanzania in October 2006. Follow-up investigations were carried out by Andrew Griffin and Peter Mazikana in November and again in December 2006. The two follow-up studies were partly funded by this project but also drew on information gathered as part of two separate projects. The first of these was commissioned by the President's Office – Public Service Management to develop a records management policy, and standards and guidelines for managing personnel records. The second was an assessment, commissioned by the UK Department for International Development, of the records management component of the Public Service Reform Programme. The case study report includes findings and recommendations from all these investigations.
  
- 2 The methodology for the study comprised three parts:
  - collecting qualitative information, including conducting interviews and carrying out documentary research about public sector reform, electronic governance initiatives, pay and personnel processes and records management
  - gaining an understanding of the information flows between the human resources functions and payroll
  - sampling employee records to assess the quality of personnel and payroll information.
  
- 3 An analysis was made of the pay and human resource processes and associated records in the Government of Tanzania. This involved site visits and discussion with senior officials in the following agencies:
  - Presidents Office - Public Service Management:
    - ◇ Directorate of Establishments
    - ◇ Directorate of Management Information Systems
    - ◇ Records and Archives Management Department
  - Ministry of Finance
  - Ministry of Agriculture
  - Ministry of Education
  - Ministry of Health and Social Welfare
  - Ministry of Infrastructure Development
  - Office of the Controller and Auditor General

- 4 Attempts were made by the research team to track public servants' records from MDAs through the public service department to the Finance Ministry to ascertain the completeness, accuracy and currency of the records. A small sample of personnel files was also examined in three ministries (Agriculture, Education, and Health and Social Welfare). While access to certain records was restricted, it was possible to form a general picture from qualitative data of the state of personnel files across the public service. Some quantitative analysis was also carried out.

## ACKNOWLEDGEMENTS

- 5 The IRMT would like to thank the many government officials who offered support and assistance. In particular, Mrs Ruth Mollel, Permanent Secretary, PO–PSM, Mr David Sawe, Director, Management Information Systems, PO–PSM, and Mr Emmanuel Mlay, Assistant Director, Directorate of Establishments, PO–PSM. These senior officials and their staff took a keen interest in the project and provided extensive background information on public service reform and the computerisation processes relating to human resources and payroll. Mr Athanas Kolokota, Assistant Director, Records and Archives Management Division made every effort to set up and coordinate meetings and Ms Jenipher Marandu, Records Officer provided helpful research assistance to the team.

## BACKGROUND

- 6 At the time of the case study visit, in October 2006, Tanzania was in the top group in the World Bank's 'Africa Development Indicators 2006' for improvements in public sector management and institutions, including rule-based governance, quality of budgetary and financial management, and quality of public administration.<sup>1</sup> As part of the nation's Development Vision 2025, there was a requirement to build the capacity of the public sector to enhance its accountability to the public and to ensure that all service delivery institutions provided correct information analysis to fulfil their responsibility to society.<sup>2</sup>
- 7 A key component of the country's Public Service Reform Programme, Phase II, was to promote e-government and knowledge management as a means of improving governance and service delivery. Tanzania was moving forward to enhance its ICT infrastructure and to develop its capability to deliver services using new technologies. The Government recognised the need to incorporate records management in the design of ICT systems so that they were capable of managing, protecting and providing reliable information over time. This objective had yet to be achieved, but computers were commonplace in most ministries, and increasingly government business and communications were conducted electronically through email, the web, desk top computers and networked information systems. To make the transition to e-

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<sup>1</sup> Africa Development Indicators 2006, World Bank <http://www.worldbank.org/> (accessed 31 October 2006)

<sup>2</sup> Tanzania Development Vision 2025 <http://www.tanzania.go.tz/government/> (accessed 25 September 2006)



government, it was found necessary to change the existing working culture and business practices. This in turn depended on an infrastructure of records management policies, standards, procedures and trained staff.

- 8 Having operated with a public administration system inherited from the 1960s, the Government of Tanzania was taking a new direction in the administration of the Public Service to transform it from a centrally controlled bureaucracy to a more decentralised, flexible and initiative-led institution. The Government aimed to introduce policies, principles and practices that ensured that public servants became motivated, that they conducted themselves to the highest ethical standards, and that they put their skills and talents to productive use. This study considers the policies that were in place, at the time, for paper and electronic records management systems as they related to human resources and payroll control in the public service of Tanzania.
- 9 Tanzania had made enormous strides over the past decade in improving records and information management within government. However, there were still significant records management challenges to be addressed, particularly given the limited resources. Records management was not generally well understood in terms of its contribution to supporting decision-making, delivering services, ensuring accountability and transparency, and safeguarding the evidence of government activities. A new national Records Management Policy had provided a framework within which the records and archives of the United Republic of Tanzania could be managed in accordance with statutory requirements and international standards. Changes to legislation were needed as Tanzania made the transition to e-government. The Records and Archives Management Act also needed to be reconsidered to take account of electronic records issues as well as the Limitation Act, Evidence Act National Security Act, 'cyber laws', and any planned Access to Information and Data Protection legislation.
- 10 As more government agencies computerised their functions, recordkeeping would need to be closely integrated with business processes. As business processes were reengineered, so too would changes be required in the management and control of the records created or received, input or output as part of the new computerised functions. Within the human resource management function, the relationship between HR information components (forms and paper records, data, electronic records and outputs) needed to be defined so that the information base that supported the HR management function was integrated and managed appropriately.
- 11 In practice, MDAs continued to rely on paper records for the conduct of their business. Although computers and computerised systems were being introduced throughout government, public servants would probably continue to depend on mixed paper and electronic records for many years to come. For example, the paper personnel files would continue to provide the authentic and legally verifiable evidence of key HR actions. At the same time that computerised systems were being planned and implemented, ongoing improvements were needed in paper record-keeping systems in central and local government.

## EXECUTIVE SUMMARY

### Findings

- 12 Tanzania's Public Service Reform Programme (PRSP) Phase II recognised the opportunities and challenges presented by information and communication technology (ICT). PSRP activity had focussed initially on promulgating the national e-Government Strategy; interventions likely to be included were: developing capacity, building infrastructure, providing official information through websites and creating a legal framework of 'cyber laws' with regulations and standards. Key enablers to support e-Government included privacy, security, transparency, interoperability, records management and preservation of information. (paras 33 to 39)
- 13 Underpinning Tanzania's aspirations for e-government was a national ICT Policy, approved by Cabinet in March 2003. Policy objectives for the 'Public Service' envisaged the Government as a model user of ICT, and supporting ICT to promote good governance, transparency and accountability. The Public Service section of the Policy recognised the 'capture, preservation and dissemination of relevant government records and archives' as a challenge. In practice, there remained a risk that MDAs were still able to pursue their own initiatives and objectives. (paras 40 to 45)
- 14 The President's Office, Public Service Management (PO-PSM) was responsible for human resource policy formulation and implementation; for developing and implementing Tanzania's PRSP; for producing and disseminating personnel management information; and for introducing establishment control. PO-PSM's Human Capital Management Information System (HCMIS) was first initiated in 1995. Employee data in paper or electronic form was not readily accessible to populate this new personnel and payroll system. A validation exercise was therefore conducted for each employee, using data collection forms to gather employee data. (paras 46 to 54, Appendix B)
- 15 At the time of the present case study, PO-PSM was rolling out HCMIS to MDAs. Ten MDAs had access with a further five planned. In parallel, the HCMIS was being upgraded to a new web-based version. The intention was to make greater use of the HR management functionality of the system. A team of key stakeholders was looking at re-engineering HR management processes as a basis for developing HCMIS as an HR management tool, and for replacing the old system of centrally-managed data input. (paras 55 to 66, Appendix C)
- 16 An independent review of the HCMIS was undertaken in 2006. The review found that the HCMIS was not working in the first three MDAs to which access had been extended, and that the other seven pilot MDAs were just beginning to be introduced to the system. No payroll data entry was taking place. The review also noted the lack of comprehensive documentation of HCMIS. The review's recommendations included the establishment of an inter-ministerial Taskforce to address payroll management issues, and a payroll cleaning exercise. (paras 67 to 75)

- 17 According to Standing Orders, full and accurate personal records should be kept by both PO-PSM and the employing MDA. Open and confidential files were being maintained for each civil servant. In theory, the parent ministry of a common cadre also maintained a personnel file for each cadre employee. In the three registries visited, conditions varied but problems identified were lack of storage space, low morale, the large quantity of correspondence and circulation and processing of incoming records. A separate evaluation of registry performance in four different ministries found inconsistencies in filing open and confidential documents and in numbering files. (paras 76 to 83, Appendix E)
- 18 PO-PSM had embarked on a scanning programme to provide electronic copies of key documents that in future could be accessed through the HCMIS. The project was a key objective of the records management component of the PSRP. In its first phase, the Records and Archives Management Department (RAMD) had located 27 categories of 'core' personnel records on personnel files and scanned them using a document management application, KoVIS. The aim was to integrate KoVIS and HCMIS but it was not yet known how that would be achieved. A sampling exercise conducted by the research team suggested that the KoVIS database is far from complete. (paras 84 to 91, Appendix D)
- 19 At the time of the study, both paper and electronic information systems supported the same HR management processes, but they were not connected. Paper documents, personnel files, the KoVIS database and HCMIS needed to function together as an integrated whole. (paras 92 to 93)
- 20 The Auditor General noted that recordkeeping was a critical component of the audit function and that without records there could be no audit. (paras 94 to 95)
- 21 The PSRP had consistently emphasised the importance of improving the quality of records management as a basis for decision making, more timely service delivery and financial savings. Since 1997, RAMD had been engaged in a records management improvement programme which had achieved impressive results. RAMD was aware that new infrastructure, policies and standards were needed to manage the electronic records that would increasingly form part of the government's information base. A new national Records Management Policy, covering paper and electronic records, was being drafted serve as a foundation. Another key development being planned was the construction of a national records centre. (paras 96 to 104)
- 22 As far as paper records were concerned, evaluations of registry performance had shown that the records management improvements had been broadly sustained. However, more detailed and comprehensive retention and disposal schedules for government records were required. (paras 105 to 110, Appendix E)
- 23 The aspiration within the public service, both strategically and operationally, was to conduct government business electronically. At the operational level, the transition to electronic business processes would inevitably change the role of the central registry.

A risk was that MDAs would independently choose commercial document management systems. (paras 111 to 114)

- 24 An analysis of records management across government, conducted in 2001, identified strategies to build on the success of the Records Management Improvement Project: these included developing standards and practices for restructuring personnel records and paper records of other specialist functions; developing standards and practices for managing electronic records; and developing functional requirements for recordkeeping in structured business processes such as patient and court records. RAMD needed to develop its capacity in electronic records management. The national Records Management Policy would take account of the new formats and media in which government records were created and stored. Standards and Guidelines for Managing Personnel Records were also being drafted. (paras 115 to 122)

## Issues and Recommendations

- 25 Tanzania had set a high standard for developing and introducing new policies, laws and regulations for records and information management. Compliance and accountability mechanisms were also needed. Standards and guidelines for specialist categories of records needed to set out minimum requirements. Change management strategies were required to introduce new policies and procedures. (paras 123 to 126)
- 26 There was a danger that the Government would become 'locked into' the HCMIS application. The upgrade to a new version would improve functionality, but data migrations, without data verification exercises, were liable to transfer existing data errors. There was a need to decide whether the HCMIS was a record-keeping system as well as an information system. The personnel file scanning project marked a step towards electronic record-keeping. Questions were raised about the capacity and appropriateness of RAMD's management of 'live' personnel records. Paper personnel files could not be abandoned as a data source, but they needed to be cleaned up and managed more systematically. (paras 127 to 134, Appendix G)
- 27 The new national Records Management Policy provided an opportunity to reconsider the role of the central registry system. The Policy needed to anticipate the electronic office environment. The concept of centralised control of filing and folders did not need to be abandoned. However, staff who managed electronic recordkeeping systems would need more highly developed skills than existing registry staff. A review of the records cadre was needed. (paras 135 to 141)
- 28 A case could be made to discontinue the two parallel sets of 'open' and confidential' personnel files. The scanning project omitted confidential files and resulted in the omission of key documents. If confidential and open files needed to be maintained, an option was to keep the two files in the same registry. (paras 142 to 147, Appendix F)

- 29 A common model for paper personnel files is a single ‘master’ file for each employee to include records that document the legal and contractual relationship between the employer and employee, and a working file or files containing records of no long-term value. While the ‘master’ file concept was already established in the Government, there was a lack of clarity about the file contents. A check list of master file documents needed to be designed and included in the new Standards and Guidelines for Managing Personnel Records. A paper master file needed to be maintained by the appointing/employing MDA or, in the case of common cadres, the MDA responsible for the cadre. The Standards and Guidelines should also include a retention and disposal schedule for personnel records. (paras 148 to 157)
- 30 A major decongestion exercise was needed to improve the capacity of registries to manage files, and a programme was needed for the regular review and updating of retention schedules. The planned national records centre provided the long-term solution to the space problem. MDAs needed to consider creating their own semi-current records storage areas and/or using registry accommodation more efficiently, for example, by combining open and confidential registries. (paras 158 to 161)
- 31 The professional staff of RAMD needed new skills and expertise to equip them to provide leadership and guidance for the management of electronic records, and set standards for MDAs. At the same time, a more strategic approach was required in assessing information needs and in enabling RAMD to support the transition to electronic business processes and to play its role in e-Government. (paras 162 to 166)
- 32 At the time, HCMIS had no records management functionality. Neither did the KoVIS system for scanned personnel files. There are international standards for electronic records management that can be used as a benchmark for functional requirements. Before embarking on large-scale scanning projects, government agencies needed to consider the business case, and the integrity, accessibility and preservation of the digital records created. There was a risk that ICT projects would be uncoordinated and disconnected. Ministry-level ICT strategies were needed to guide project planning and implementation. These strategies needed to be derived from a government-wide strategy and to support the objectives, priorities and core business functions of each ministry. (paras 167 to 176)

## **FINDINGS**

### **Public Sector Reform and e-Government Strategy**

- 33 Tanzania’s Public Service Reform Programme (PRSP) aimed to streamline government, reduce employment numbers, introduce wage bill control, and improve public service incentives, accountability, skills, service delivery and management systems. The goal was a smaller, affordable, well-compensated public service with the emphasis on results and outcomes. The PRSP promoted meritocracy and decentralisation, including the formation of executive agencies and the contracting out of non-core services. Overall, the PRSP placed a strong emphasis on strategic planning, monitoring

and evaluation. Key performance indicators were used to support this approach. At the time of the case study, the Government of Tanzania was in the process of discussing and agreeing the second phase of the Public Service Reform Programme (PSRP) Phase II, which was scheduled to commence in July 2007 and end in June 2012.

- 34 The PSRP Phase II<sup>3</sup> recognised the opportunities and challenges presented by information and communication technology (ICT) in achieving its objectives. While ICT had the potential to improve service delivery, it involved substantial costs and required special management capacities and skills. PSRP II also acknowledged the need to improve the way computers were acquired, deployed and used. PSRP activity focussed initially on promulgating the national e-Government Strategy and interventions were likely to include developing capacity, building infrastructure, providing official information through websites and creating a legal framework of 'cyber laws' with regulations and standards.
- 35 A copy of the draft e-Government Strategy<sup>4</sup> was made available to the consultants. The e-Government strategy aimed to develop a national WAN, using the military hub to link all MDAs, regional offices, municipal offices and remote areas (using kiosks) and later on to have a central server whereby users could share applications, data and information. The draft strategy document provided a situational analysis of strengths, weaknesses, opportunities and threats. The weaknesses identified included:
- lack of a supportive legal framework such as the protection of intellectual property rights, database protection, informational privacy and electronic transactions
  - inadequate coordination of ICT development in the country
  - inadequate standards and guidelines for ICT in general, including training, career development, information and equipment
  - duplication of ICT initiatives and projects.
- 36 The draft e-Government strategy included, among identified fast-track initiatives:
- an approved governance structure for the design and deployment of e-government
  - infrastructure for e-government implementation
  - standards.
- 37 An annexe to the draft strategy listed 17 key enablers to support e-Government. These included privacy, security, transparency, interoperability, records management and permanent availability and preservation of information. The draft recognised the

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<sup>3</sup> Information about PSRP Phase II is taken from the DRAFT Medium Term Strategy, Action Plan and Budget 2007/08 – 2011/12 (Volume I), version 1.0, dated 24 November 2006 and 1 December 2006

<sup>4</sup> National E-Government Strategy, Draft Version 0.2, dated 22<sup>nd</sup> July 2006



need for 'best practice records management' and the importance of designing systems that ensured records (including email and increasingly multi-media) were securely maintained in unaltered form for as long as necessary to protect the rights of citizens, as well as to provide access to the valuable information gathered and created using government systems. For existing systems that had already been implemented, records in data stores would need to be identified and, where necessary, retrieved, transferred and controlled in systems that complied with standards.

38 Within the Public Sector, key priority areas for e-Government implementation were:

- electronic document storage, retrieval, processing and email/internet
- electronic signatures; Public Key Infrastructure (PKI)
- personnel records management information system.

39 In summary, and with great credit to the Government of Tanzania, the e-Government strategy recognised the importance of standards, legal framework and coordination in relation to ICT initiatives and also the need to apply records management functionality to systems that created or held electronic records.

## **National ICT Policy**

40 Underpinning Tanzania's aspirations for e-government was a national ICT Policy<sup>5</sup>, approved by Cabinet in March 2003 and published in booklet form and on the Government's website. The policy was developed by the Ministry of Communications and Transport, which subsequently was subsumed in a new Ministry of Infrastructure Development.

41 The Department of Management Information Systems (MIS) within the Ministry of Infrastructure Development was responsible for implementing national ICT policy. From draft documents made available to the consultants, it was understood that a detailed implementation strategy was being developed<sup>6</sup>. ICT officers from the Ministry of Infrastructure Development had begun the process of sensitising staff in MDAs to the national policy. However, it was clear from discussions in November 2006 that senior officers in some MDAs were not yet aware of the policy.

42 The broad objectives of the ICT Policy were to provide a national framework that would enable ICT to contribute towards achieving national development goals, to transform Tanzania into a knowledge-based society through the application of ICT, and to accommodate the convergence of information, communication and technology. The Policy articulated ten focus areas<sup>7</sup> drawn from the aspirations of

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<sup>5</sup> National Information and Communications Technologies Policy, March 2003.

<sup>6</sup> Undated draft Proposed Implementation Strategies and Actions for the National ICT Policy Statements.

<sup>7</sup> Strategic ICT Leadership; ICT Infrastructure; ICT Industry; Human Capital; Legal and Regulatory Framework; Productive Sectors; Service Sectors; Public Service; Local Content Development; and Universal Access.

Tanzania's Vision 2025. 'Public Service', as one of the ten focus areas, included the following policy statements:

- *the Government will be a model user of ICT by deploying ICT systems within the public administration itself to improve efficiency, reduce wastage of resources, enhance planning, raise the quality of services and access global resources*
- *the Government will support the application of ICT to promote good governance, transparency and accountability<sup>8</sup>.*

- 43 While the Public Service section of the ICT Policy recognised the 'capture, preservation and dissemination of relevant government records and archives' as a policy challenge, there was no direct reference to the need to build records management requirements into ICT systems in government.
- 44 A positive development in relation to the national ICT policy was the appointment and deployment of ICT experts in ministries, though it was reported that MDAs had difficulty in attracting qualified professionals. As commonly found elsewhere, ICT staff were likely to be paid higher salaries in the private sector. ICT skills were in short supply in government and it would take time to build capability and enable MDAs to implement and support their own systems.
- 45 Public Service Reform, e-Government Strategy and national ICT Policy were all broadly consistent in their objectives and implementation strategies. However, in practice, there remained a risk that MDAs were still able to pursue their own initiatives and objectives. There was evidence that MDAs were able to procure ICT systems for their own needs without reference to a national strategic framework or national standards. This issue is discussed in more detail in paras 172 to 176.

## **Public Service Management**

- 46 The Public Service in Tanzania was governed by a range of policies, laws and regulations. In January 1999, the Government issued a new Public Service Management and Employment Policy in recognition that employment, appointment and promotion must be based on the principles of competitiveness, transparency and merit. The Policy was intended to provide the basis for a more decentralised, flexible and initiative-led public service. It envisaged a small, policy-making public service department with a stronger role in safeguarding common principles and standards. Prime responsibility for human resource management would, however, rest with employing organisations.
- 47 In addition to the Public Service Management and Employment Policy, there was a Public Service Act 2002 which constituted the public service of the United Republic of Tanzania, and Public Service Regulations 2003 issued under Section 34 of the Act.

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<sup>8</sup> National ICT Policy, Section 3.8.4, bullets 1-2 (page 32).



These instruments made few specific references to personnel records and recordkeeping: those that were included are summarised in Appendix B. In 2005 the Government of Tanzania commissioned consultants to prepare Standards and Guidelines for Managing Personnel Records and these would provide more detailed guidance concerning personnel recordkeeping. At the time of the case study, the Standards and Guidelines were being prepared.

- 48 The President's Office, Public Service Management (PO-PSM) was the government agency responsible for human resource policy formulation and implementation; for developing and implementing Tanzania's Public Service Reform Programme (PRSP); for producing and disseminating personnel management information; and for introducing establishment control. The PO-PSM was required to maintain a central and complete database of all public service personnel.
- 49 The Government of Tanzania had taken important and necessary steps to introduce policies, laws, regulations and procedures broadly aimed at improving governance and performance in the public service. The Government also had recognised that compliance with policies and procedures was essential to achieving its objectives. A report on the State of the Public Service<sup>9</sup> found that there was compliance with four human resource processes (disciplinary action, recruitment, staff performance appraisal and leave) in only 59% of the cases examined; either the processes were not being followed, or records of compliance were missing. Recruitment, for example, lacked proper documentation and record keeping was found to be poor. Moreover, there were still long delays in entering employee's information in the Human Capital Management Information System (HCMIS). The report also noted that while the HCMIS database was accurate in terms of employment and pay data, it lacked additional data, such as the age, education and gender of the workforce, needed to support the processes of HR management, monitoring and evaluation.

### **Human Capital Management Information System (HCMIS)**

- 50 The Human Capital Management Information System (HCMIS) was first initiated in 1995<sup>10</sup>. It formed a component of the PSRP (then called the Civil Service Reform Programme). From the outset, it was intended that personnel records (as the evidentiary information about human resource management events) would be managed as part of the system.
- 51 The significance of personnel records as source data for the personnel and payroll system was recognised way back in 1997 when consultants were commissioned to support the development of an information systems and technology strategy for an enhanced payroll system. However, an investigation of existing employee data in both paper and electronic form made it clear that the information required to populate the

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<sup>9</sup> *State of the Public Service Report 2004*. President's Office-Public Service Management, issued 23 June 2005

<sup>10</sup> The system was originally called the Personnel Management Information System (PMIS) but was later renamed HCMIS.

new personnel and payroll system was not readily accessible. Approximately 10% of paper personnel files were not available and 50% of core documents were missing: this was not considered to be a suitable source for populating an interim database as a step towards establishment control.

- 52 In order to move forward with systems development, a validation exercise (National Pay Day) was conducted for each employee, using data collection forms to gather employee data on vote number, position, salary, terms of service, date of employment and promotion, and personnel information: birth, citizenship, marital status, education and disabilities. These forms served as the main data source for the interim database. The interim database in turn was intended to provide a reliable information base for control of employment and the wage bill. It was during this time that a central personnel database and computerised payroll system, HCMIS, was developed.
- 53 A 2002 case study on Personnel Records and Payroll Information Management Systems in Tanzania<sup>11</sup> noted that the Personnel Management Information System contained 280,000 employee records but that, while the system had 15 data entry screens for each record, only eight were populated. This was largely because of two factors: the lack of integration with the legacy systems and the lack of an authoritative personnel record for each employee from which to derive the necessary data.
- 54 The HCMIS was administered jointly by the PO-PSM and the Ministry of Finance and these ministries were linked through fibre optic cabling. System data was routinely used for government reports and budgeting. Through the HCMIS, routine data checks and validation were carried out, as well as the provision of essential monthly reports to various pension and insurance funds.
- 55 At the time of the present case study, the system was managed by the American firm Lawson<sup>12</sup> with local support provided by CATS-NET<sup>13</sup>. PO-PSM was in the process of rolling out HCMIS to MDAs. By 2006, ten MDAs<sup>14</sup> had access and rollout was planned for a further five MDAs. This would enable decentralisation of the HR management function so that MDAs could manage their data direct and also use HCMIS for their own particular human resource management needs.
- 56 The pilot ministries so far connected to HCMIS and PO-PSM and the Ministry of Finance (MOF) were linked by a fibre optic WAN with the HCMIS main server located in the MOF server room. The MOF HCIMS server consisted of two separate servers, one maintaining the application and the other holding the Oracle database. Both servers had 2000 Server Operating systems, and had a total 1 Terabyte storage capacity. The consultants were informed that 70% of the space had already been

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<sup>11</sup> *Evidence-Based Governance in the Electronic Age. A World Bank/International Records Management Trust Partnership Project. Case Study: Personnel Records and Payroll Information Management Systems in Tanzania. May 2002.*

<sup>12</sup> Lawson <http://www.lawson.com/> (accessed 2 November 2006)

<sup>13</sup> CATS – Net Tanzania Ltd <http://www.cats-net.com/> (accessed 2 November 2006)

<sup>14</sup> State House, Prime Minister's Office, PO-PSM, Community Development, Land, Education, Justice, Foreign Affairs, Treasury, Planning

used. When the consultants visited the server room in November 2006, they were informed that back-up arrangements for HCMIS data were about to be improved. Previously, if a fire or other disaster had befallen the server room, it would have been likely that recent data would have been lost and would have been unrecoverable.

- 57 In parallel with the rollout exercise, the HCMIS was being upgraded from Lawson version 7 to a new web-based version (version 8). The main use of HCMIS had been to manage the payroll and record basic employee details, but the intention was to make greater use of the HR management functionality of the system. The version being used at the time of the study, was viewed as cumbersome and not user friendly. The payroll cycle took three weeks to run and it was anticipated that this would be reduced to three days with installation of the new system.
- 58 The new version would be customisable with screens configured to reflect the human resource processes that they captured. Version 8 used Java XML on a Windows platform on HP servers. Connectivity appeared to be a mix of fibre optic cabling and wireless technologies. Ultimately, satellite links to the regions and government offices overseas might be established. Version 8 also included workflow, so that business processes could be streamlined. The PO-PSM's intention was to complete the migration from version 7 to version 8 before further MDAs had linked to the system. At the time of the case study, it was expected that implementation of version 8 would commence in January 2007 and be completed by July 2007.
- 59 The system would enable managers and MDA accounts staff to gain a comprehensive view of who was being paid, what changes were being made to the payroll, who was making those changes as well as reasons for changes. Senior managers in MDAs pointed out that at the time, it was possible for employees to collude with pay staff over salary payments. This would be less likely with the new system.
- 60 As part of these changes, a position management system was going to be introduced to assist in managing staffing levels, organisational structure, budgets and salary expenses. Similarly, a detailed position management form was going to be developed to provide greater information about each position in the public sector including title, job code, pay group, reporting arrangements and hours. The paper records would continue to be maintained and might even increase in volume. Senior staff at PO-PSM noted that paper records would continue to be needed for verification purposes.
- 61 At present the MDAs already connected were using the old business processes, which relied on data input sheets and forms for data entry by Ministry of Finance and PO-PSM staff. Although training had been provided to some MDAs on the use of the new HCMIS system, it was evident that certain ministries such as Education were struggling and continued to face difficulties with data entry. Due to these problems, the Ministry delivered its data to the Ministry of Finance in hard copy. PO-PSM staff were aware of these difficulties and were hoping to provide additional training to the Ministry. The Director, Administration and Personnel at the Ministry of Education expressed the view that for the new HCMIS to work, the current forms needed to be re-engineered quickly to reflect more accurately the human resources processes.

- 62 Proposals for new HR business processes were in preparation. Earlier in 2006, the Government had commissioned a 'Task Team', consisting of key stakeholders in HR management systems, to look at the re-engineering of human resource management processes, and it was understood that a draft report with recommendations was awaiting approval. Recommendations made by the team would presumably form the basis for strengthening and developing HCMIS as an HR management tool, and for replacing the old system of centrally-managed data input and standard data sheets and forms as the basis for creating or updating HCMIS records. To illustrate, HR management processes, payroll controls and information flows, the process for recruiting new staff are described in Appendix C.
- 63 MDAs completed a standard Personnel Data Form (EB 1 form) to record HR changes (postings, allowances, etc) and forwarded, with supporting documents, to a Data Entry Section in PO-PSM for entry in the HCMIS. For the pilot ministries that had been connected, data entry was carried out, or being planned to be carried out, within the ministry by trained ministry staff.
- 64 A similar process for changes to the actual payroll took place in the Ministry of Finance. Currently, the Payroll Data Entry Room in the Ministry of Finances used a standard CPPDS (Payroll data sheet) form for amendments, new employees, loans taken out, etc. MDAs sent in completed forms with supporting documents, which had to pass through PO-PSM for approval. When a new employee was entered in the payroll, a transaction file was generated to assign pay details such as vote and sub-vote numbers and an unique identifier number known as the 'Check Number' which was produced by the former system, known as PCMIS. This information was converted and provided to the Lawson HCMIS system, which then populated the database with the necessary details. In future, it was thought that the process of generating the check number may also be performed by the Lawson system and data entry could be undertaken by the MDAs themselves.
- 65 For MDAs not connected to HCMIS, data entry forms should have been returned to MDAs for filing in the relevant personnel file. However, observation of the Data Entry Section in PO-PSM indicated that either that this practice was not followed, or that there were long delays in sending the forms to MDAs. Forms dating from May 2006 were heaped on the floor. The Ministry of Natural Resources also indicated that the Personnel Data Form (EB 1) was not always returned by PO-PSM. Data entry forms needed to be filed promptly on the relevant personnel file.
- 66 The proposed decentralisation of HR functions imposed an even greater need for the paper records to be well managed, so that they support the processes of authorisation and verification, and provide proof of transactions undertaken. Data entry documents would need to be better managed so that they can be used to respond to queries raised by PO-PSM or Treasury. In future, MDAs connected to the HCMIS would need to retain the data entry forms. This could greatly simplify the filing of the data entry forms on the relevant personnel file which, it was understood, should be the correct procedure. The Standards and Guidelines for Managing Personnel Records would need to include procedures for organising all paper documents used as input to, or

generated by, the HCMIS and for their disposal when they had no further value. Clearly, these procedures would need to be aligned with the business process re-engineering referred to in (see para 47).

## Independent Review of the HCMIS

67 A review of the HCMIS was undertaken by an independent consultant for the Government of Tanzania in the first half of 2006 and a report was issued in June 2006. The main objective of this review was to check progress made in the implementation of the HCMIS and to examine specifically:

- the rollout of the system in the pilot MDAs
- progress made on the Human Resources Administrative Processes study
- progress made in improving manual payroll processes at both PO-PSM and MDAs
- upgrading of the HCMIS system.<sup>15</sup>

68 Two previous reviews of the system had been undertaken, in May 2005 and December 2005, with recommendations to

- develop a HCMIS implementation strategy
- review the human resource administrative processes
- strengthen the payroll monitoring
- design new form(s) for payroll processing.

69 The HCMIS Review Report had raised a number of concerns, in particular:

*It was noted during the review that despite the intended rollout, the system is still not working in the initial three MDAs and the other seven MDAs are just beginning to be introduced to the system. What raises concern is that the DAPs [Directors of Administration and Personnel] who are in charge of the process were neither aware nor clear on their exact role in the implementation process. They saw the process as PO-PSM driven and supported. There was evidence that some were not aware that their stations were among the pilot sites and were not sure about the expected outputs. It was also evident that no payroll data entry was taking place in these pilot MDAs. The preparedness of these sites to fully undertake payroll processing tasks is suspect. A major data entry operation that affects the payroll cannot be casually*

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<sup>15</sup> Government of Tanzania Kinyeki, C. *Human Capital Management Information System Review Report* June 2006 p4

*handled to the extent that the beneficiaries are not fully involved. The entire process requires measures to ensure that data accuracy is upheld and system controls are in place. It was suggested that from the experiences of the current 10 MDAs there was no justification for increasing coverage in the number of the MDAs while no outputs are realised. This will only compound the complexity of the system implementation.*<sup>16</sup>

70 Another area of concern that was raised related to documentation for the system:

*Current documentation related to the HCMIS rollout operations exists in bits and there is no comprehensive documentation of the installations and operations. Lack of such documentation can have a number of negative effects. (i) There is lack of clarity on procedures and this may lead to more errors in operations with potential to affect operational availability of the system (ii) training personnel and providing support becomes difficult as there is no common reference point (iii) individual personnel are knowledgeable about specific aspects of the system and create a void when they leave (iv) lack of adequate procedural guidelines makes controls impractical and therefore the system open to abuse (v) in the absence of comprehensive operations standards, allocation of roles and responsibilities is difficult.*<sup>17</sup>

71 In terms of personnel information, it was noted that although the implementation of the system was being driven by the Establishment Division of PO–PSM, some key activities relating to generating personnel details are being carried out by Treasury:

*... for a new employee to enter the payroll, a transaction file is generated to assign pay details, which include among other fields vote and sub-vote numbers, names of personnel and their unique check numbers. This information is converted and provided to the Lawson system which then populates the database with pertinent personnel details needed for the management of the payroll. It is recommended that the MDAs undertake this task.*<sup>18</sup>

72 Amongst the recommendations of the report was the need to establish an inter-Ministerial Taskforce to address issues affecting payroll management. The ultimate goals of this group would be to ensure:

- *the new payroll amendment form(s) accurately reflect the inputs of the stakeholders*
- *all employees on the payroll are duly appointed, and are receiving the correct salaries and allowance*
- *the personal details including date of birth, date of appointment, terms of employment, reflected on the payroll are correct*

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<sup>16</sup> Human Capital Management Information System Review Report p6

<sup>17</sup> Human Capital Management Information System Review Report p6

<sup>18</sup> Human Capital Management Information System Review Report p 8-10



- *the anomalies on the payroll are identified and corrected*
- *all serving staff in the Departments are appearing on the payroll*
- *the number of staff in each Department is in line with the approved establishment.*<sup>19</sup>

73 A further recommendation was to carry out a payroll cleaning exercise. It was noted that:

*payroll fraud should also be minimised by removing all invalid records and key systems controls developed and introduced to check the entry and exit from the payroll and result in more accurate payrolls and personnel data for all MDAs an output that will lead to PO-PSM hand over clean data and the responsibility of data management to the respective MDAs.*<sup>20</sup>

74 Although a broad strategy was indicated in the report, this was likely to be a significant exercise, and further consideration needed to be given to how the MDA or PO-PSM would undertake the exercise.

75 Other recommendations included developing a strategy for roll out, addressing procurement problems, reducing support levels from vendors (particularly in terms of back ups) and addressing staffing difficulties.

## **Paper Personnel Records**

76 According to Standing Orders, which were under revision, full and accurate personal records should be kept by both PO-PSM and the officer's employing authority (ministry, department, agency, regional headquarters, etc). Separate 'open' and 'confidential' personnel files were created for each civil servant and were kept separately in 'open' and 'confidential' registries with their own staff and procedures. The confidential personnel files accounted for the bulk of confidential records held by registries. Further details of registry performance were provided in 142 to 147.

77 The creation of personnel files was further complicated by the common cadres which fell under a parent ministry. For example, the Accounting Cadre fell under the Ministry of Finance. In theory, the parent ministry of a common cadre also maintained a personnel file for the employee.

78 Registries were visited in three ministries: Agriculture, Education, and Health and Social Welfare. The research team was able to examine fifteen personnel files at the Ministry of Agriculture and observed that although inconsistent in terms of content (for example letters of appointment and personal information forms were not always

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<sup>19</sup> *Human Capital Management Information System Review Report p12*

<sup>20</sup> *Human Capital Management Information System Review Report*

present), these files were maintained in a fair condition. It was further noted that the registries in the Ministry of Agriculture were well organised and relatively secure, and staff appeared to take pride in their work and were willing to provide assistance.

- 79 This contrasted with the Ministry of Health and Social Welfare, where registries were poorly organised and maintained, a considerable quantity of extraneous material including waste paper and other rubbish was present, and staff appeared unmotivated. Many closed files (mostly closed personnel files) awaited transfer to RAMD but could not be transferred because, according to registry staff, they were not allowed to send closed files of former employees to RAMD or to destroy personnel files. As a result, numerous files of former staff going back many years were being retained in very poor conditions.
- 80 The situation at the Ministry of Education lay somewhere between the other two ministries. The large volume of files created significant space problems. The anticipated employment of 7,000 more teachers was likely to have a significant impact on staff ability to manage personnel records. Maintaining accurate and complete teachers records was challenged by the multi-layered nature of the management of teachers, including the central Ministry of Education, Teachers Service Department (TSD) and regional and local government employing authorities. Furthermore, teachers were answerable to TSD on professional issues and to the relevant employing authorities for routine administrative matters. The result was a tendency for the records of each individual to be fragmented.
- 81 Movement of paper information within ministries was also problematic. This could have been attributed to low levels of staff, poor remuneration and sheer quantity of correspondence. At the Ministry of Agriculture, the DAP sorted and distributed correspondence as the registry staff were not capable of such a task. At the Ministry of Health, where 300 to 400 pieces of correspondence arrived each day, correspondence was often lost (or even hidden). Inevitably, payroll changes could not be effected in time. In consequence, for example, staff who had resigned continued to be paid for a period of months after their resignation. Problems relating to salary payments and pensions were common. At the Ministry of Education, it was noted that a large number of staff and teachers waited outside the Administration and Personnel Department hoping to see an official to deal with their pay or other human resources matters. It was reported that public servants in the regions suffered processing delays and complaints were rife.
- 82 A separate assessment of the quality of personnel files in four other ministries (PO-PSM, Infrastructure Development, Justice and Natural Resources) was conducted in November 2006 as part of a registry performance assessment exercise. Findings of the assessment are discussed in paragraph 155 and in more detail in Appendix E. Key findings included the lack of consistency in filing documents on open or confidential files; the small quantity of documents found on confidential files; and the lack of standards in numbering personnel files.



83 Salary arrears forms were commonly found on personnel files. In several cases claims for salary arrears dated back six months and beyond. Further delays were occasioned by the fact that approvals to pay salary arrears involved the Head of Department, Director of Administration and Personnel, Head of Accounting Unit, the agency Accounting Officer and Head of Internal Audit. The relevant documentation then had to be forwarded to PO–PSM and the Ministry of Finance for action.

## Scanning of Personnel Files

84 PO-PSM had embarked on a four-year programme to improve the management of personnel records using scanning technologies to provide electronic copies of key documents that could in future be accessed through the HCMIS. The scanning project was regarded as a key objective of the records management component of the Public Service Reform Programme.

85 COSEKE, a Tanzania-based IT company specialising in document management, imaging and business process management technologies (see [www.coseke.com](http://www.coseke.com))<sup>21</sup> was contracted to work with RAMD to create the database of scanned personnel records. COSEKE had a partner agreement with Kodak and used Kodak equipment. The document management application, KoVIS v. 3.5.1, imported the scanned images and manages them as documents. Global 360<sup>22</sup> business process management software was used for indexing the scanned images and enabling retrieval of captured information. The storage solution was provided by Plasmon Data Ltd<sup>23</sup>.

86 The objectives of the scanning programme were to:

- provide reliable and accurate information for quick and efficient decision making and easy access to information related to the management of public service personnel
- make the information easier to share among agencies involved in the management of employee benefits
- create a databank to enable storage and retrieval of employee information, including necessary back up
- create a tool for accurate and reliable checks on payroll integrity, which in turn will lead to better management of the wage bill.

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<sup>21</sup> COSEKE Ltd <http://www.coseke.com/contacts.php> (accessed 2 November 2006)

<sup>22</sup> Global 360 is a USA-based company specialising in Business Process Management (BPM) and Analysis solutions.

<sup>23</sup> Plasmon is a UK-based company specialising in digital storage solutions.

- 87 The first phase of the project, which was being managed by RAMD, had involved seven ministries/departments<sup>24</sup> as a pilot. Twenty-seven categories of ‘core’ personnel records<sup>25</sup> (some 800,000 documents in all) had been located on personnel files and scanned using KoVIS version 3.5.1.
- 88 The consultants for this project noted differences between the numbers of employees given by PO–PSM and the number of employees in the MDAs. They also experienced difficulties with dirty and damaged documents which required sensitive handling using specialised scanners. Other problems included:
- staff assigned to remove pins and re-filing of documents often did not carry out the task
  - time schedules were not adhered to
  - staff were not being at their work stations on time
  - cross checking to ensure completeness prior to re-filing was not always followed
  - power cuts resulted in staff stopping work
  - a lack of stationery hindered progress.<sup>26</sup>
- 89 There was a plan to extend the programme to a further fifteen MDAs. The aim was to integrate KoVIS and HCMIS but it was not known how this would be achieved. Some officials in PO–PSM appeared to have limited knowledge of the project and were unclear as to how it related to the broader strategy of moving forward on human resource management.
- 90 While the scanning project was being managed by RAMD, all scanned images were currently held on a server located in PO-PSM. However, the intention was that RAMD, as the system administrator, would in future house a dedicated server. New data would be input directly by MDAs. MDAs would need to be provided with scanners so that they could do this, and also be given instructions on which new documents should be scanned into the system. It appeared that MDAs had not been briefed on the outcomes of the pilot and there was some scepticism as to whether all personnel files had been scanned. RAMD staff noted that a ‘third’ personnel file was being created for scanned documents once they had been extracted from existing paper files and scanned. If the original files had been properly maintained, the scanned

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<sup>24</sup> PO-PSM, Finance, Education and Culture, Health, Judiciary, Agriculture and Food Security, Natural Resources and Tourism.

<sup>25</sup> The 27 documents include: Medical examination form, Personal record form, Birth certificate, Next of kin card, Letter of first appointment, Letter of acceptance, Academic certificates, Curriculum vitae, Letter of confirmation, Authorization letters, Letters of promotion, Letters of transfer, Re-categorisation documents, Service and salary particulars, Marriage certificate, Photograph of employee, Affidavits, Awards forms, Administration form, Sick leave forms, Certificate of Chief Medical Officer, Intention letter from employer, Medical Board reports, Letters of interdiction, Letter of termination, Official Gazette

<sup>26</sup> Draft Report *Consultancy Services for Establishment of an Electronic Based Records and Archives System* p14

documents should bear folio numbers from the source file. Originally it had been planned to re-file the documents but this had not yet happened.

- 91 The research team conducted a sampling exercise to determine the completeness of the scanned files. The contents of paper personnel files, selected at random, were compared with the digitised master file as an indication of the completeness of the KoVIS database. While only eight master files were examined, the results suggested that the database was far from complete and could not, therefore, currently be relied on as a source for key personnel documents. Two key documents that would have been critical for certain benefits were missing from many of the files; birth certificates were missing from all of the files checked, and letters of confirmation were missing from six. Further results of the sampling exercise are described in more detail in Appendix D.

## **Relationship of Paper and Electronic Information Systems**

- 92 There was a need to establish control of paper-based records and to establish linkages between the paper records and the information held in the HCMIS and the KoVIS database. Both paper-based and electronic information systems supported the same HR management processes but they were not connected. A number of problems in managing personnel records had been highlighted over the years. It remained the case that huge volumes of paper overwhelmed the registries and that the records themselves were incomplete and fragmented, with records about the same individual scattered through the system in both open and confidential registries. The proliferation of files was partly due to the fact that when staff were transferred between ministries during their careers, their files remained with the former employing ministry and new files were opened by the office to which they were transferred. Poor management of personnel files was also a consequence of the lack of procedures for creating and maintaining master personnel files to hold prescribed key documents, and the lack of standards and procedures to support such recordkeeping processes as indexing, file tracking and disposition of inactive files. File classification was not uniform, and storage conditions were often below modern standards.
- 93 The paper documents, personnel files and HCMIS needed to function together as an integrated whole. For example, data entry forms sent by MDAs to the data entry section in PO-PSM should be returned to the originating MDA, but a visit to the data entry section where input forms from the previous year were heaped on the floor indicated that this was not happening. To compound difficulties, a scanning programme to digitise key paper personnel documents had been undertaken without a clear idea of how the new digital information would support information needs in the HR management function or, indeed, how it would be kept up to date as new HR events took place and new paper-based HR records were generated. These issues were discussed in more detail in later sections of this report and in the Issues and Recommendations section.

## Records Management and the Audit Function

- 94 The Auditor General had noted that recordkeeping was a critical component of the audit function, and without records there could be no audit. Audits were carried out in all ministries, departments, agencies and parastatal organisations. The Audit Department had offices in all regions of Tanzania, and its current workforce was 560. This number was soon to increase to over 600.
- 95 The audit function had expanded in scope to include human resource information. This was in line with Section 63 of the Public Finance Act which required that a performance audit be undertaken of human resource functions. Through assistance from the Swedish National Audit Office, a performance audit unit had been established, and staff were currently undergoing training. Performance audit guidelines and standards were in the process of being established. The standards were to form the basis of future audit work, of which recordkeeping would be a major component. The standards being developed would include an audit checklist. The Public Finance Act also required all MDAs to have internal audit units in place.

## Records and Archives Management

### *Records Management Improvements*

- 96 The PSRP had consistently emphasised the importance of improving the quality of records management as a basis for decision-making, timely service delivery and financial savings. Between 1997 and 2003, a records management improvement programme, focusing on subject files, was undertaken in 24 ministries to decongest and restructure central registries, introduce improved guidance and procedures, and train registry staff. During this period, the number of graduate and professionally qualified staff at Records and Archives Management Department (RAMD)<sup>27</sup> had greatly increased. The adoption of a comprehensive scheme of service had opened the way for establishing a comprehensive and integrated view of knowledge and skills requirements across the records and archives field. The staff of RAMD should be commended for these impressive achievements.
- 97 As part of these reforms, a new Records and Archives Management Act was passed in January 2002 and provided the framework for effective records management across the public sector. The Act embraced records in all media, including electronic records<sup>28</sup>. It made the Director, RAMD responsible (Section 11) for co-ordinating record keeping work in public offices. Heads of public offices were responsible under the Act (Section 9) for 'creating and maintaining adequate documentation of the

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<sup>27</sup> PO-PSM also has responsibility for Records and Archives Management (RAMD) is a division within the President's Office - Public Service Management.

<sup>28</sup> The Act defines records as 'recorded information regardless of form or medium created, received and maintained by any institution or individual in the pursuance of its legal obligations or in the transaction of its business and providing evidence of the performance of those obligations or that business'.

functions and activities of their respective public offices through the establishment of good records keeping practices'. The Act required heads of public offices specifically to create and manage current records within appropriate filing systems, to implement retention and disposal schedules, and to transfer semi-current records into the custody of RAMD. Section 9 also required heads of public officers to appoint a qualified officer to be a coordinator of records management activities in the department or ministry. However, while the Act made no distinction between paper and electronic records, its wording implies manual systems rather than electronic systems.

- 98 At the time of the case study, the intention was to issue Records and Archives Management Regulations in accordance with Section 28 of the Act. The purpose of the Regulations was to 'operationalise' the Act and provide further guidance to MDAs on how to implement the Act's requirements. Like the Act, the Regulations, while medium-neutral, implied paper records when dealing with, for example, access to, or transfer or destruction of, records, and they provided no specific procedural guidance on procedures for transferring, accessing or destroying electronic records that would be different from those for paper records. Moreover, there was no requirement for the designers and implementers of computerised systems to coordinate records management functionality with RAMD.
- 99 RAMD had long been aware that new infrastructure, policies and standards were needed to manage the electronic records that would increasingly form part of the government's information base. The records management reforms that had been undertaken for paper-based records were intended to be a foundation for computerisation. These issues were to be addressed in a new national Records Management Policy that was being drafted by consultants. The consultants were also drafting Standards and Guidelines for Managing Personnel Records.
- 100 RAMD had continued to roll out the subject file management reforms to more MDAs and was beginning to extend its advice to local government authorities (LGAs). Records management training had been provided to about a third of all LGAs. However, RAMD lacked the resources (funds and staff) to restructure records systems in LGAs. More resources needed to be directed to records management improvements in local government, perhaps using the Local Government Capital Development Grant (LGCDG).
- 101 A key component of future development was the construction of a national records centre, the design and specifications for which were already complete, and four zonal records centres in Mwanza, Arusha, Tanga and Mbeya. The absence of a national records centre was choking the records management system and was in danger of reversing the gains previously made. The construction of a national records centre was an essential component of records management strategy and was recognized in the Government's Medium Term Strategy for the PSRP. The strategy also included zonal records centres for LGAs. A 2005 consultancy provided a thorough assessment and detailed designs for a national records centre in Dodoma. However, as most MDAs continued to be located in Dar es Salaam, it was recommended that the

location of the national records centre should be reviewed before going ahead with construction. In the meantime, MDAs would need to establish their own storage areas for inactive records.

## **Paper-Based Systems and Records**

- 102 The Government of Tanzania still depended on paper records and paper filing systems, managed by central registries, to support much of its day to day business. In central ministries, correspondence, memoranda, policy documents, meeting papers, internal reports and other documents generated and received by desk officers in the course of their normal public service duties were still placed on the traditional registry file.
- 103 RAMD had produced a Registry Procedures Manual that was reprinted and issued in booklet form in September 2003. The Manual described in detail the procedures and forms to be used when dealing with incoming correspondence, filing papers, creating a new file, recording the existence of a new file, controlling file movement, handling files returned to the registry, handling outgoing mail, storing files, handling closed files and maintaining the system.
- 104 The Manual included a single subsection (2.5) on faxes and electronic mail, but otherwise provided no procedural guidance on the management of electronic records. A similar procedures manual was therefore needed for electronic records. The detailed national Records Management Policy in preparation would provide an integrated framework for managing paper and electronic records.

### *Registry Performance*

- 105 In July/August 2004, PO-PSM carried out an evaluation of record keeping in the public service as part of a series of Monitoring and Evaluation Studies<sup>29</sup>. A sample of 19 MDAs was assessed on a range of performance measurements. The evaluation was intended to assess the extent to which the records management reforms undertaken from 1997 to 2003 had improved the quality of records management. The evaluation was not an impact assessment and thus did not, for instance, evaluate the extent to which decision-making had improved as a result of the records management improvements.
- 106 A follow up evaluation was conducted in November 2006 as part of an Assessment of the Performance of the Records Management Component of the Public Service Reform Programme conducted on behalf of donors. The evaluation used the same methodology and forms as the 2004 evaluation. Although the number of records users and registry staff interviewed was limited by the time and resources available

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<sup>29</sup> President's Office Public Service Management: Public Sector Reform Programme. *Evaluation of Records Management in the Public Service*, issued February 2005.

(six MDAs were assessed<sup>30</sup>) the 2006 exercise still enabled comparisons of performance to be made.

- 107 The evaluation was carried out by a team of officers from RAMD, some of whom had participated in the 2004 evaluation. The main findings are summarised in the table below and show that improvements in records management performance were broadly sustained between 2004 and 2006, with slight improvements in some areas and small decreases in performance in others.

Indicator	Description	2004	2006	Variance
Filing Accuracy	% of registry files in proper location	85%	91%	6% improvement
	% of requested files which were correctly retrieved	85.25%	77.6%	7.65% reduction
	% of folios correctly filed	96.9%	93%	3.9% reduction
Timeliness of Retrieval	Number on minutes taken to retrieve files found	18mins 18 secs	13mins 25 secs	4mins 53 secs improvement

- 108 Other findings of the 2006 assessment, particularly in relation to personnel files, are described in Appendix E.
- 109 Despite the overall good performance, at the time there continued to be much scope for improvement. A significant finding of this case study was that in nearly all registries visited, files and boxes were heaped, often haphazardly, on the floor and all available work surfaces. In one registry, records boxes were seen piled in columns, six boxes high, on top of filing cabinets. In these conditions, with limited space and no procedures for removing inactive records, it was not possible to operate an efficient records management system.
- 110 The planned national records centre would alleviate space problems. However, to prevent the build up of inactive records in future, there was also a need to develop procedures for the routine appraisal and disposal of records. RAMD had made a start by issuing Records Retention/Disposal Schedules<sup>31</sup>, mainly for paper files, based on the transfer lists prepared during the registry decongestion exercise. Records were broadly classified by function and records series, and a retention period was assigned to each series. Section 4.3 of the schedules covered generic 'Human Resources' records but did not provide a retention period for the basic unit of human resources records, the personnel file. This issue would need to be addressed by the planned Standards and Guidelines for Managing Personnel Records.

<sup>30</sup> President's Office Public Service Management, Ministry of Agriculture, Ministry of Natural Resources and Tourism, Ministry of Infrastructure Development, Ministry of Health and Ministry of Finance.

<sup>31</sup> President's Office, Public Service Management. *Records Retention/Disposal Schedules*. Issued January 2005.



## Electronic Systems and Records

- 111 The aspiration within the public service, both strategically as stated in the Public Service Reform Programme, e-Government strategy and national ICT Policy, and operationally as articulated by many public servants interviewed, was to conduct government business electronically. Desktop computers were likely to play an increasing role in the conduct of government business and consequently in the generation of government records.
- 112 At the operational level, the transition to electronic business processes would inevitably change the role of the central registry, where procedures were designed to control paper records. Central registries were in any case finding it increasingly difficult to keep up with the volume of records being produced, particularly when the trend was for functions and responsibilities to be decentralised. The policy of printing electronic records and filing them as paper records in the traditional way was at best a stop-gap solution.
- 113 An example of the transition to electronic information systems was provided by the Ministry of Natural Resource and Tourism. The Ministry's IT Department had developed its own Document Management System which enabled the registry to scan incoming mail as well as track file movements. From discussions held with the system developers, it was unclear how incoming mail would be organised and classified in the electronic system. Folders had not been created to mirror the paper files and it was not apparent how electronic documents relating to the same issue would be filed or linked together. It appeared to be the case that each MDA could choose commercial applications from the many available and could develop its own folder structure, set of access rules, taxonomies, indexing system, etc. Unless addressed, this lack of coordination and standards would further fragment the government's information resources.
- 114 Currently, subject-related records in paper form were filed under the subject filing system which utilised the keyword indexing system. There was general agreement that the restructuring of registries by the Records Management Improvement Project and the introduction of the keyword system, had greatly improved registry performance and access to information<sup>32</sup>. These achievements do not need to be abandoned in an electronic environment. The principle of keyword indexing could be directly transferred to electronic document and records management applications if the systems required each document to be 'profiled' for classification and retrieval purposes. An element of the profiling of electronic documents should be 'index' terms that would assist identification, and these could be based on the existing keyword indexing system.

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<sup>32</sup> See, for example, President's Office Public Service Management, Monitoring and Evaluation Unit: *Evaluation of Records Management in the Public Service*, Report 2004/02, February 2005



## *Future Developments in Records Management*

115 In August, 2001, an independent consultant was commissioned to undertake a situation analysis of records management across the government and to facilitate planning for a comprehensive records management programme. The situation analysis report<sup>33</sup> (the 'McDonald Report') identified a number of strategies, building on the success of the Records Management Improvement Project. The report recommended that the government should:

- Develop standards and practices for the decongestion and restructuring of the personnel records of government; using this experience to develop generic standards and practices that can be applied to the records generated by the business processes supporting other government functions.
- Develop standards and practices for the management of electronic records and integrate these into existing standards and practices for paper based records. These standards and practices should be directed to those using personal computers to manage email and electronic documents. Subsequent guidance should be directed to the management of email and electronic documents in a client-server environment and, over time, in an environment where the entire organization is "connected" and the need for a corporate approach to electronic document management becomes paramount.
- Develop functional requirements for record keeping in highly structured business processes (such as licensing, benefits delivery, patient records, court records, etc) that can be incorporated in the overall functional requirements for the systems used to automate the processes.

116 The McDonald Report had provided a solid framework within which RAMD could plan its interventions, particularly in relation to the transition to computerised business processes, within the wider context of the Public Service Reform Programme. Key targets of the draft Medium Term Strategy for PSRP II were:

- *e-government infrastructure in place and linking up all MDAs and LGAs by 2012*
- *ICT legal framework and standards developed and adhered to in all MDAs by 2012*
- *MDAs implement capacity development packages to support e-government by 2012 (all MDAs/LGAs will be facilitated to create their own MIS strategies; in addition, PSRP will facilitate the implementation of core application systems on the e-Government network infrastructure (including Groupware, HCMIS, e-Records Management))*

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<sup>33</sup> The Government of Tanzania, Civil Service Department, Records and Archives Management Division. *Records Management and the Government of Tanzania: a Situation Analysis*. By John McDonald, June, 2001

- *computerised applications developed to support service delivery used in 67 MDAs by 2012 (MDAs will prepare user requirements for developing computerised applications .... PO-PSM will coordinate application design and deployment across Government).*<sup>34</sup>

117 The challenge for RAMD was to ensure that as e-Government became a reality, there were policies, standards and best practices in place to manage electronic records and, equally critically, that RAMD had the capacity to promote and implement best practices. To build on the commendable achievements of the records management programme to date, RAMD needed to develop its capacity in electronic records management. Most of the training in electronic records management received by RAMD senior staff took place during their professional studies. Few if any had had direct experience of managing electronic records. In the past, RAMD staff had not been directly involved in the design and development of ICT policies and systems that had a records management dimension. For example, RAMD was not required or asked to specify recordkeeping requirements for the HCMIS. Nor was it involved in the formulation of the Government's ICT policy. This was not surprising if RAMD was always associated with paper records and not seen as having a role or particular knowledge in relation to electronic information.

### *Records Management Policy and Supplementary Standards and Guidelines*

118 At the time of the case study, PO-PSM RAMD had contracted with consultants to prepare a national Records Management Policy and also Standards and Guidelines for Managing Personnel Records.

119 It was anticipated that the Policy would set out a framework within which public records and archives of the United Republic of Tanzania could be managed in accordance with statutory requirements and international standards. The policy would take account of the new formats and media in which government records were created and stored. Though the focus of the policy would be on central and local government records, it would also aim to promote a culture in which all records that documented the life and development of the nation, including those of private sector organisations and individuals, were valued as a part of the nation's archival heritage.

120 The Policy would promote compliance with statutory requirements and international standards for records and information management and provide a framework of best practice for managing records throughout their life cycles; to enable users to access the information they need; and to reduce costs associated with poor recordkeeping.

121 It would provide a solid foundation on which to build more detailed standards and guidelines for specialised categories of records such as land, health, financial and judicial records. These would need to take account of any additional legislation,

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<sup>34</sup> DRAFT Medium Term Strategy, Action Plan and Budget 2007/08 – 2011/12 (Volume I), version 1.0, dated 24 November 2006 and 1 December 2006

regulations and ordinances relevant to the particular sector (Land Act and Regulations for land records, Public Finance Act and Regulations for financial records, etc). Requirements for information exchange between different agencies and levels of government would also need to be taken into account.

- 122 The first example of this separate guidance for specialised categories of records would be the Standards and Guidelines for Managing Personnel Records now in preparation as part of the same project.

## **ISSUES AND RECOMMENDATIONS**

### **Policies, Laws, Regulations and Guidance**

- 123 The Government of Tanzania, PO-PSM and RAMD had taken very impressive steps to develop and introduce new policies, laws and regulations for the management of government records, such as the Records and Archives Management Act and the national Records Management Policy. These were positive changes and other countries could benefit from Tanzania's example. A cautionary note was that while new policies and regulations would require certain actions to be taken, there also needed to be compliance mechanisms and accountability structures to ensure that policies and procedures were followed. There needed to be mechanisms to monitor compliance and to follow up with remedial action where required.
- 124 A related issue is the need for new regulations and guidance for human resource management to make specific reference to records management requirements. While HR rules and procedures might imply that information must be communicated and recorded, there was also a need to specify the records that need to be created and captured as evidence of human resource management processes and how these records should be managed. This had particular significance for documenting new business processes as the HCMIS was upgraded and developed and new workflows and information processes were designed. The business processes that generated and used personnel records were rapidly evolving. Process maps needed to be prepared for all the major HR activities in order to determine the format and purpose of the records generated by the new processes. This in turn would inform procedures for managing personnel records.
- 125 The planned Standards and Guidelines for Managing Personnel Records would provide a framework but would not specify detailed procedures in this changing environment. In any case, Standards and Guidelines should not be prescriptive as, in any organisation, procedures may need to vary or change across the public service to allow for small differences in local practice. However, there was an excellent opportunity to ensure that records management requirements were incorporated in the evolving HR and ICT systems. The Standards and Guidelines should set out minimum requirements for records management that would ensure that paper and electronic personnel records were managed according to best practice.

126 Furthermore, as new HR management policies and procedures were planned, designed and introduced, change management strategies were needed to ensure that stakeholders were involved and informed. It was clear that MDAs were often unaware of the changes that were likely to impact on them. As key stakeholders their views needed to be included in the change processes. There was scepticism among officers in the MDAs regarding the slow pace of change, as well as uncertainty about their future as accountability for HR management was devolved from central government. There was a mix of fear and resistance to change on one side and high expectations on the other. These perceptions needed to be properly managed in order to ensure success.

### **Human Capacity Management Information System (HCMIS)**

127 There was a danger that the Government of Tanzania would become 'locked into' the Lawson application, as change to another vendor application would be disruptive and costly. The upgrade to a new version of HCMIS would improve functionality. It should also avoid hardware and software obsolescence as older products were no longer supported by vendors. However, data migrations, without data verification exercises, were liable to transfer existing data errors, some of which were likely to be the result of fraud. Ensuring data accuracy prior to migration was essential.

128 The review report on HCMIS, issued in June 2006, indicated that some of the computers and HCMIS equipment had been installed in unsatisfactory environments in the MDAs, for example in overcrowded offices occupied by several officers. The proposed Standards and Guidelines for Managing Personnel Records should deal with the issue of the confidentiality of personnel and payroll information and the protection of this information from unauthorised access. In the same way that access to registries was strictly controlled, so too should access to HCMIS through desktop computers be controlled. Over and above password protection, efforts were needed to ensure that the rooms in which they were housed were secure.

129 There was a need to define the interface between processes management by the HCMIS on the one hand, and financial management systems such as IFMIS on the other. There was an element of silo development between the Finance Ministry and PO-PSM. While both ministries acknowledged the role of the other and the need for systems to communicate, more collaborative working was needed in order to avoid incompatibility issues and to streamline work processes.

130 Besides ensuring that HCMIS data was adequately protected from system failure or disaster, there was the question of the long-term preservation of HCMIS data to be considered. The system was intended to store and maintain personnel information, but it had, for example, no incorporated retention rules to control the deletion or downloading of data once they have served their purpose. Nor did HCMIS have the built in capability to transfer information of long-term value to a future computerised records management and archives system.

- 131 It needs to be decided whether the HCMIS was a record-keeping system as well as an information management system. For the foreseeable future, as already mentioned, the intention seemed to be that the paper records would provide the authoritative evidence of HR events, whether or not HCMIS was integrated with the database of scanned paper personnel records. However, the scanning project, with its stated intention to convert paper files into electronic records and linking digital images of paper records with the HCMIS, marked a step towards electronic record-keeping. The commonly held view was that, in time, electronic records would replace paper documents as the authoritative record.
- 132 If RAMD were to manage electronic master personnel files as a service for government, it would need to secure funding for the specification, design and implementation of an Electronic Records Management System (ERMS) accessible throughout government and the ICT infrastructure to enable it to manage electronic documents throughout their life cycle. This raised other questions about RAMD capacity and also the appropriateness of RAMD managing 'live' or active records.
- 133 The paper personnel files could not yet be abandoned as a data source, but unless they were managed more systematically they would always be incomplete and unreliable. Payroll and personnel data cleansing exercises, based on data collection using forms, had limited success and had to be repeated if the payroll and personnel database was to be kept up to date. The paper files needed to be capable of providing a reliable information source to underpin HCMIS data and also to verify and protect employee rights and benefits. It was recommended that the report and proposal prepared in 1998 to clean up the paper files should be revisited.<sup>35</sup> Appendix G provides a methodology.
- 134 At present the movement of manual documentation was slow. While in the longer term, information flow would improve with the roll out of the HCMIS, hard copy information would, in the immediate future, continue to be created and received and will serve as the basis of any action. The paper documents, personnel files and HCMIS needed to function together as an integrated whole. As noted, the scanning programme was embarked upon without a clear idea of how the new digital information would be kept up to date and support information needs in the HR management function.

## **Role of Central Registries**

- 135 The centralised registry system was supported and reinforced by public service administrative procedures that required all communications be addressed to, and be seen by, the PS or CEO. Taking into account the volume of communications that had to be dealt with, as well as the need to improve Government's efficiency and services,

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<sup>35</sup> *Personnel Control and Information Systems (PCIS) Project, Management of Personnel Records: Report and Proposal* by International Records Management Trust, July 1998.

consideration needed to be given to whether the PS needed to see all communications before action could be taken.

- 136 In any case, the public service in Tanzania was likely to follow other countries in moving towards the electronic exchange of documents and information as computers on work stations and email communications became the norm. Policy and guidance was needed to deal with the increasingly complex and localised information and records systems that would be developed in the Government of Tanzania.
- 137 The preparation of the new national Records Management Policy provided an opportunity to reconsider the role and procedures of the central registry system. The new Policy needed to anticipate the electronic environment and the creation of records as emails and attachments, documents created initially on desktops, database records, web content and other electronic record types. It needed to prevent the piecemeal development of electronic systems and procedures for managing digital records. This would happen, whether or not there was a common infrastructure for ICT, unless there were also standards and policies for managing electronic records at the individual system level.
- 138 Experience in many other countries has shown that as government communications and transactions were increasingly conducted electronically, the role of the central registries was diminished. Therefore, new methods of records management were needed to deal with electronic records within the broader context of basic records management principles and standards. Tanzania could profit from the experience of other countries that have found ways to deal with the effect on record-keeping of work practices that primarily depended on the use of desktop computers in individual offices and network connections for the conduct of business.
- 139 Not all information or data needed to be brought under records management control. However, once a record was captured<sup>36</sup>, it needed to be managed by records management processes to protect its ongoing integrity and accessibility. If the authoritative record of a decision, communication or transaction was in paper form, manual processes, controls and measures needed to be in place to store and manage that record efficiently, for instance by establishing filing and classification procedures and providing adequate and secure filing equipment. If the authoritative record of a decision, communication or transaction was generated in digital form, processes needed to be in place to electronically classify and file the record in a secure and managed electronic records management system. In the case of electronic records, the filing and classification processes could be manual or automated. For example, the records creator or 'filer' could select the relevant electronic folder in which to file the record, or the system itself could be programmed to file certain kinds of documents in a particular folder.

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<sup>36</sup> The Records and Archives Management Act defines a record as 'recorded information regardless of form or medium created, received and maintained by an institution or individual in the pursuance of its legal obligations or in the transaction of its business and providing evidence of the performance of those obligations or that business.'



- 140 Because electronic document and records management systems allowed for document sharing and access to records in a centralised database or digital repository, the concept of the centralised control of filing or folders system could be developed as part of the transition to electronic business processes. The existing keyword indexing system could be built upon when electronic systems were designed. Having a common file structure for both paper and electronic records would greatly simplify and improve records management. However, the staff who oversaw and managed electronic recordkeeping systems would need to have different and more highly developed skills than those possessed by existing registry staff.

### **Capacity of Registry Staff**

- 141 All senior managers, as well as the Auditor General, expressed concern about the current grading and capacity of registry staff. Registries were viewed as a dumping ground for staff, remuneration was poor and motivation low. Opportunities for career development and upward movement for registry personnel were deemed to be low or non-existent. A review of the records cadre in the public service would help to provide a basis for improving staffing capacities, levels of training, educational qualifications, pay and other remunerations and career opportunities. Without fundamental changes in all these areas, it was unlikely that improvements could be realised with regard to the provision of efficient and effective records and information management services.

### **Confidential and Open Registries**

- 142 The existence of confidential and open registries dated back to the era when government was more secretive in its dealings. In the new, more open operating environment of government, there was no reason why confidential records could not be administered together with open records, subject of course, to secure storage for confidential files within open registries and appropriate access controls. In the case of personnel files, there could still be the option within the unified registry system of having two files for each employee, one containing key documents and the other holding only ephemeral short term material. If confidential registries were to be discontinued in their present form, they could be converted into semi-current records stores for both personnel and subject files.
- 143 Most staff interviewed insisted that it was necessary to maintain confidential personnel files. However, detailed analysis of confidential and open files showed that there was great inconsistency in filing confidential and open file documents. Furthermore, the quantity of documents kept on confidential files was small (see Appendix E)
- 144 The modern international trend for treating the majority of personnel records as confidential because of the nature of their contents needed to be considered. With the exception of a few categories such as annual leave records, which might or might

not be classified as confidential, personnel records needed to be seen only by a small number of staff, based on the principle that only those staff whose job required them to see the records should have access. The meaning of the term 'open' personnel file was itself unclear because it suggested that as the contents were not confidential, they might be viewed by a wider range of staff. Security in open registries was far less rigorous than in confidential registries, and this issue needed attention.

- 145 The lack of common practices underlined the need for guidelines specifying which categories of documents should be classified and filed as confidential. However, there was also a case to be made for discontinuing two parallel sets of personnel files, particularly as the distinction between them and their purpose was unclear.
- 146 Significantly, the project to create an electronic 'master' personnel file had scanned only documents found on open personnel files because of the restrictions on access to confidential files. It was argued that as most key categories of personnel documentation were to be found on open files, it was not necessary to scan confidential files. However, as indicated in Appendix D, this would have resulted in the omission of key documents.
- 147 If confidential and open files needed to be maintained, an option would be to keep the two files in the same registry, side by side, so that personnel information about each individual civil servant was located in the same place and could be subject to the same high level of security. The files could be distinguished by the use of colour-coded covers as was current practice<sup>37</sup>. Guidance on the categories of documents to be kept on each type of file should be provided in the Standards and Guidelines for Managing Personnel Records. Classification and security procedures should also be consistent with the National Security Act.

## **Master Personnel File and Working Files**

- 148 It is common internationally for governments to maintain a single 'master' file for each employee. The master file, held by the central employing authority, would normally contain the core record of service and basic personal details, and also include those records needed to document the legal and contractual relationship between the employer and employee, such as letters of appointment, medical examination report, confirmation in post, and promotion, transfer and separation letters.
- 149 By contrast, 'working files' might contain annual leave and travel records, training applications and records, loan applications, salary arrears documents, copies of key documents held on the master file, and other records not critical to the employees contractual relationship with the employer. Working files would not contain any original personal records of long-term value. As long as the master file was properly

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<sup>37</sup> Current practice is to use a blue cover for confidential and a buff/brown cover for open. However, because of poor storage conditions and possibly the acidity of the paper from which the covers are made, 'blue' covers become brown with discolouration over time.



maintained, the contents of working files could be destroyed when they had no further use.

- 150 While the concept of a 'master' personnel file was already established in the Government of Tanzania, there was a lack of clarity about the contents of the file. According to Standing Orders, which were being revised, full and accurate personal records were to be kept by both PO-PSM and the officer's employing authority (ministry, department, agency, regional headquarters, etc) in order to provide a full and accurate service listing of officers. This practice had not been followed for some time. The situation was further complicated by the common cadres which fell under a parent ministry. For example, the Accounting Cadre fell under the Ministry of Finance. In theory, the parent ministry of a common cadre also maintained a master personnel file for the employee.
- 151 The personnel file scanning programme covered 27 core documents, although, as mentioned, it did not cover records on confidential files. These documents were intended to be requirements for legal, pension and other long term administrative purposes, but they might have excluded certain key records (for example relating to disciplinary matters, currently kept on confidential files) and also included records that were not normally included on a master file (such as CVs and sick leave forms).
- 152 A check list of master file documents needed to be designed. The check list could be included in the new Standards and Guidelines for Managing Personnel Records. A useful way forward would be for the master file to contain two major sets of documents: firstly, the key documents required for legal, pension and entitlement purposes; and secondly, those documents currently placed in the confidential file, such as disciplinary proceedings. Documents that needed to be retained for only limited periods, for example, leave forms and applications for allowances could be held in the working file. If the possibility of closing the confidential registries were to be accepted, the two files could be kept side by side and thus be more easily linked and retrievable. However, certain short-term value personnel records, such as leave forms, might need to be kept separately from personnel files so they can be disposed of separately after a relatively short period.
- 153 If the master file and working file model were adopted, a key issue to be decided would be the location of the master file. There were a number of alternatives:
  - a) digital master file held centrally and accessed through the HCMIS (as provided by the scanning programme); in theory, this would enable agencies with regulatory or supervisory responsibilities such as PO-PSM and PSC to monitor establishments and verify adherence to employment regulations without the need to refer to physical files; however, as noted, the scanned files are currently incomplete and inaccessible.

- b) paper file held centrally by PO-PSM; the Government's objective to decentralise the HR function made this option less attractive; furthermore, analysis showed that PO-PSM files were less complete than ministry files
  - c) paper master file created and maintained by the appointing/employing authority. This could be the MDA or, in the case of common cadres, the MDA responsible for the cadre, eg Ministry of Infrastructure Development for engineers and Ministry of Justice and Constitutional Affairs for lawyers.
- 154 The Standards and Guidelines for Managing Personnel Records were likely to recommend the adoption of option (c).
- 155 A separate issue was the wide range of numbering systems used for personnel files. The registry performance assessment conducted in November 2006 found widely differing practices between ministries and also, within the same ministry, different numbering systems for open and personnel files for the same individual (see Appendix E for more details). Again, a standard classification system was needed for personnel files and documented in the Standards and Guidelines for Managing Personnel Records. The unique payroll check number could be used as the numerical element of the file.
- 156 There were no retention and destruction schedules for personnel files or other human resource records apart from some general guidelines established by RAMD. The Registry Procedures Manual, issued by RAMD, included an example of a records retention schedule for personnel records, but this was not followed by MDA registries.<sup>38</sup> Although there were no known regulations that stated that personnel files could not be transferred to RAMD, no transfers had been made other than from PO-PSM (RAMD's parent MDA) and a few ministries where, for example, retrenchment programmes had been carried out. The planned Standards and Guidelines for Managing Personnel Records should include a retention and disposal schedule for personnel records.
- 157 Finally, there was the issue of authenticated or signed documents that provided the authoritative evidence of particular actions; for example, contracts, signed letters of appointments, and so on. Copies of original paper documents or electronic versions of the original documents might not be admissible in courts of law. The originals would therefore need to be retained on master files.

## **Storage and Space Concerns for Paper Records**

- 158 All MDAs expressed concerns about the lack of space in registries including limited capacity in terms of shelving and accessing information. Clearly a major decongestion

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<sup>38</sup> The example states that records of pensionable officers should be (a) transferred to Records Centre 2 years after termination of employment; and (b) reviewed 75 years after birth of employee or 65 years after date of earliest document on the file if date of birth cannot be ascertained, and every 5 years thereafter. No personnel file may be destroyed until 10 years after date of cessation of payment of pensionable benefit.

exercise needed to be undertaken in order to enhance the registries' capacity to manage files properly.

- 159 To prevent the build up of inactive records in future, there was a need to develop procedures for the routine appraisal and disposal of records. RAMD had made a start by issuing Records Retention/Disposal Schedules, mainly for paper files. However, there was limited awareness of the schedules, and many ministries needed practical and professional support to appraise their old records. It was especially important to identify electronic records and assign appropriate retention periods as these were far more vulnerable than paper records. RAMD needed to establish a programme for the regular review and updating of schedules.
- 160 There was also a need to consider options for the storage of inactive files so that the congestion in the registries could be relieved. Options included:
- a) Transfer inactive files to RAMD: this was not possible given that RAMD itself is full and has no large storage facility for semi-current records.
  - b) Construct a national records centre. This was an essential component of records management strategy and was recognised in the Government's Medium Term Strategy for the PSRP. The strategy also included zonal records centres in Mwanza, Arusha, Tanga and Mbeya to be used by local government authorities.
  - c) Transfer inactive files to semi/non-current records storage areas within the MDAs themselves.
  - d) Make more efficient use of existing registry accommodation. Each ministry had at least one open and one confidential registry. One of the existing registries could be converted into a combined open and confidential registry for current files, with necessary security being put in place for the protection of confidential files. The second registry could be converted into an MDA records centre with high-density shelving installed to maximise storage volumes. This option could also result in the reduction of registry staff.
- 161 Option b) (national records centre) provided a long-term solution and needed to be pursued as rapidly as possible so that the problem of congestion would be tackled more systematically and on a coordinated national scale. Option (c) or (d), or a combination of both, are recommended in the short term. Option (c) (non-current records storage in registries) could be pursued immediately as a short to medium term solution. Option (d) (combining open and confidential registries) would require more consultation and a policy decision, probably by PO-PSM. However, it was understood that PO-PSM was already looking at registry procedures, and the issue of open and confidential registries could be included in this review.

## Capacity of the Records and Archives Management Department (RAMD)

- 162 The mandate of RAMD gave it only limited authority over human resource records, personnel files or payroll information. It did not have access to the confidential records. IT was regarded as the solution to information management problems and there was little, if any, professional records management input to system design. At the same time, RAMD was developing RM policy without any direct involvement in government discussions about new access to information legislation and commerce and cyber crime laws. Clearly, the development of information-related policies and legislation needed to be better coordinated and RAMD needed to be involved.
- 163 The professional staff of RAMD would need to develop new skills and expertise if they were to provide leadership and guidance for the management of electronic records. They needed to be involved in the design stage of major computerised systems so that they were built with the necessary functionality to protect the integrity of records, to ensure that the records were accessible and preserved over time, and to satisfy any requirements for integration with other record-keeping systems, both paper and digital. To do this, RAMD would need its own specialist staff who were also capable of translating internationally recognised standards for electronic records management into generic requirements for MDAs.
- 164 It was essential to address the issue of capacity building for staff of RAMD gradually and in a sustainable way. Possible means of building capacity included the development and delivery of tailor-made training programmes for RAMD staff and/or the secondment of staff to various institutions overseas where electronic records management principles and practices were already established. Staff exchanges might also need to be considered. For example, a RAMD staff member could be attached to a National Archives where electronic records management was further advanced, and an ERM expert from that institution could be attached to RAMD to transfer skills. Alternatively, funds could be sought to support the attachment of an expert to RAMD to build capacity in ERM.
- 165 A further suggestion was to design and implement an electronic records management system in RAMD first, with the support of external experts. RAMD could be the pilot MDA in government and the system could be extended to PO-PSM as the first pilot ministry once the RAMD prototype had proved its success. This would provide an excellent opportunity for RAMD staff to learn from practical experience in their own environment and 'business context'. This approach would also allow RAMD to develop generic requirements for ERMS in government.
- 166 It was understood that costed proposals, totalling US \$17,000,000, had been provided by consultants in 2005 to develop records management systems for land, health, judicial and financial records. The proposals included very similar programmes of intervention in each of these different sectors. However, they paid little attention to assessing information needs or into defining the role of RAMD in supporting the transition to electronic business processes. A more strategic approach was required that linked with e-Government and standards. The recommendation would be to

target interventions in response to needs and in the meantime build RAMD capacity so that it could provide leadership in standards and best practices for records management.

## Electronic Records Management

167 The current HCMIS had no records management functionality. Neither did the KoVIS system. There were international standards for electronic records management that could be used as a benchmark for functional requirements<sup>39</sup>. Other relevant international standards covered information exchange and long-term preservation requirements. These included:

- American Standard Code for Information Interchange (ASCII) text to provide an easy migration path
- Open Systems Interconnection (OSI) standards for other forms of content, eg Tag Image File Format (TIFF) for images for long-term retention of records
- TCP-IP for linked networks to be accessed and to exchange information and data
- Open Source Software for moving application software and data from one vendor to another.

168 There was an opportunity for HCMIS to be enhanced to comply with international standards so that it would be capable of managing personnel records. Issues to be considered include:

- defining and specifying records management and archives requirements
- defining and specifying document management requirements
- defining and specifying workflow requirements
- incorporating international open standards for records management
- incorporating international open standards technological standard for hardware, software and application
- adopting internationally proved ICT methodologies and best-practise in systems design, specification, implementation, and post-implementation stages.

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<sup>39</sup> These included, for example, the US Department of Defense DoD 5015 v. 2 (*Design Criteria Standard for Electronic Records Management Software Applications*) and the European Union's *Model Requirements Specification for the Management of Electronic Records* (MoReq).

## Scanning Projects

- 169 From meetings with government officials, it was clear that scanning or digitising paper records was often seen as an attractive solution to the problem of storing and accessing large volumes of paper records. Scanning projects were already in progress in many areas of government.
- 170 RAMD staff had gained valuable experience from this project and should have learned some of the lessons of managing records electronically. However, there were some shortcomings that needed need to be addressed and these are listed in Appendix D. The objectives in establishing the KoVis database were not clear. Was it intended to be used by PO-PSM or MDAs to access information or was it regarded more as a longer-term back-up or alternative resource to the paper files?
- 171 Before embarking on large-scale scanning projects, government agencies needed to consider the business case, the integrity, accessibility and preservation of the digital records created and other requirements. The following questions were examples of the issues to be raised:
- Is scanning cost effective? Is there a sound business case for scanning? If not, the scanning of hard copies should not proceed. Keeping well-managed paper copies might be cheaper.
  - Will the paper originals be destroyed? If yes, what are the legal implications? If no, what are the costs of maintaining two sets of records?
  - Will the scanned images need to be captured into an electronic document/records management system? If yes, the system should meet acceptable standards.
  - Can the system be integrated as necessary with related systems and business processes?
  - How long will the images need to be preserved? Will they be subject to an authorised retention and disposal schedule?

## ICT

- 172 While the Government of Tanzania's national ICT Policy and e-Government strategy recognised the importance of standards, a legal framework and coordination in relation to ICT initiatives, there remained a risk that ICT projects would be uncoordinated and disconnected. Each ministry would move in its own direction, unless there were some form of centrally coordinated strategy that identified the key priority areas and aligned projects and programmes with the national ICT policy, e-Government initiatives and government reform programmes.

- 173 There was also the need to have in place ministry-level ICT strategies to guide project planning and implementation. The ministry-level strategies needed to be derived from government-wide strategy and support the objectives, priorities and core business functions of the ministry. This approach would greatly assist in sharing resources, skills and knowledge, reducing duplication, improving systems integration and information/data exchange, and adopting international and proven technological standards and methodologies. It would also help to ensure that records management functionality was built into systems that created or held electronic records.
- 174 All MDAs would in time have direct links to the HCMIS and other applications. No doubt eventually they would also acquire EDRMS or content management applications to manage their electronic documents and emails and as records. As government and MDAs embarked on the computerisation of their core activities, careful consideration was needed to identify and specify performance measurement requirements so that the success of each project could be measured. In the event of a project failure, lessons could be learned and corrective measures taken.
- 175 The Ministry of Finance was the current custodian of the Policy and Standards<sup>40</sup> for ICT procurement. The document was an attempt to harmonise the complexities associated with a vast array of hardware and software issues within a decentralised ICT user environment. However, the document made no reference to software and application standards. It was therefore recommended that a revised ICT Procurement Policy should be developed to take account of international standards. This would assist MDAs in specifying minimum requirements for hardware, software and application during system analysis or tender specification.
- 176 The success rate of ICT projects would depend on:
- awareness of the national ICT Policy and e-Government strategy and initiatives
  - advice and guidance to MDAs on the implementation of the policy and strategy
  - the quality and practicality of individual MDA MIS strategies, consistent with the National ICT Policy and customised according to the MDA plan, budget, cost and time frames
  - awareness of the need to build into the design of ICT systems that would generate and hold government records, the necessary records management functionality
  - adoption of international technological standards so that, for example, hardware and applications could connect and communicate easily throughout the Government network to enable data input and retrieval and information sharing

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<sup>40</sup> IT Hardware Policy and Standards for 2005/2006, Dated October 2005



- implementation of electronic document and records management systems so that they can link directly with HCMIS and other applications, and so that emails and electronic documents that were generated in course of government business and needed to be preserved for their evidentiary value could be managed as records
- the need to develop a national network backbone so that all Government of Tanzania applications and hardware could connect and communicate as one network; the Government needed to have, for example, a fully integrated, web-enabled HCMIS, with all MDAs using the network to communicate and share data/information
- establishment of a separate Ministry or Government Authority to drive ICT development and implementation and also create a conducive ICT environment at the national level
- a Government-wide ICT Strategy to identify initiatives that could be implemented in the short term (within 2-3 years), medium term (within 3-4 years) and long term (within 4-5 years). These initiatives then needed to be prioritised and clearly defined for implementation, including for each initiative: objectives that could be measured, as well as a description, phases/stages, timeframes, source of funding and resources required.

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## **Ministry of Health and Social Welfare**

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## **Ministry of Infrastructure Development**

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## **Ministry of Justice and Constitutional Affairs**

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## **Ministry of Natural Resources and Tourism**

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### REFERENCES TO RECORDKEEPING IN THE PUBLIC SERVICE ACT, REGULATIONS, STANDING ORDERS AND PUBLIC SERVICE MANAGEMENT AND EMPLOYMENT POLICY

#### 1. The Public Service Act 2002

The Public Service Act 2002 constitutes the public service of the United Republic, provides for its functions and obligations, and establishes the Public Service Commission as a single appointing and promotion authority for certain categories of staff (officer grade or equivalent). Key points in relation to appointing authorities and record-keeping are as follows:

- Under Section 4, the Chief Secretary, as head of the Public Service, is responsible for confirmation of public servants appointed by the President and is also the highest ranking disciplinary authority in the Service. Section 6 establishes that every Permanent Secretary, Head of extra-ministerial department, Regional Administrative Secretary and Director of a Local Government Authority is the authority in respect of the appointment, confirmation and discipline of public servants other than those appointed by the President. Every head of department or division is the authority in respect of the appointment, confirmation and discipline of employees in the operational service under his department or division. Equivalent authorities are also established for teachers (Teachers Service Commission), immigration officers below rank of assistant inspector (Director of Immigration Services), fire and rescue officers below rank of assistant inspector (Commissioner of Fire and Rescue Services), local government service other than those appointed by President (Local Government Authority concerned).
- Section 8 requires the Permanent Secretary (Establishment) to coordinate and ensure proper upkeep of personnel information for all public servants.

#### 2. Public Service Regulations 2003

Public Service Regulations, 2003 have been issued under Section 34 of the Public Service Act, providing for the administration of the service and its discipline, and for ordering of terms and conditions of service. The Regulations specify responsibilities and procedures for personnel management processes, including appointment, confirmation and promotion, performance appraisal, termination, discipline, retirement and other key administrative issues. In many instances, the Regulations imply that information must be communicated and recorded, but they do not specify the records to be created as evidence of personnel management processes nor how personnel records should be managed. A number of key points have been extracted from the Regulations which have particular relevance to record-keeping. These are set out below:

- **Part III: Performance Appraisal**

- ◇ section 22 (3): The information obtained through performance appraisal should be used in awarding or withholding increments, planning job rotation and training programmes, and in making appointments to higher posts or in demotions or terminations of appointment to that particular post.
- ◇ 22 (4). Every public servant shall be given a job description incorporating specific objectives and measurable indicators.
- ◇ 22 (6). Written performance assessment shall be completed each year ...
- ◇ 22 (8). ... where the performance of a public servant is adjudged unsatisfactory ... the employer or authorised public servant shall notify the public servant concerned information him in writing the area or areas in which his performance is deficient ....
- ◇ 23. The public servant and his supervisor shall sign a performance contract every year.
- ◇ 28. ... the supervisor shall make sure that one copy [of every performance report] remains in the public servants personnel file and another copy is retained by a public servant who is appraised. [Copies are also required to be forwarded to the relevant employing authorities (Chief Secretary, Regional Administrative Secretary, Director of Immigration, Permanent Secretary (Establishments) etc.)]

- **Part IX: Retirement Benefits**

- ◇ 89 (1). It shall be the duty of both employer and employee to keep employment records for the purpose of reference for calculation of the employee terminal benefits.
- ◇ 89 (2). Employment records kept by both employer and employee shall be regarded as original copies duly signed by authorised person (sic).
- ◇ 89 (3). Where there is no possibility to get hold of employment records from the employer's end, records in custody of the employee shall be used for any purpose provided that such records are in the original form.

- **Part X: Miscellaneous: A - General**

- ◇ 91. Where ministries communicate with each other, they shall not communicate by passing files. Communications shall be through letters which should be in simple forms and self-contained and where legal advice is required, ministries may pass files to the Attorney-General.
- ◇ 93. Communication from the Head of Independent Department, Executive Agency and Regional Secretariat shall be made directly to the Ministry or Organisation concerned provided that it is copied to the Perm Sec of the Ministry to which the Independent Department or Executive Agency is grouped or in case of the Regional Secretariat to the Min responsible for Regional Admin and Local Govt
- ◇ 94. Communication from the Local Govt Authority shall be made directly to the organisation concerned provided that a copy of such communication is served to the Regional Admin Sec and the Perm Sec of the Min responsible for Regional Admin and Local Govt.



- **Part X: Miscellaneous: B. Teachers' Service**

- ◊ 120. ... Regional and District Committees shall:
  - (a) keep and maintain an up to date register of all teachers under their jurisdiction who are registered in Part I and Part II of the register of teachers;
  - (b) keep and maintain an up to date seniority list for all teachers under their jurisdiction
  - (c) ensure that teachers registered in Part I or Part II of the Register of teachers fill and sign the agreement forms before they report to their respective stations after they have been certified fit for appointment
  - (d) ...
  - (e) shall maintain records in open and confidential files and send service particulars to another region in the event of the teacher's transfer.

- **Part X: Miscellaneous: C - Local Govt Service**

- ◊ 144. The Director [of a local govt authority] shall under his hand issue the letter of appointment to the candidates appointed [through the appointment procedures described in Regulations, Sections 140 – 143]

### **3. Public Service Management and Employment Policy 1999**

As already noted, the Government has introduced a new Public Service Management and Employment Policy (January 1999) to provide the basis for a more decentralised, flexible and initiative-led Public Service.

Though the Policy makes few references to records and information management, it includes a number of objectives that are relevant to the establishment of standards and guidelines for personnel records. These include:

- Enabling different public service organisations to develop human resource management practices which are tailored to their individual circumstances, within a single, common framework of principles and standards.
- Promoting modern management practices in the public service, including emphasis on delegation and decentralization in the delivery of public services.
- Making every public service organisation responsible for devising its own organisation and management structure, being guided by the following principles:
  - ◊ clear lines of responsibility and accountability for every action
  - ◊ decision making authority for resources, and accountability for results shall rest with the person who is operationally responsible for the activity.

The Policy envisages a small, policy-making Public Service Department (since renamed Public Service Management – PSM) which will have a stronger role in safeguarding common principles and standards and ensuring implementation of the new Policy. Prime responsibility for human resource management will, however, rest with employing

organisations. Of particular relevance also is that PSM is required to maintain a key central and complete database on all Public Service personnel.

#### **4. Standing Orders for the Public Service**

Though issued before the Public Service Act 2002, the Standing Orders for the Public Service (second edition 1994 with some later amendments) remain an authority for the general conditions of service and administration for the public service in Tanzania, and for the standard forms to be used in human resource management processes. However, it is understood that the Standing Orders were currently being reviewed. The existing Standing Orders rarely state where specific forms or communications should be filed but sometimes specify where forms should be sent. Key extracts from Standing Orders that are relevant to personnel records management are listed below:

B.3: Ministries should not communicate with each other by passing files [would rule out passing on personnel files?] Letters ... should be in a simple form and be self-contained.

B.4: Ministries may pass files to Independent Departments as and when required.

C.19 (a). Personnel Records. Full and accurate particulars and records of service of all officers must be maintained at the Civil Service Department and at the officer's respective Ministerial/Departmental/Regional Headquarters ...; (b). Officers may not, without permission, have access to official papers relating to themselves. For example, officers should not handle their personnel files.

C.25: Form Design: The advice of the Civil Service Department should be sought on the design of any form which it is desired to introduce in the Civil Service ...

C.29: The following casualties in respect of officers on permanent terms as specified below will be published in the Gazette:

- (a) in respect of all officers
  - (i) substantive first appointment
  - (ii) conformation in appointments
  - (iii) departures on (or on leave pending) resignation, retirement, completion of contract, termination of appointment, or dismissal
  - (iv) deaths
- (b) In respect of certain specified officers:
  - (i) Acting appointments
  - (ii) Reversions of acting appointments
  - (iii) Promotions
  - (iv) Transfers and secondments
  - (v) Department on arrival from leave.

C.31: It is the responsibility of the Ministries/Independent Departments/Regions to ensure that their notices, etc, do appear in the Gazette and to arrange for extracts to be taken for their files.

D.31: Personal Record form: All Ministries/Independent Departments/Regions will maintain full records of the particulars of services of all their officers. These details will be recorded on Personal Record Form (appendix). A copy of the form duly filled should be sent to the Principal Secretary (Establishments).

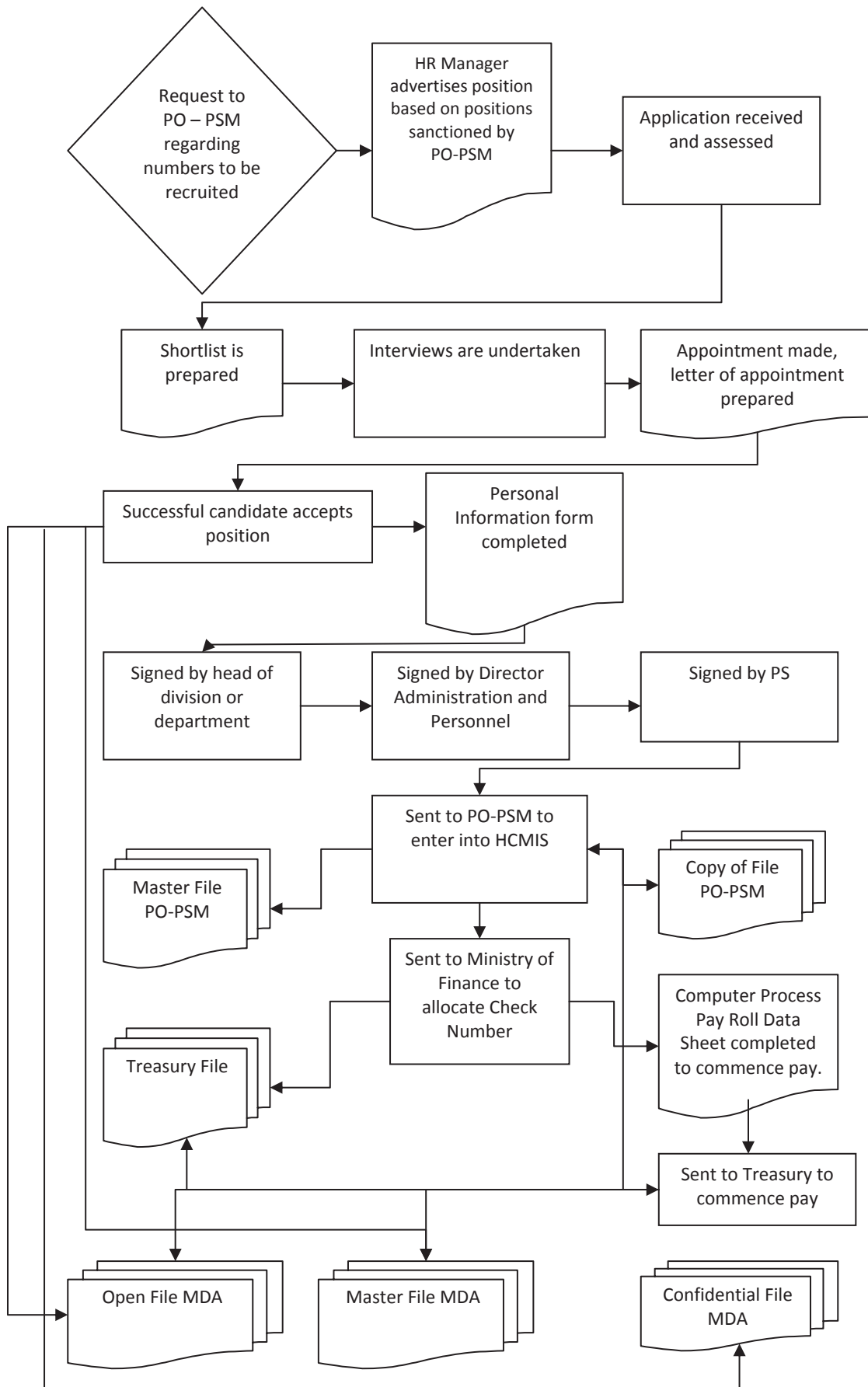
D.62 (a) certificate of service (appendix) will be given to an officer, upon the cessation of his appointment ...; (b) a copy of such certificate will be filed on the officer's Ministerial/Departmental/Regional personnel file.

F.29: Attendance Registers: ...attendance registers will be maintained by Ministries/Departments/Regions ...in Appendix C.



### **HUMAN RESOURCE MANAGEMENT PROCESSES, PAYROLL CONTROLS AND INFORMATION FLOWS: RECRUITMENT OF NEW STAFF**

The process for recruiting new staff is set out in the diagram below but this process will change as the HCMIS is upgraded. The appointment process required the employing ministry to place a request with PO-PSM, which liaised with the Treasury to determine the government's financial ability to support the request.



The process of filling positions was expected to include an advertisement, a short listing of suitable candidates for interview and a letter offering appointment to the successful candidate. A new employee filled in a personal information form. A *Computer Processed Pay Roll Data Sheet* (TFN 687) was also prepared to trigger pay. All documentation was then sent to the head of division or department, the Director of Administration and Personnel, Accounts Section in the Ministry or Department, and the Principal Secretary (Permanent Secretary) for authorisation. (Human Resource managers noted that the current structure and layout of the TFN 687 form was overly technical and cumbersome and there were considerable difficulties in completing it. It was understood that this form had been reviewed and re-engineered and different functions relating to pay management and salary variation would use a variety of new forms.)

Once authorised, the documentation was forwarded to the PO–PSM where limited personal information is entered into the HCMIS. Documentation was then forwarded to the Ministry of Finance where a unique ‘check’ number (personal identification number) was allocated. All public servants were allocated a check number and all salary payments were based on this number, without which no public servant can be employed. The check number had seven digits and is unique to individual employees. It was not reassigned when the employee left the service. Information from the TFN 687 form was entered into the HCMIS to trigger pay. (The same form was also used for any changes in the salary status of employees including increases and deductions.)

Originally up to 15 signatures were required before a new employee could be entered on the payroll. This had had been reduced, although it was understood that it still took approximately two months to add newly appointed staff to the payroll. In a stakeholders’ workshop on ‘Perspectives and Imperatives in the Formulation of the PSRP Phase II Strategy’<sup>41</sup>, there was criticism of recruitment policy, which was considered to be inefficient and ineffective. It was noted that there were long delays in recruitment and filling of vacancies, and that the processes were too centralised and rigid. The slowness in entering newly recruited staff into the payroll meant that salaries were not being paid on time. Furthermore, the exact number of employees at any one time cannot be known if new employees had been recruited but were not added to the payroll for several months.

Typically, each employee had an open file and confidential file created during the appointment process. File numbers were not based on the check number, nor was there any consistency between the numbering of the different files. These separate personnel files numbers were generated within each MDA according to local practice. An inspection of files at the Ministry of Agriculture indicated that check numbers were not always evident on personnel files. All employees above a certain grade were required to have a master file created and held by PO–PSM. The Treasury also created a file with pay information for each public servant.

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<sup>41</sup> President’s Office – Public Service Management: Public Service Reform Programme. Final Report: Stakeholders’ Perspectives and Imperatives in the Formulation of PSRP Phase II Strategy. August 2006





### COMPLETENESS OF DATABASE OF SCANNED PERSONNEL FILES

Document Category	No. of Documents Found in 8 Files	Completeness of Sample of 8 Files
Medical examination form	6	75 %
Personal record form	5	62 %
Birth certificate	0	0 %
Next of kin card	2	25 %
Letter of first appointment / appointments	6	75 %
Letter of acceptance	6	75 %
Academic certificates	7	88 %
Curriculum vitae	1	12 %
Letter of confirmation	2	25 %
<b>TOTAL No. of Documents Found</b>	<b>35 out of 72</b>	
<b>Completeness of Sample</b>		<b>48%</b>

The personnel records scanning project had been a very valuable undertaking that raised a host of important issues. These are outlined below.

In the sample of the database of scanned personnel records, the following issues were identified as needing to be addressed:

- The list of core documents needed to be revisited and reduced to ensure that the scanned categories of document represented the core records required to constitute a master file and, in future, would supply most of the information requests likely to be received from HR officers when dealing with employment history issues.
- 'Open' personnel files were scanned but not 'confidential' personnel files; the open files themselves were incomplete. In the sample that was studied, while not statistically valid, indicated that none of the document categories were found on all files and that two key document categories that might have been critical in applying for certain benefits and providing proof of entitlements (birth certificate and letter of confirmation) were not complete on the files. No birth certificates were found on any of the files, and letters of confirmation were only found on two of the files.
- There was poor quality control during the project; some of the scanning was of poor quality making the images difficult to read, and documents had been missed.
- Documents had been removed from files and had not been re-filed but were left in separate folders, causing retrieval problems in MDAs; MDAs had not been kept informed of the progress of the project or the next steps.

- The KoVIS database was not optimally designed; documents were not indexed individually. The system did not generate an 'image' number (ie, there was no unique identifier for each individual scanned document). Documents were searched for and retrieved using a control form field (eg, check number) or a combination of fields (eg, name and ministry code). A search produced a 'hit list' from which documents could be selected and viewed.
- The database and system were managed by RAMD staff who were not trained as system administrators.
- The project aimed to constitute a 'master' file but they were selected documents from 27 categories, some of which were not needed for a 'master' file.
- No policies or mechanisms were in place to ensure the database was updated, for example, when an employee was transferred or promoted or left the public service.
- There was no operations manual that specifically described the procedures and forms to be used by RAMD and, in future, by all MDAs.
- The intention was that MDAs would be provided with scanners and that staff in MDAs would be trained to update the digitised 'master file' when an HR change occurred and new records were generated. However, the procedures for updating the master file had not yet been defined and agreed, and a number of questions remained unanswered. For example, would new index and check list forms be completed and scanned as well as the new records and how would they be linked with the existing master file?
- While there was a technical manual for the KoVIS system, there was yet no operations manual that specifically described the procedures and forms to be used by RAMD and, in future, by all MDAs.
- Procedures would also need to ensure that system data was secure and not susceptible to unauthorised access or changes. Though not demonstrated, it was understood that the system provided an audit trail for updates by capturing the date and time of scanning and the user name.
- As noted elsewhere in this report, the electronic master files were far from complete and therefore could not be relied upon as a comprehensive personnel record. More details are provided in paragraph 91. There was also concern about the quality of the scanning. During the demonstration, it could be seen that the quality of some images was poor and that the electronic document would be difficult to read. For any future scanning project, it was important that quality control was built into the project design.
- There would be a need to pay for KoVIS upgrades and system maintenance. The existing warranty ended in March 2007. The project had not yet determined a longer-

term preservation strategy that would enable the digitised records to be migrated through technology changes and preserved over time.

- The KoVIS system was not being used to access information about civil servants and was regarded more as a longer-term back-up or alternative resource to the paper files. It was understood that RAMD would be reviewing the progress of the scanning project. This was a necessary step; ideally, the programme would not be resumed until a thorough review had been carried out of the project design, methodology and outcomes in the pilot MDAs and changes made as necessary.
- In the longer term, RAMD needed to develop standards and guidelines for large-scale scanning projects to ensure that they were based on a sound business case, to take into account any integration issues and also to ensure the integrity, accessibility and preservation of the digital records created.

## **Public Services Pension Fund**

The KoVIS system might be compared with a separate scanning application used by the Public Service Pensions Fund (PSPF). Since its creation in 1999, the PSPF had registered pensionable public servants in a Laserfiche document management system<sup>42</sup>. It was understood that there were no formal discussions with RAMD when the system was designed and installed.

The PSPF had 295,000 members, of whom 61% are teachers. Registration is controlled centrally. New members could join by visiting the PSPF offices in Dar es Salaam, but normally members were registered by PSPF staff, who regularly travelled around the country for this purpose. At the time of registration, PSPF staff could also scan key documents such as letter of first appointment, salary slip and confirmation letter.

The standard Registration Form (PSPF N 1) which had been in use since July 1999 included key personal details: date of birth, full name as on salary slip, check no (from payroll), date of first employment, employer's stamp, thumb print and photograph. These last two elements made confirmation of identity more reliable. Registration was not accepted without certain attachments (for example, letter of appointment and salary slip showing the deduction for membership). ID cards were issued to pensioners.

Different forms and supporting documents were needed to process applications for benefits, depending on the nature of the benefit (invalidity, death, retirement, etc). For example, Form 6 was used to apply for retirement benefits and had to be accompanied by two photographs, notification of retirement, last promotion letter, last salary slip, and details of leave without pay before 1999 as certified by the applicant's employer.

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<sup>42</sup> Laserfiche Document Management, based in the USA, is a leading provider of integrated document management solutions for business and government needs. PSPF used a Kenyan company for the design and installation of the Laserfiche database.

Documents were scanned, individually numbered by the system and indexed. All documents relating to a member could be seen on the screen in one view, making it easy to retrieve individual documents and to see the completeness of the member's record. Original documents were retained in paper files, one file for each member. A separate database was used to control the storage and location of paper files.

Some members experienced problems in obtaining the required documents for scanning. Missing documents were recorded in a computerised register that produced reports that enabled missing documents to be tracked easily. Attempts were made by PSPF to obtain missing documents (for example, when PSPF staff travelled up country on registration visits or by communicating with PO-PSM and the Teacher Services Department). However, there might still be gaps in the documentation when the member applied for benefits. While individual PSPF members should hold their own copies of certain key documents, the primary reason for difficulty in locating documents, cited by PSPF staff, was the movement of members between employers and the lack of a definitive record held by government. If a member changed jobs and stations frequently, the files containing the required documents might be in multiple locations. Difficulties in locating documents clearly contributed to delays in paying pensions and benefits. This pointed to the need for a single master file for each public service employee.

Kinondoni Municipality is also in the process of introducing its own computerised system specifically for personnel records, using funds provided by IICD (Netherlands). The Municipality is currently entering basic data (names, salary, check number, confirmation letter, letters of appointment, etc) in a customised database.

From meetings with government officials, it was clear that scanning or digitising paper records was often seen as an attractive solution to the problem of storing and accessing large volumes of paper records. Scanning projects were already planned or in progress in many areas of government. The risk was that these would result in a proliferation of different systems and technologies. The PSPF, KoVIS and Kinondoni systems were just a few examples of completely different applications and methodologies being used for a broadly similar business function. This suggested the need to coordinate scanning projects within the Public Service and also to develop and apply common standards as noted in para 173.

### PERSONNEL REGISTRY PERFORMANCE: SURVEY AND SAMPLING EXERCISE

Open and Confidential Registries were surveyed by RAMD staff<sup>43</sup> in four MDAs: PO-PSM and the Ministries of Infrastructure Development, Justice and Constitutional Affairs, and Natural Resources and Tourism. The survey was carried out over three days between 9 and 13 November 2007. Though the small sample provided indicative data only, some significant points emerged, including the following:

- The number of closed files remaining in the registries was high; in two out of four MDAs the number of closed files was far greater than the number of active files.
- There were few transfers of non-current records from MDAs to RAMD other than from RAMD's own parent MDA (PO-PSM).
- Six of the eight registries sampled were found to be 'congested' or overfull.
- In two MDAs (Justice and Natural Resources) the number of file movements was so low as to indicate either that files were rarely used or, more likely, file tracking records were not used.

A series of general issues also were noted:

- Open registries in the MDAs sampled had more staff, yet hold less files.
- Support staff (such as watchmen) did not have confidential personnel files.
- The scanning exercise had omitted many documents that should have been included.
- There were inconsistencies in the use of the 'confidential' classification. For example, performance reports, which were supposed to be open to the employee, were more often placed on confidential files that could not be seen by the employee<sup>44</sup>.
- With few exceptions, registries were in poor physical condition (lack of storage equipment, poorly maintained storage equipment, overcrowding, lack of space for staff and poor working conditions are typical).
- Poor physical conditions resulted in delayed or unsuccessful file retrieval.
- Misfiled papers were common: for example, a government circular was found on a confidential personnel file.

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<sup>43</sup> The team consisted of Y. Shaidi, Records Officer I (9 and 10 November), J. Kaluwa (9 November), Z. Kutengezah (10 and 13 November), A. Lucas, Records Officer II (9, 10 and 13 November), J. Ndaru, Records Officer II (9, 10 and 13 November), and M. Malekano, (13 November).

<sup>44</sup> Registry staff are sometimes instructed by officers to file documents on a particular file and follow the instructions even when they know it to be incorrect.

- At least one ministry (Infrastructure Development) was planning to create its own on-site storage area for semi-current records to relieve space problems.
- Open and confidential registries used different personnel file numbers for the same individual.
- At least one ministry (Natural Resources) arranged personnel files alphabetically, rather than by file number numerically, in an attempt to improve retrieval.
- Some registry staff (eg, Infrastructure) had attended records management training at RAMD.
- Some ministry HQs no longer kept personnel files for ministry staff located in the departments. For example, Ministries of Infrastructure and Natural Resources had transferred files of officers working to the relevant department in which they were employed. This decision was based on the shortage of storage space in the ministry HQ registries. However, there were exceptions: for example, ministry HQs might still hold files for employees working up country and also for heads of department.
- The common understanding was that PO-PSM held personnel files for all civil servants. However, PSM held files only for establishment cadre, not for specialist cadres such as lawyers and engineers. These files were held by the ministry that managed and controls the cadre.
- Even for 'establishment cadre' employees, the file held by the parent ministry was more likely to be up to date and complete than the corresponding file held by PO-PSM. Personnel documents were not routinely sent to PO-PSM for filing.
- There was lack of clarity about where the files of staff who had transferred to an administrative grade from a common cadre should be held. For example, the personnel file of an officer originally recruited as a lawyer and who was then employed in the administrative cadre remained with the Ministry of Justice. However, because HR processes had changed, a ministry that wished to recruit a lawyer might now recruit direct rather than through the Ministry of Justice. Although the ministry sought authority to recruit from PO-PSM, PO-PSM did not open its own file for the person appointed.

## **Further Measurements of Performance**

The following table sets out findings in relation to registry processes, the physical state of registries and the view of records users and staff.

<b>Pending Items:</b> time taken to action pending items	9.67 days (shortest time less than one day, longest time 110 days). Of the 55 items reviewed, 37 items (67.27%) were dealt in 5 days or less.
<b>Physical State:</b> 12 registries assessed on 11 factors	60.7% good or very good 25.8 average 13.5% poor or very poor.
<b>Key Control Books and Systems:</b> 10 registries assessed	78% of key control books good or very good 16% average 4% were said to be poor or very poor
<b>Views of Record Users:</b> 11 records users interviewed	36% identified file tracking as problem 55% identified capacity or number of registry staff as problem Majority of respondents gave a positive view of the changes brought about by the records management reforms and cited various benefits,
<b>Views of Registry Staff:</b> 19 registry staff interviewed	26% said that there had been no change 63% said that there had been an improvement 53% identified inadequate supplies and equipment as a problem 37% identified inadequate storage space for records as a problem 26% identified insufficient training opportunities as a problem 21% identified insufficient staff as a problem
<b>Training of Registry Staff:</b> 19 registry staff interviewed	79% of the staff had received registry training. 63% found the training satisfactory 37% found the training good or very good
<b>Cooperation with Action Officers</b>	27% of respondents said cooperation was good 68% said cooperation was average 5% said it was poor

## Open and Confidential Personnel Files

The analysis of confidential and open files shows that there was much inconsistency in the placement of documents on the two types of files, as indicated in the table below.

Document Category	Open Registry (26 Files sampled)	Confidential Registry (23 Files sampled)
Leave form, applications (other than sick)	26	4
Allowance applications etc	7	1
Letters re tax and refunds	6	
Training requests / nominations	12	3
Salary advances	5	1
Salary arrears	11	2
Refunds	4	4



Document Category	Open Registry (26 Files sampled)	Confidential Registry (23 Files sampled)
Complaints re promotion, training, allowances etc	19	
Acting appointments	2	
Change of name	3	2
Disciplinary documents	1	3
Payroll data sheets	8	
Payment vouchers	20	1
Request to change job	1	
Salary slips / advice	3	
Loan applications	7	
Interviews	1	
Performance record reports	2	14
Vetting documents	3	4
Training courses / reports	8	3
Academic progress report	4	2
Insurance policy / forms	2	
Personal service particulars	3	
National Service recruitment	2	
Loss reports	1	
On Job Reporting Letter	1	1

The quantity and range of documentation kept on confidential personnel files was small. The table below compares the contents of an example of typical open and confidential personnel files examined during the sampling exercise.

Document Type	Open Registry	Confidential Registry
Medical examination form	1	
Personal record form	2	14
Birth certificate	4	
Next of kin card	1	1
Academic certificates	3	
Letter of confirmation	1	1
Letters of Transfer	3	
Service and Salary Particulars	1	
Leave form, applications (other than sick)	4	
Allowance applications etc	3	
Letters re tax and refunds	1	
Training requests / nominations	6	
Complaints re promotion, training, allowances etc	2	
Acting appointments	1	

Document Type	Open Registry	Confidential Registry
Request to change job	1	

## Classification of Personnel Files

The table below illustrates some of the practices currently used to number personnel files.

File Reference Example	Description	Meaning
MW/PF/M/4332	MW	Ministry of Works
	PF	Personnel File
	M	First Letter of employee's surname
	4332	Serial number
MNRT/PF/3040	MNRT	Ministry of Natural Resources
	PF	Personnel File
	3040	Serial number
FD/1972	FD	Forestry Department
	1972	Serial number
J/PF/2261	J	Justice
	PF	Personnel File
	2261	Serial number
JC/PF/4539	JC	Justice Confidential
	PF	Personnel File
	4539	Serial number

As can be seen, while there were some commonalities, in practice, there were also differences. Several other issues need to be considered in relation to personnel file classification.

- Within the same MDA, the open and confidential files of the same employee might carry different file numbers
- In some MDAs, the files were not arranged numerically on the shelves/filing cabinets but alphabetically
- An employee who had worked in different offices, even within the same Ministry, would have files at each place of employment, all numbered differently.

There are a number of options for a classification standard:

- Use of the payroll check number as the numerical element of the file number:* The check number was a unique identifier already used by the HCMIS and for payroll and other HR purposes, including benefit applications. If used as the key part of the file reference, any personnel file for the same employee would always bear the same number and would be stored and located in the registry by this number. There would

also be a reliable and easily used link to the employee's data in HCMIS. Retrieval of the paper files would be via an alphabetic index arranged by surname and forenames, as is the current registry practice. A drawback, however, was that any collection of personnel files would include large gaps in the file numbers, making it more difficult to identify missing files and possibly leading to errors in filing.

- b) *Use an alpha-numeric system with MDA identifiers plus serial number:* The common practice was to create file reference numbers by an abbreviation of the MDA followed by PF to represent Personnel File and a serial number. Variations of this could be to include 'C' in the reference to indicate a Confidential File, or to include the first letter of the employee's surname as an element. If a requirement was that the open and confidential file should bear the same serial number, this would also result in gaps in the numbering system as not all employees have confidential files. Furthermore, files for the same employee held by different MDAs would have different file references.
- c) *Use an alphabetical arrangement by employee's name:* This option had the advantage of simplicity, but also many disadvantages. Experience has shown that the alphabetical arrangement of files leads to numerous filing errors because of the similarity of names, misspelled names, name changes, confusion between first, middle and last names, etc. Alphabetical arrangements would not therefore be recommended.

On balance, option a) had more advantages. The issue would need to be discussed in more detail before a classification system was agreed for the Standards and Guidelines.

### CLEANING UP PERSONNEL FILES AS A DATA SOURCE FOR HCMIS

The unreliability of source data has bedevilled attempts to improve and automate HR information management. Records of HR management events (appointments, transfers, promotions, etc) continue to be generated as paper copies and continue to be scattered and difficult to locate. As long as personnel files are incomplete, it will be difficult to maintain a comprehensive and accurate database of public servants and speedily pay terminal benefits such as pensions.

A recent review of the HCMIS<sup>45</sup> proposes that an exercise should be carried out to clean the payroll. The report notes that there has been no payroll audit since 1999 and proposes that PO-PSM should organise a clean-up exercise to provide more accurate payroll and personnel data. The exercise would use forms for MDAs to confirm the existence of employees and verify data. The exercise would either be undertaken by the MDAs themselves or by teams managed by PO-PSM.

This exercise would not tackle the problem of non-existent, unreliable or incomplete 'master files' whether paper or electronic. A different or parallel approach to improve the utility and completeness of personnel data would be to clean up paper personnel files once and for all, and to introduce procedures to ensure that, in future, one reliable master personnel file is maintained for each employee.

A once-and-for-all clean up of paper personnel files had been suggested previously<sup>46</sup>. One method would be to eliminate duplicate or unnecessary files from registries by separating files into four categories:

- a) active staff currently employed in the ministry
- b) staff who previously worked for the ministry and have been transferred elsewhere
- c) separated staff (ie, former staff of the ministry who have been retrenched, have retired or are deceased)
- d) queries, to be progressively eliminated by allocation to other categories.

Files in category (a) would form the basis of a master file. These files would be renumbered according to each employee's unique check number so that they can be linked directly with

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<sup>45</sup> Government of the Republic of Tanzania: Human Capital Management Information System. *Review Report*, June 2006. By Charles Kinyeki, Payroll Management Consultant.

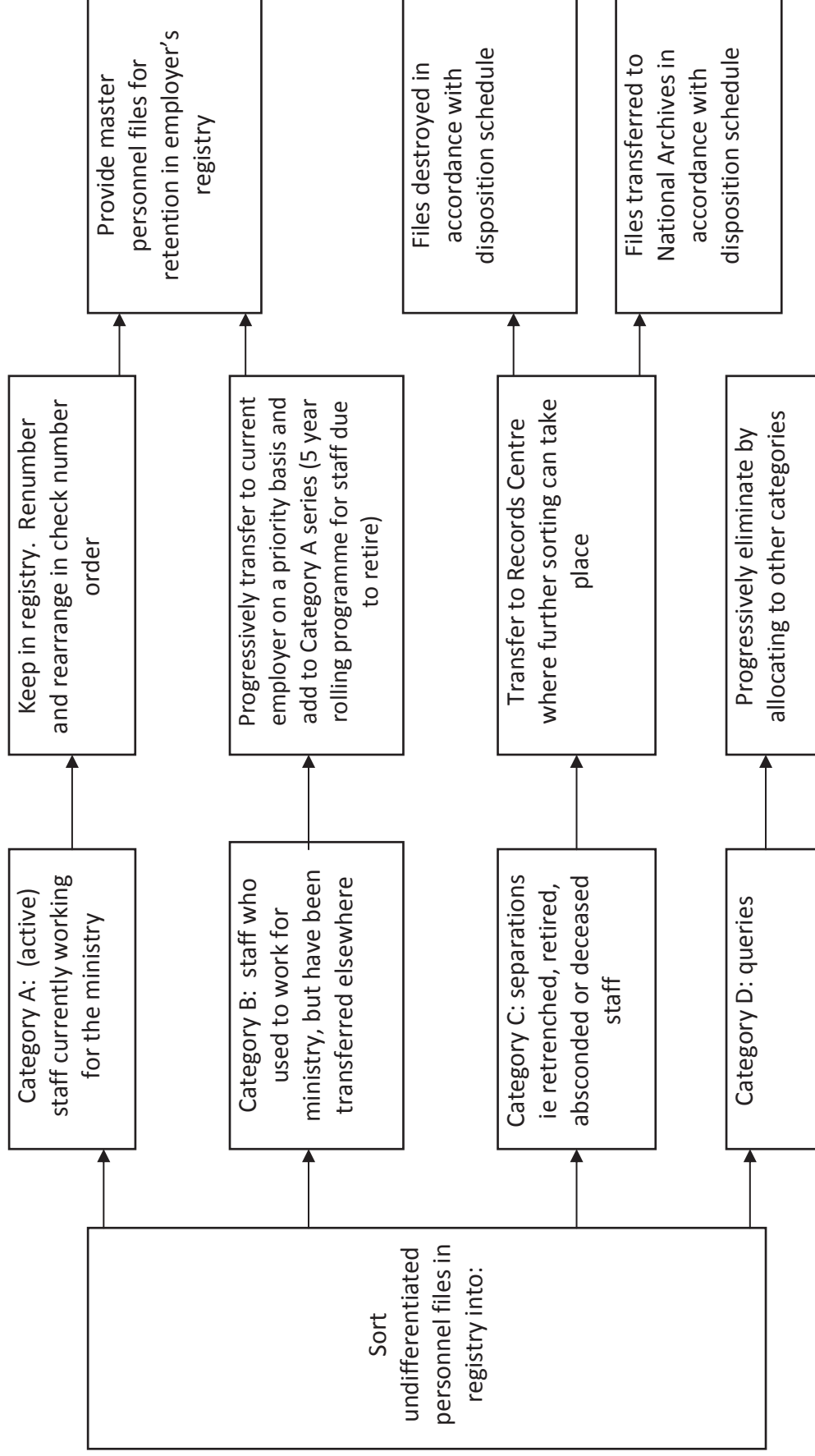
<sup>46</sup> See, for example, *Personnel Control and Information Systems (PCIS) Project, Management of Personnel Records: Report and Proposal* by International Records Management Trust, July 1998.

HCMIS data which also used the check number as an identifier<sup>47</sup>. Files in category (b) would be unified with current employer's files and combined as necessary to provide a more complete master file. Files in category (c) would be transferred to inactive file storage. The process is illustrated in Table 1 below. New procedures, to be established by the Standards and Guidelines for Managing Personnel Records, would ensure that the master files were maintained and kept up to date.

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<sup>47</sup> It has been suggested that a database of personnel files should be established in order to identify and track all the personnel files in existence. This, however, is not necessary if the HCMIS is used to identify and track the location of the master files.

**Table 1: Work Flow for Personnel File Clean-up**









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