THE MANAGEMENT OF PERSONNEL RECORDS IN THE PRESIDENT’S OFFICE, PUBLIC SERVICE MANAGEMENT, GOVERNMENT OF TANZANIA

By

NORBERT IGNASI CYRILLE

A Thesis Submitted to the School of Information Sciences in Partial Fulfillment of the Requirements for the award of the Degree of Master of Science in Information Sciences (Records and Archives Management)

Department of Library, Records Management and Information Studies
School of Information Sciences
Moi University,

November 2010
DECLARATION AND COPYRIGHT

I hereby declare that the work therein unless otherwise cited is my original work and has not been presented for a degree in any other University. No part of this thesis may be reproduced by any means, in full or part, without the written permission of the author and/or School of Information Sciences of Moi University

Name of Candidate: Norbert Ignasi Cyrille

(IS/MSC/07/08)

Signed: …………………………… Date: ………………………………………

Declaration by Supervisors:

This Thesis has been submitted with our approval as Moi University Supervisors

First Supervisor:

Signed: …………………………… Date: ………………………………………

Prof. Justus M. Wamukoya

Second Supervisor:

Signed: …………………………… Date: ………………………………………

Dr. Emilly Kogos
ACKNOWLEDGEMENT

First and foremost, I wish to thank the Almighty God for his grace without which I would not have completed this work.

On the human efforts, the completion of this work was made possible through the encouragement, cooperation, assistances, guidance, help and constructive criticism from various people. I am particularly grateful to the following:

My mother Ms Helen Didier, my brother John Benedict Lugendo, my son Roddick Norbert Cyrille and his mother Fatma Mahmood, my daughter Anna Ignasi Cyrille, for their solidarity, patient, and whose selfless support and words of encouragement have been a great source of inspiration. My supervisors Prof. Justus Wamukoya and Dr. Emilly Kogos who tireless, and with dedication read through my work giving valuable advice and constructive criticism. The President’s Office, Public Service Management in conjunction with the Records and Archives Management Division for facilitating my studies, and accepted to participate in this study.

My MSc Information Sciences (RAM) course classmates Jennifer G. Marandu and Joseph R.M. Ndaro; colleagues, friends, relatives and family members who in their various ways facilitated my successful completion of this work. However, as a researcher, I take full responsibility for errors, omissions and interpretation of the findings.

I cannot fully thank everyone who offered me assistance. To you all who are mentioned and who may not have been mentioned above, I say:

THANK YOU AND GOD BLESS YOU ALL.
DEDICATION

This work is dedicated to:

My father Cyrille Ignasi

My children Kohl-Larsen and Lauryn

My brothers Ignasi, Alfonse and Fabian

May God take care of you and all of us and award us a joy of meeting again soon.
ABSTRACT

Proper management of personnel records can make a significant contribution to personnel records management by ensuring that information is available to take decisions and to protect the rights both of the state and of individuals. A personnel records system should run effectively whether it is in a purely paper-based environment or in the emerging electronic environment. The aim of this study was to investigate and evaluate how effectively personnel records are managed in the Tanzania public service with specific reference to the President’s Office – Public Service Management, with a view to developing a records management model as a tool for the management of personnel records in the public service. The specific objectives of the study were to: determine how effectively personnel records are managed in the PO-PSM; establish what government policies, systems, standards and procedures existed to guide the management of personnel records in the PO-PSM; explore the challenges experienced in the management of personnel records in the PO-PSM, determine the use of personnel records in decision making and service delivery; and suggest strategies to address the challenges facing personnel records held in government ministries and departments and propose a records management model to be adopted in the management of personnel records in Tanzania.

The theoretical framework for this study was derived from the Records Continuum Model and the Diffusion of Innovation Model. A sample of 46 respondents was selected for the study using purposive and convenient random sampling techniques. The study sample included 3 top management staff, 20 action officers, 8 registry staff, and 15 RAMD staff. The study was qualitative in nature, and data were collected using interviews, which were supplemented by observation and documentary sources. The data were analyzed qualitatively, using data description.

The findings of the study showed that personnel records were an important source of information for human resource functions as they were specifically used to document the employees’ work history. The findings further indicated that personnel records management at PO-PSM faced a number of problems, the major one being, the lack of policies, standards, procedures and guidelines to underpin the effective and efficient management of personnel records. Other issues included low priority accorded to records management; absence of records management culture; inadequate skills for managing records especially in electronic format.

On the basis of the findings, it was recommended that there is a need for Tanzania to have a major overhaul of personnel records management systems throughout the public service; policies, standards, guidelines and procedures should be promulgated and implemented to improve the management of personnel records in the public service and especially in the PO-PSM. A model was developed to enhance the management of personnel records in the PO-PSM.
# TABLE OF CONTENTS

DECLARATION AND COPYRIGHT ..................................................................................... ii
ACKNOWLEDGEMENT ................................................................................................... iii
DEDICATION .................................................................................................................. iv
ABSTRACT .................................................................................................................... iv
TABLE OF CONTENTS ..................................................................................................... vi
LIST OF FIGURES ........................................................................................................ xi
LIST OF ABBREVIATIONS AND ACRONYMS .............................................................. xii
DEFINITION OF OPERATIONAL TERMS .................................................................... xiv
CHAPTER ONE: INTRODUCTION ................................................................................... 1
1.1 Introduction ............................................................................................................... 1
1.2 An Overview of the President’s Office-Public Service Management ....................... 9
1.2.1 Functional Role and Scope of PO-PSM ............................................................. 9
1.2.2 PO-PSM Vision ................................................................................................. 11
1.2.3 PO-PSM Mission Statement ............................................................................ 11
1.3 Statement of the Problem ....................................................................................... 12
4 Aim of the Study ....................................................................................................... 15
1.5 Specific Objectives ............................................................................................... 15
1.6 Research Questions ............................................................................................... 16
1.7 Assumptions of the Study ...................................................................................... 16
1.8 Significances of the Study .................................................................................... 17
1.9 Justification of the Study ...................................................................................... 18
1.10 Scope and Limitation of the Study ..................................................................... 19
1.11 Conclusion ........................................................................................................... 20
CHAPTER TWO: LITERATURE REVIEW ..................................................................... 21
2.1 Introduction ........................................................................................................... 21
2.2 Theoretical Framework ......................................................................................... 21
2.2.1 The Records Continuum Model ..................................................................... 24
2.2.1.1 Relevance of the Records Continuum Model to the Study ....................... 32
2.2.2 The Diffusion of Innovation theory .................................................................. 33
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.2.2.1 Diffusion of Innovation (DoI) Theory in Information Systems</td>
<td>36</td>
</tr>
<tr>
<td>2.2.2.2 Relevance of the DoI Theory to the Study</td>
<td>38</td>
</tr>
<tr>
<td>2.3 Records and Records Management</td>
<td>41</td>
</tr>
<tr>
<td>2.4 Personnel Records Management</td>
<td>47</td>
</tr>
<tr>
<td>2.5 Improvements of Personnel Records through Digitization</td>
<td>56</td>
</tr>
<tr>
<td>2.6 Public Service and Management of Personnel Records in Africa</td>
<td>63</td>
</tr>
<tr>
<td>2.6.1 Managing Personnel Records in Tanzania’s Public Service</td>
<td>70</td>
</tr>
<tr>
<td>2.7 The Impact of Computerization on Records Management</td>
<td>76</td>
</tr>
<tr>
<td>2.8 Digitization Process in Perspective</td>
<td>80</td>
</tr>
<tr>
<td>2.8.1 Digitizing Personnel Records: Some Pre-Consideration</td>
<td>82</td>
</tr>
<tr>
<td>2.8.2 The Digitization Production: Scanning, Indexing and Transferring the Images</td>
<td>84</td>
</tr>
<tr>
<td>2.8.3 Managing Electronic Files</td>
<td>86</td>
</tr>
<tr>
<td>2.9 An Enabling Legal Framework for Personnel Records Management</td>
<td>87</td>
</tr>
<tr>
<td>2.10 The Quest for E-Government</td>
<td>91</td>
</tr>
<tr>
<td>2.11 Conclusion</td>
<td>95</td>
</tr>
<tr>
<td>CHAPTER THREE: RESEARCH METHODOLOGY</td>
<td>96</td>
</tr>
<tr>
<td>3.1 Introduction</td>
<td>96</td>
</tr>
<tr>
<td>3.2 Research Design</td>
<td>96</td>
</tr>
<tr>
<td>3.2.1 Primary and Secondary Sources</td>
<td>97</td>
</tr>
<tr>
<td>3.3 Study Population and Sampling Procedure</td>
<td>98</td>
</tr>
<tr>
<td>3.4 Data Collection Instruments</td>
<td>101</td>
</tr>
<tr>
<td>3.4.1 Interviews</td>
<td>101</td>
</tr>
<tr>
<td>3.4.2 Observation</td>
<td>102</td>
</tr>
<tr>
<td>3.5 Data Collection Procedures</td>
<td>103</td>
</tr>
<tr>
<td>3.6 Data Validity and Reliability</td>
<td>104</td>
</tr>
<tr>
<td>3.7 Data Analysis</td>
<td>105</td>
</tr>
<tr>
<td>3.8 Ethical Considerations</td>
<td>105</td>
</tr>
<tr>
<td>3.9 Conclusion</td>
<td>107</td>
</tr>
<tr>
<td>CHAPTER FOUR: DATA PRESENTATION, ANALYSIS AND INTERPRETATION</td>
<td>108</td>
</tr>
<tr>
<td>4.1 Introduction</td>
<td>108</td>
</tr>
<tr>
<td>4.2 Description of the Study Area</td>
<td>109</td>
</tr>
</tbody>
</table>
4.3 Characteristics of Sample Population ......................................................... 112
  4.3.1 Population Size ......................................................................................... 112
  4.3.2 Education Background of Respondents ................................................... 113
4.4 The Extent to which Personnel Records are managed in the PO-PSM .......... 114
4.5 Policies, Systems, Standards and Procedures that Guide the Management of Personnel Records ........................................................... 118
4.6 Challenges experienced in the Management of Personnel Records .......... 121
4.7 The Use of Personnel Records in Decision-Making and Service Delivery .... 124
4.8 Strategies to be adopted to address the challenges facing personnel records management in the PO-PSM ................................................................. 126
4.9 Computerization of Personnel Information in the Public Service .......... 132
4.10 Records Management Operations in the PO-PSM Registry ..................... 137
  4.10.1 Storage and Handling of Records .............................................................. 137
  4.10.2 Registry Layout ....................................................................................... 139
  4.10.3 Physical Condition of the Registry .......................................................... 141
  4.10.4 Cleanliness .............................................................................................. 141
  4.10.5 Control Tools .......................................................................................... 141
  4.10.6 Risk Management and Security Measures .............................................. 142
4.11 Records Management Model suitable for managing Personnel Records in PO-PSM ................................................................. 142
4.12 Discussion of the Findings ......................................................................... 151
4.13 Conclusion .................................................................................................. 171

CHAPTER FIVE: SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS ................................................................. 172
  5.1 Introduction .................................................................................................. 172
  5.2 Summary of the Findings ........................................................................... 172
  5.3 Conclusion .................................................................................................. 181
  5.4 Recommendations ...................................................................................... 184
  5.5 Suggestions for further research ................................................................. 188

REFERENCES .................................................................................................... 188
Appendix I: Interview Guide for Top Management at PO-PSM ..................... 197
Appendix II: Interview Guide for Action Officers at PO-PSM ....................... 198
Appendix III: Interview Guide for Registry Staff at PO-PSM ....................... 199
<table>
<thead>
<tr>
<th>Appendix IV: Interview Guide for RAMD Staff</th>
<th>201</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appendix V: Observation Schedule</td>
<td>202</td>
</tr>
<tr>
<td>Appendix VI: Organization Structure of the PO-PSM</td>
<td>203</td>
</tr>
<tr>
<td>Appendix VII: Progress report by the Department of Library, Records Management and Information Studies, Moi University</td>
<td>204</td>
</tr>
</tbody>
</table>
LIST OF TABLES

Table 3.1: Distribution of Sample ................................................................. 100
Table 4.1: Population size........................................................................ 112
Table 4.2: Education background of the respondents.............................. 113
Table 4.3: Management of Personnel Records in the PO-PSM................ 115
Table 4.4: Policies, Systems, Standards and Procedures for Personnel Records Management................................................................. 118
Table 4.5: Challenges of Personnel Records Management in the PO-PSM .. 121
Table 4.6: Strategies adopted to manage personnel records in the PO-PSM . 128
Table 4.7: Computerization of Personnel Information .............................. 134
LIST OF FIGURES

Figure 2.1: Life cycle of Information.................................................................23
Figure 2.2: Records Continuum Model.............................................................27
Figure 2.3: Shape of curves of innovation..........................................................35
Figure 2.4: Diffusion Variant Model.................................................................38
Figure 4.1: Integrated RM Programme for Public Service of Namibia...............144
Figure 4.2: Integrated RM Model for Tanzania Public Service............................149
### LIST OF ABBREVIATIONS AND ACRONYMS

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>COSTEC</td>
<td>Tanzania Commission for Science and Technology</td>
</tr>
<tr>
<td>CSRP</td>
<td>Civil Service Reform Programme</td>
</tr>
<tr>
<td>DAHRM</td>
<td>Director of Administration and Human Resources Management</td>
</tr>
<tr>
<td>DFIDEA</td>
<td>Department for International Development East Africa Division</td>
</tr>
<tr>
<td>DoI</td>
<td>Diffusion of Innovation Theory</td>
</tr>
<tr>
<td>DSS</td>
<td>Decision Support Systems</td>
</tr>
<tr>
<td>EDMS</td>
<td>Electronic Document Management System</td>
</tr>
<tr>
<td>ERMS</td>
<td>Electronic Records Management System</td>
</tr>
<tr>
<td>ESAPs</td>
<td>Enhanced Structure Adjustment Programmes</td>
</tr>
<tr>
<td>FOI</td>
<td>Freedom of Information</td>
</tr>
<tr>
<td>HCMIS</td>
<td>Human Capital Management Information System</td>
</tr>
<tr>
<td>HR</td>
<td>Human Resource</td>
</tr>
<tr>
<td>HRIS</td>
<td>Human Resource Information System</td>
</tr>
<tr>
<td>HRM</td>
<td>Human Resource Management</td>
</tr>
<tr>
<td>ICA</td>
<td>International Council on Archives</td>
</tr>
<tr>
<td>ICT</td>
<td>Information and Communication Technologies</td>
</tr>
<tr>
<td>IRMT</td>
<td>International Records Management Trust</td>
</tr>
<tr>
<td>ISO</td>
<td>International Standards Organization</td>
</tr>
<tr>
<td>IT</td>
<td>Information Technology</td>
</tr>
<tr>
<td>LAN</td>
<td>Local Area Network</td>
</tr>
<tr>
<td>LGA</td>
<td>Local Government Authorities</td>
</tr>
<tr>
<td>MDA</td>
<td>Ministries, Departments and Agencies</td>
</tr>
<tr>
<td>MKUKUTA</td>
<td>Mkakati wa Kukuza Uchumi na Kupunguza Umaskini Tanzania</td>
</tr>
</tbody>
</table>
NAI - National Archives of India
NRC - National Records Centre
NSGRP - National Strategy for Growth and Reduction of Poverty
NSWSR - New South Wales, State Records
OCR - Optical Character Recognition
PCs - Personal Computers
PKI - Public Key Infrastructure
PO-PSM - President’s Office, Public Service Management
PSMD - Public Service Management Division (Zambia)
PSRP - Public Service Reform Programme
RAMD - Records and Archives Management Division
RM - Records Management
RMIP - Records Management Improvement Programme
TRMP - Tanzania Records Management Project
UNESCO - United Nations Education, Scientific and Cultural Organization
UNMDGs - United Nations Millennium Development Goals
URT - United Republic of Tanzania
WAN - Wide Area Network
WB - World Bank
ZRC - Zonal Records Centre
DEFINITION OF OPERATIONAL TERMS

**Data:** facts or statistics used for reference or analysis. Things known or assumed as facts, making the basis of reasoning.

**Digitization:** the process of converting picture, sound or document into a digital form that can be processed by a computer

**E-government:** an information intensive environment that consists of decision support systems such as records management systems, integrated financial management systems, human resource management systems, communication systems, databases and portals.

**E-records:** recorded information, documents or data that provide evidence of policies, transactions and activities carried out in e-government and e-commerce environment

**Human resources management:** the business process of recruitment, transfer, promotion, retirement, performance appraisal, education, training and staff development

**Information:** facts or knowledge provided or learned as a result of research or study.

**Knowledge:** information and skills acquired through experience or education.

**Ministry:** a government department headed by a minister.

**Personnel records:** refer to all those records that are related to individual employment histories and personnel process in general.

**Records:** recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprise content, context and structure sufficient to provide evidence of the activity, and support informed decision-making.

**Records management:** a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
CHAPTER ONE

INTRODUCTION

1.1 Introduction

Every organization employs staff and creates personnel records. Millar and Roper (1999) stated that staff are among an organization's most important and usually most valuable assets. Like any other assets, staff are a resource that must be deployed to maximum advantage. The authors further opine that proper management of personnel records can make a significant contribution to the objective of creating personnel records by ensuring that information is available to take decisions and to protect the rights both of the state and of individuals. Moreover, because personnel systems are closely linked to payroll systems, improved personnel records will have a positive impact upon payroll management and thus upon the overall budget of an organization. A personnel records system should run effectively whether it is in a purely paper-based environment or in the emerging electronic environment.

Management of personnel records means the management of human resources of an organization. In the modern workplace, the personnel function is viewed within the context of the broader human resources management function. In that respect, personnel records are critical to the personnel management function. The aim of personnel management is to use the human resources of the organization to the best advantage. Although the terms personnel management and human resources management have often
been used interchangeably, it is important to note that the two connote quite different aspects. In fact, there is a distinction to be made between personnel records management and human resource management. Essentially personnel records management aims at ensuring that a complete and comprehensive employment history of each public servant is readily available whenever it is required, and that the information contained in personnel records supports the management, deployment, supervision and development of government employees (URT, 2007). Other key objectives of personnel records management are to support transparency and organizational accountability and to enable accurate audits by creating and protecting human resource records as reliable evidence.

Personnel records therefore, refer to all those records that are related to individual employment histories and personnel processes in general. Human resources management on the other hand is grounded in the business process of recruitment, transfer, promotion, retirement, performance appraisal, education, training and staff development among others. Thus, HRM is that part of the organization concerned with the people dimension. It consists of four basic functions; staffing, training and development, motivation and maintenance (DeCenzo and Robbins, 2005). An IRMT study (2009) uses the term human resources management synonymously with personnel management as a description of the function and processes involved in managing the employees of an organization.

Improved human resource management is central to current development policy thinking (Cain and Thurston, 1997). In 1989, a World Bank report identified weak public administration as one of a number of factors inhibiting sustainable economic growth in sub-Saharan Africa. The report called for better personnel management in terms of staff
testing, competitive entrance examinations, regular appraisal, promotion on merit, selective improvement in the pay structure and accurate personnel records (The World Bank, 1989).

According to the report, the debt crisis of the 1980s forced many governments to attempt radical economic reform often as Enhanced Structural Adjustment Programmes (ESAPs) which among other things included a significant reduction in the size of the public service, thus making more urgent the need for improved human resource management. Yet, when the governments embarked on reducing civil servant staff numbers they were often confronted with the problem of finding the basic information which they needed to accomplish this task such as accurate staff numbers, or details of staff grades and location. Faced with this inadequacy of information, donors advised the countries to implement programs to enhance the management systems which they believed could assist them achieve their reform objectives.

At the same time, rapid developments in information technology are often seen by policy makers as an opportunity for economically disadvantaged countries to “leapfrog” onto a higher level of economic development for a relatively low level of investment (Cain and Thurston, 1997). It is against this background that projects to implement digitized personnel management system have been prominent features of the information technology (IT) efforts in many civil services in Africa in recent years (The World Bank, 2008). The projects absorb a relatively large proportion of the discretionary expenditure of the civil services in the purchase of equipment and they rely heavily on expatriate consultants for project management and technological implementation. This is justified
through the importance of personnel records as per discussion of Millar and Roper (1989) who argued that personnel records provided the basis for decision making in every area of personnel work, including human resource forecasting and planning, recruitment and selection, employment (including promotion, transfers, disciplinary procedure, termination and redundancy), education and training, pay administration, health, safety and welfare.

For the purpose of personnel management functions, a complete and accurate master personnel file is vital in defining the rights, duties and obligations of a civil servant and to provide a record of changes overtime. The management of personnel records is an issue that affects every office in the public service of Tanzania and every employee. However, it is quite clear that the government is facing major challenges in accessing and retrieving the personnel information it requires meeting its obligations. Registries are congested with the files of employees who have left the public service or who are deceased. Given the lack of clarity in the procedures for managing personnel records, multiple files are often opened on the same individuals as the individual moves from one ministry to another in the course of his or her career. It is difficult for public offices to bring together or otherwise access the complete records of an employee thus leading to major delays in processing of personnel actions such as applying for retirements benefits.

Today many office-filing systems are not designed and operated to meet the information provision requirements. The files are often poorly organized, and no indexes exist to facilitate their retrieval. Moreover, many filing systems suffer from a high rate of missing or misfiled records, and the time spent searching for them is nonproductive. Retrieval of
information is neither precise nor timely, and the filing systems fall short of the goal of delivering to users exactly the information they need as quickly as they need it.

The Civil Service Reform Programme (CSRP) in Tanzania, which ran until 1999, was a response to the shift towards a free market economy where the private sector’s role as the engine of growth needed to be better reflected in the structure and size of the nation’s public service. The programme focused on cost containment, redefinition of Government’s roles and functions and restructuring of the government (URT, 1999).

By the late 1990, it had become apparent that CSRP had limitations in terms of scope and design and in the impact it would have on improving the public service. The overriding factors behind this realization were:

1. As a result of significant downsizing and the achievement of macroeconomic stability the need to impose further cost containment lessened.

2. The move towards political pluralism amplified citizens’ demand for improved service delivery. Such improvements were unlikely to arise through CSRP’s narrow focus on cost cutting.

3. As public revenue collection increased such initiatives became less relevant (URT, 2008)

These changes augured for public service reform initiatives that would focus more intensively on service delivery improvements rather than cost cutting.
Phase I of the Public Service Reform Programme (PSRP) in Tanzania, which followed CSRP and was implemented from year 2000 to 2007 successfully installed a number of key management systems and processes to be institutionalized under PSRP II. The major thrust of phase I was instituting Performance Management System while Phase II focuses on enhanced performance and accountability. Among the important lesson and broad challenges, which emerged during the implementation of PSRP, I was harnessing the potential of Information and Communication Technology (ICT) (URT, 2006).

The logical connection between economic growth and improved welfare on the one hand, and governance of the Public Service on the other, has been reasserted through the Government’s National Strategy for Growth and Reduction of Poverty (NSGRP) also known in Kiswahili as Mkakati wa Kukuza Uchumi na Kupunguza Umaskini Tanzania (MKUKUTA). As a framework, MKUKUTA guides national planning efforts.

The information revolution presents a tremendous opportunity for improving the efficiency of service delivery and for bringing services closer to the people. However, introduction of ICT in Government for improving service delivery faces three main challenges. First, there are substantial technological costs involved. Second, ICT requires specific management capacities and skills. Third, there is a tendency for technology to take over underlying processes and to become an end in itself. Thus, it is essential that the link between ICT and service delivery be strongly maintained (URT, 2006).

The overall goal of interaction under PSRP II is to put in place systems, processes and structures that enable each MDA to develop the capacity and perform efficiently and
effectively in service delivery. This should among other things lead to improved management of information that supports service delivery. To achieve the planned outcomes there will be a need of promoting e-government and knowledge management systems as well as improving the management of records to support services delivery (URT, 2006).

The Tanzania Records Management Project (TRMP) of 1997 – 2007, which was undertaken as part of the Public Service Reform Programme (PSRP), was one way of dealing with human resources issues. The Civil Service Reform Programme in general and retrenchment in particular highlighted deficiencies in the personnel information available to government and brought to light the problem of “ghost” workers to the extent that it was unclear whether the government retrenchment exercise was targeting real people or ghosts (PO-PSM, 2005). The need to meet Economic and Structural Adjustment Programme (ESAP) conditionality placed pressure on Tanzania Government to implement the personnel management automation projects very quickly.

During the first phase of PSRP – 1997-2007, the government through its Records and Archives Management Division (RAMD) of the President’s Office, Public Service Management, facilitated the records management improvement exercise by automation of personnel information in 7 core Ministries and Departments to allow easy access and retrieval, and facilitated controlled and networked management of personnel information throughout the public service.
This exercise was aimed at improving the quality and availability of personnel information by developing efficient, effective and sustainable improvement of paper-based personnel records management system and programs, and capacity building in records management within the public service. Paper records, besides being legal evidence and the vehicle for transmitting authorizations, form a basis for ensuring integrity of computer-held personnel data.

Components of the PSRP of which TRMP was based included the creation of executive agencies and outsourcing of government work with the aim of achieving cost and efficiency benefits, the re-orientation of the public service to serving the public, which was approached through a shake-up of human resources management practices. Similarly, the restoration of ethical conduct was an established stream of PSRP activity too. The TRMP worked alongside all these strands and its activities included the creation of effective recordkeeping systems in core ministries. Thus, an overarching goal of the project was its intent to improve efficiency and re-orient public services to the delivery of services to the public.

The focus of TRMP was on records in documentary form held in registry systems. By implication, the project was not concerned with databases (Tough, 2007). Decongestion, reconstruction and classification schema were essential components of the project work. At the end of the project in 2000, registry systems judged to be fit for the purpose were functioning in most of the twelve core ministries. One study has attributed the success of the TRMP to the effect that the project was seen to be supporting probity (Tough, 2007).
Yet a major gap in the work of the project was a failure to adequately capture e-records. The gradual proliferation of stand-alone PCs on the desk tops of a relatively small number of senior civil servants and which were not networked made the imposition of recordkeeping discipline through system standards almost impossible. At this juncture, the conclusion, which can be drawn, is that good recordkeeping has an important contribution to play in the personnel function, irrespective of the style of personnel management to be adopted. It is towards probing as to how personnel records are being managed at PO-PSM that this study was earmarked for.

1.2 An Overview of the President’s Office-Public Service Management

The President's Office, Public Service Management (PO-PSM) is a Ministry under President's Office. Its chief executive and accounting officer is the Permanent Secretary, who has a workforce of about 300 employees. Formerly known as the Civil Service Department, it was transformed into President's Office, Public Service Management (PO-PSM) in the year 2003 to conform to the newly enacted Public Service Act No. 8 of 2002. Along with the transformation, opportunity was taken to accommodate efficiency and effectiveness considerations in the Management of the Public Service, in particular implementation of the on-going Public Service Reforms and in provision of its services.

1.2.1 Functional Role and Scope of PO-PSM

PO-PSM's role is to assist the Head of the Public Service (the Chief Secretary) in matters of personnel and administration pertaining to Public Service in the entire government
system. According to the Presidential Order of 1993 on Ministerial Responsibilities, the specific functions of PO-PSM embrace:

- Administrative & Personnel Policy
- Administration of Public Service
- Co-ordination of Training and Recruitment
- Improvement of efficiency and effectiveness of delivery of public service.
- Human Capital Management and Development

Given these specific functions, the scope of PO-PSM's activities is to:

- Provide advisory services to Ministries, Departments and Regions;
- Formulate, prepare and monitor the implementation of administrative and personnel policies;
- Co-ordinate, monitor and administer all matters related to the allocation of human resources in the Public Service, notably:
  - recruitments;
  - confirmations;
  - appointments;
  - promotions;
  - training;
  - discipline;
Terminations.

- Develop the skills, knowledge and attitudes of Public Service Personnel;
- Instill and maintain ethical behavior and a higher level of integrity among Public Servants, to give the Government a positive image;
- Co-ordinate and control the effectiveness of training in the public service, and increase the quality of manpower running the economy.
- Deal with policy analysis, research and review;
- Generate a conducive working environment;
- Review personnel and administrative policies and other related matters; and
- Enhance work morale among Public Servants.

1.2.2 PO-PSM Vision

The vision of PO-PSM reflects the broader poverty reduction development agenda of the Government as stipulated in the National Strategy for Growth and Reduction of Poverty (NSGRP)

The vision of PO-PSM is therefore stated as follows:

To become a global institution of excellence enabling Public Service in delivering quality services thereby contributing to the achievement of high economic growth, reduction of poverty and better well - being of all Tanzanians by the year 2025

1.2.3 PO-PSM Mission Statement

Its mission is:
To ensure that the Public Service is effectively and efficiently managed, through improved human resources management, systems and structures.

The President’s Office – Public Service management was chosen by critical sampling procedure and was more favored for this study due to its central role in the management of government workforce. Also, it was appropriate to survey this institution because of the key role it played during the Public Service Reform Programme (PSRP) and Tanzania Records Management Programme (TRMP) in particular.

1.3 Statement of the Problem.

Personnel records, which are the most fundamental source of government information about its civil servants, are only beginning to be managed as a strategic resource and there are still widespread problems in retrieving and storing them (DFIDEA, 2009). Almost all information entering a ministry in sub-Saharan Africa still does so in the form of paper and is processed through a centralized registry system (Cain and Thurston, 1997). The intent to use technology to enhance the management of personnel information is being frustrated by the chaos associated with paper-based personnel records. The challenges being faced in the management of personnel records lead to increased costs and the inability of the government to meet its obligations with respect to the rights and entitlements of its own employees. This situation hampers the capacity of countries to carry out economic and administrative reform programmes aimed at achieving efficiency, accountability and hence improved personnel management.
In the context of Tanzania, the Structural Adjustment Programmes of the 1980s included substantial reductions in the size of the public service designed to reduce the size of government in relation to the size of the private sector. The World Bank and IRMT partnership project (2002) mentions that the experience of Civil Service Reform and of retrenchment in particular has had mixed results. In particular, apart from ageing mainframe payroll systems, there were no computerized systems available to provide statistics on staff numbers. This situation was not supportive to human resources planning and as such, the process lacked both the necessary data and the functionality to support this work. In short, the government lacked the data needed to make informed decisions about who should be retrenched. Officials were unable to determine with precision as to how many people were working for the public service, where they were working and the nature of their responsibilities.

The facilitation exercise of retrieval and access of personnel information during the 1997-2007 PSRP phase went hand in hand with the digitization of personnel records to facilitate well-controlled, networked management of personnel records and human resources throughout the government, capacity building in records management, introduction of records management cadre, and improvement of paper records held in registries to support the goals of PSRP of reducing the size of the public service by providing proper and accurate personnel information.

The truth of the matter is that the management of personnel records in Tanzania public service poses many challenges. In spite of this, attempts are being made to layer new automated systems on top of collapsed paper-based information systems. In the absence of preconditions for successful implementation of records management improvement
programme (for example, a coordinated policy for personnel records management, government-wide personnel records management standards, systems, procedures, resources and training for records and information management personnel; internal and public awareness of the importance of personnel records and information management, professional skills and senior management with a realistic understanding of the role of personnel records in public service delivery) many personnel records improvement exercises had not been able to provide the expected outputs, which can partly be manifested by poor service delivery in government ministries. The tragedy of the digitization exercise is that a different and more productive outcome could have been achievable. To date there has been no significant study to evaluate these strategies with a view of charting out a more reliable and foolproof process.

This study was, therefore, intended to bridge that knowledge gap by investigating the management of personnel records in one (1) of the seven (7) Ministries that were involved in personnel records improvement programme through digitization. It investigated the management of personnel records in Tanzania public service with specific reference to the President’s Office – Public Service Management. Considerations were given to the personnel records management processes, particularly aspects of organization environment in which personnel records are managed (i.e. law, policies, system and procedures, training and resources) and capacity levels. The study reviewed the implications of these issues for the effective management and use of personnel information.
4 Aim of the Study

The aim of this study was to investigate and evaluate how effectively personnel records are managed in the Tanzania public service with specific reference to the President’s Office – Public Service Management, with a view to proposing a records management model from existing models as a tool for the management of personnel records in the public service.

1.5. Specific Objectives.

The study had the following specific objectives;

i. To investigate how effectively personnel records are managed in the Tanzania public service with particular reference to the PO-PSM.

ii. To establish what policies, systems, standards and procedures exist to guide the management of personnel records in PO-PSM.

iii. To determine the extent of use of personnel records in decision making and service delivery.

iv. To determine the challenges experienced in the management of personnel records in PO-PSM.

v. To determine the extent to which personnel information in the public service has been computerized.
vi. To suggest strategies to address the challenges facing personnel records management in PO-PSM.

vii. To propose a suitable RM model from existing models for managing personnel records in PO-PSM.

1.6 Research Questions.

This study sought to answer the following questions

i. How effectively are personnel records managed in PO-PSM?

ii. What policies, systems, standards and procedures exist to regulate the management of personnel records in the PO-PSM?

iii. To what extent are personnel records being used in decision making and service delivery?

iv. What challenges are experienced in the management of personnel records in the PO-PSM?

v. To what extent has the personnel functions in the public service been computerized?

vi. What strategies can be adopted to enhance the management of personnel records in the PO-PSM?

1.7 Assumptions of the Study

This study is based on the following assumptions.
i. Lack of a policy for personnel records management in public service in Tanzania has resulted in the confusion in the management of personnel records, thus undermining effective service delivery in personnel matters.

1.8 Significances of the Study.

The study was significant in several ways. Given the critical significance of information management, which embraces documents in electronic and paper media, there was need to point out the best ways to guarantee long-term availability of personnel records in the public service in Tanzania. In addition, the study helps in providing suggestions on the techniques, strategies and best practices, which PO-PSM can adapt in order to address challenges associated with managing personnel records. This includes gaining control of personnel records held in government ministries and in so doing contribute to the achievement of development goals, including the reduction of poverty and protection of rights and entitlements.

Furthermore, the model proposed in this study provides suggestions on the techniques, strategies and best practices for personnel records management and defines systems and procedures needed to enhance personnel records management irrespective of format. It is also likely to benefit future researchers intending to conduct similar studies on personnel records management in Tanzania public service and personnel records management infrastructure since the country is moving fast towards embracing electronic transactions. The study findings should be of interest to records and archives scholars, researchers, donors, practitioners and the government of Tanzania at large.
1.9 Justification of the Study.

This research was justified by the fact that personnel records are key resources for development and sustainability of the public service. It was thus, important to consider the best ways to manage personnel records in all formats. Peter Blunt (1995) provided a technical point of departure by pointing out the link between bureaucratic accountability of government officers and organizations, transparency and the availability and validity of information. Efficient markets and bureaucratic transparency are heavily dependent on the availability and validity of information. He points out thus:

Quality of decision-making, and therefore risk and cost, are all a function of the quality of information supply. Government is clearly a major source of information as well as a major user. Government policies are vulnerable to poor-quality information in the same way that information about the economy and market conditions is essential to valid private sector calculation (Blunt, 1995).

Also enhancing personnel management through technology is a new phenomenon in Tanzania and there has been no research on the question of the many strategies adopted by the government to gain control and provide better services to citizens. It was therefore, important at that moment to pay attention to personnel records management in various formats. Similarly, the study findings arising out of the specific comments by respondents, if implemented could assist the government to improve its records management infrastructure for public service.
Finally, the development community has in general accepted the requirements for better personnel management as a key factor in achieving sustainable economic growth. Effective management of personnel records forms but an important part of this requirement. Improved personnel management on the one hand, and better management of personnel records on the other is crucial to securing the reform process and modernization of the public service.

1.10 Scope and Limitation of the Study.

The Government of the United Republic of Tanzania has 26 ministries, among these 7 ministries were sampled for personnel records digitization project. However, this study focused only on 1 ministry; the President’s Office – Public Service Management. The PO-PSM was chosen by virtue of its central role in the management of government human capital or workforce. Besides, PO-PSM is in many ways, typical of a many other ministries, and hence the data can legitimately be generalized to other government ministries. Other factors limited my study were time and financial resources.

Data were collected from Top Management officials, Action officers and Registry Staff at PO-PSM headquarters and RAMD staff. The data should lead to a realistic understanding of top management’s attitude towards issues raised in the study and how personnel records are managed and used in decision-making. The data were also used to answer the research questions. A further limitation was that few studies had been done linking records management and human resources management; hence the findings of the study will contribute by generating new source materials on the subject.
1.11 Conclusion

This chapter has introduced the research topic by discussing background information to the study as well as defining the problem which this study intends to investigate. The chapter also presented the study aim and objectives, research questions, assumptions of the study, significance, justification and scope and limitations of the study.
CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

In this chapter the researcher reviews literature related to the management of personnel records in Tanzania and discusses the theoretical framework upon which the study is based namely the Records Continuum Model developed by Australian archival theorist Frank Upward in 1990s and the Diffusion of Innovation (DoI) Theory developed by E.M. Rogers in 1995. The review is conceptualized under the aims and specific objectives of the study and focuses mainly on personnel records management in Tanzania public service, strengths and weaknesses of enhancement strategies adopted by the government, government policies, systems, standards and procedures existing to guide management of personnel records in Tanzania public service and challenges of the management of personnel records in Tanzania public service. The review covers areas of personnel records management, records and records management, digitization strategy and impacts of computerization on records management. It will also look at the legal framework for personnel management and the promotion of e-government. This is as far as they are related to the aims and objectives of the study.

2.2 Theoretical Framework

The role of theories in scientific research cannot be over-emphasized. Dale (1998) is of the opinion that theories enable researchers to draw new conclusions, improve action and
generate theories that are more sophisticated. Thus, theories are a set of interrelated constructs – concepts, definitions and propositions that present a systematic view of phenomena by specifying relations among variables with the purpose of explaining and predicting phenomena (Stacks and Hocking, 1999). A theoretical framework, in turn, is an examination of the existing or self-formulated theories in relation to the research objectives.

The theoretical framework for this study was derived from two models: the Records Continuum Model, which originated in Canada but was developed in Australia by Australian archival theorist Frank Upward in 1990s and the Diffusion of Innovation Theory, which originated in France in 1903 by French Sociologist Gabriel Tarde but was developed in America by American theorist E.M. Rogers in 1995 with four stages: invention, diffusion (or communication) through the social system, time and consequences.

This was due to inadequacies found with the basic records management models like the Records Life Cycle Mode especially the definition of records and its lack of mechanism for managing electronic records. The life cycle is based on the idea that records become less important as time passes. 90 percent of the use of a record takes place during the first 90 days after it is created. This short period of high use is followed by a longer period of low use. The records only need to be looked up occasionally during this second phase. Eventually, even this limited use will end and the records will have no further value to their creator (Figure 2.1).
Figure 2.1. Lifecycle of Information

In this model there are four stages in which records/information pass. These are:

- **Creation**: Records begin the life cycle when they are created or received.
- **Active Records**: Active records are needed frequently. They are retrieved at least once per month, so they are stored in readily accessible office spaces.
- **Semi-Active/Inactive Records**: Semi-active records are not needed for day-to-day business. Organizations need to keep them for reference, for legal reasons, or for financial reasons. They are not used often enough to justify their being stored in prime office space and equipment. Semi-active records are often stored at a lower cost in a records centre. Semi-active records are sometimes called “inactive records.
- **Final Disposition**: Final disposition is the action that takes place when records have no more value to an organization. In many cases, final disposition can
involve: either physical destruction of the records or transfer of the records to the custody of the Archives.

The juxtaposition of the records continuum and lifecycle models shows that the records continuum model's advantages outweigh the lifecycle model's, particularly in electronic records management. In "Life Cycle Versus Continuum--What Is the Difference;" Peter Marshall states that the records continuum's primary focus is the multiple purposes of records. It aims for the development of recordkeeping systems that capture, manage, and maintain records with sound evidential characteristics for as long as the records are of value to the organization, any successor, or society (Marshall, 2000, p. 24-25). It promotes the integration of recordkeeping into the organizations’ business systems and processes.

The records life-cycle theory was seen to be more applicable to those studies dealing with the management of paper based records in an organization. The theory is not suitable for studies investigating the management of electronic records. It is against that background that the records continuum model was adopted for this study since the study dealt with both paper based and electronic records.

2.2.1 The Records Continuum Model

In her Article “A Chinese view of Records Continuum Methodology and Implications for Managing Electronic Records” Xiaomi (2002) noted the evolution of the concepts of records continuum had three periods: origins of the continuum concept; wide use of the word ‘continuum’; and the formulation and implementation of records continuum model to the electronic and paper records management.
In the first period, the earliest view of the continuum concept came from the national archivist, Ian MacLean in the 1950’s. He declared that records managers were the true archivists, and that archival science should be directed towards the study of the characteristics of recorded information, recordkeeping systems and classification processes (Upward, 2000, p. 118). His view promoted the search for continuity between archives and records management.

In the second period, the word continuum was not widely used in Australian recordkeeping in the mid of 1980s until Canadian archivist Jay Atherton made it explicit at the annual conference of the Association of Canadian Archivists in 1985. According to Atherton, all stages of records are interrelated, forming a continuum in which both records managers and archivists are involved, to varying degrees, in the ongoing management of recorded information. He showed how the life cycle stages that records supposedly underwent were in fact a series of recurring and reverberating activities within both archives and records management.

The underlying unifying or linking factor in this continuum was the function of service to the records’ creators and all their users (Flynn 2001, p. 80). This view pointed out the weakness of the separation of records management and archives administration under the lifecycle model.

In the third period, records continuum as a model way of thinking was formulated in the 1990s by Australian archival theorists, Frank Upward (See Figure2.1. The Upward’s records continuum model). He states four principles of the records continuum model (Upward, 1996, p.275-277).
1. A concept of "record" inclusive of records of continuing value (archives) stresses their uses for transactional, evidentiary, and memory purposes, and unifies approaches to archiving/recordkeeping, whether records are kept for a split second or a millennium.

2. There is a focus on records as logical rather than physical entities, regardless of whether they are in paper or electronic form.

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

4. Archival science is the foundation for organizing knowledge about recordkeeping. Such knowledge is revisable but can be structured and explored in terms of the operation of principles for action in the past, the present, and the future.
Figure 2.2. Records Continuum Model

Source: Upward (2000, p.123)

Figure 2.2 shows the Records Continuum model with four axes dealing with archivists’ concerns on four major themes in archival science: evidentiality, transactionality, identity, and recordkeeping containers. Four dimensions of the continuum are identified: document creation, records capture, the organization of corporate and personal memory, and the pluralisation of collective memory. “The model provides a graphical tool for framing issues about the relationship between records managers and archivists, past, present and future, and for thinking strategically about working collaboratively and building
partnerships with other stakeholders.” (McKemmish 1998, p.2). Pederson (1999) stated that such a model has four basic recordkeeping functions: **CADS**

**Control:** Capture, identification, organization and control.

**Accessibility:** Ensuring access and usability.

**Disposal:** Setting up provisions (appraisal criteria and disposal policies or procedures) for “capturing” appropriate records and for “cleansing” the regime of records that are no longer needed, whether for business, regulation or cultural/historical purposes.

**Storage:** Maintaining record authenticity, integrity and usability over time.

According to Kemoni (2008, p. 108), in a continuum there are no separate steps (see figure 2.2). Managing records is seen as a continuous process in which one element of the continuum passed seamlessly into another.

The records continuum model has four stages namely; creation, classification, scheduling and maintenance and use of information, as opposed to the eight stages of the life-cycle theory. Under the records continuum model, archivists and records managers would be involved in all the stages of managing records. Through this it would be possible to ensure the creation of the right records containing the right information in the right formats; organize the records to facilitate their use; systematically dispose of records no longer required, and protecting and preserving records. Records continuum concept was a variation of the records life-cycle concept and that it took a higher-order intellectual view of records, since it followed an integrated model rather than one made up of stages. The
model stressed the need for records professionals to be involved in the earliest planning stage of information systems (McKemmish, 1997).

The records continuum model offers an integrated approach to managing records, particularly electronic records. The model recognized that records passed through identifiable stages, but the stages acted as a point of reference rather than as functions of records management. Significantly, the model allows records managers and archivists to operate at the appropriate stages of the records continuum to meet their sometimes different but harmonious objectives (Kemoni, 2008).

Defining the records continuum model according to the Australian Records Management Standard, AS 4390 (1996) part 1, clause 4.22, An (2001) referred to it as “…a consistent and coherent regime of management processes, from the time of records creation to their preservation and use as archives”. According to An (2001, pp. 24-25) this definition suggests an ideal integration for documents, records, and archives management. Under the model, records do not pass through distinct stages, the records continuum model stages, as implied, in the records life-cycle model. These stages were interrelated in the records continuum model, forming a continuum in which both records managers and archivists are involved to varying degrees in the management of recorded information.

Acknowledging that the model provides a way of conceptualizing recordkeeping in organizations, McKemmish (1997) outlines the following features of the Records Continuum Model. It:
a) identifies key evidential, recordkeeping and contextual features of the continuum and places them in relationship to each other.

b) represents the multidimensional nature of the recordkeeping function,

c) maps the evidential, recordkeeping and contextual features of the continuum against the dimensions of the recordkeeping function, and

d) represents a broader socio-legal and technology environment.

Furthermore, records continuum model helps to clarify the nature and scope of recordkeeping in organization and society. In the article “The Records Continuum Model in Context and Its Implications for Archival Practice” Flynn (2001, p. 90) explains that the continuum model is significant because it:

- broadens the interpretation of records and recordkeeping systems offered by the lifecycle model. Such broadening is helpful, given the variety of contexts in which archivists and records managers operate and in which records and archives are used.

- reminds us that records (including archives) are created and maintained for use as a result of business and administrative functions and processes, rather than as ends in themselves.

- emphasizes cooperation beyond the walls of repositories, especially between the closely related, if occasionally estranged, professions of archives administration
and records management - a cooperation that is more important than ever in the contemporary climate of outsourcing and cross-sectoral working.

As earlier shown in the figure 2.1 the Records Continuum helps to understand the nature and scope of recordkeeping in our organizations and in our society. It presents an overview of a seamless and dynamic recordkeeping regime that transcends time and space to capture and manage records for as long as they are required to satisfy business, regulatory, social and cultural requirements.

Because it addresses the whole enterprise of recordkeeping, it differs from and complements the concept of the Records Life Cycle that identifies various phases in the useful life or span of an individual record or particular bodies of records under management. The activities represented in it can take place over many years, sequentially or simultaneously and concurrently in real or virtual environments.

Records are both current and historical from the moment of their creation. By definition they are frozen in time, fixed in a documentary form and linked to their context of creation. They are thus time and space bound, perpetually connected to events in the past. Yet they are also disembedded, carried forward into new circumstances where they re-presented and used.

Records continuum thinking and practice focuses on logical records and their relationships with other records and their contexts of creation and use. Thus the Continuum is a map of a dynamic, virtual place - a place of 'logical, or virtual or multiple realities' - and it always
has been, even in the paper world. Because the continuum is holistic yet multidimensional, it can be refracted or separated out into its constituent layers like a band of light.

2.2.1.1 Relevance of the Records Continuum Model to the Study

Given that this study is about the management of personnel records, the records continuum model was seen to be the most appropriate. The model presents an overview of a seamless and dynamic recordkeeping regime that transcends time and space to capture and manage records for as long as they are required to satisfy business, regulatory, social and cultural requirements.

The records continuum model has since gained acceptance worldwide as the best practice model for managing records and archives including electronic records (An, 2001). The advantages of the records continuum model over the life cycle model are grounded in its mechanism, which consists of integration of the management of documents, records and archives. Kemoni (2008) has posited that integrated approaches, integrated control and integrated framework can be components of a best practice framework. The records continuum model is more applicable to records and archives management hence its use as a theoretical foundation of studies dealing with the management of both paper and electronic records and archives such as this one.

However, in adopting this theory the researcher was not ignorant of some of the doubts which have been raised against it. In particular, the model has generated certain concerns and fears with regard to the notions of its theory, which has generated a certain reaction of fear and loathing in many people in the records and archives industry (Picot, 1999). This
fear was translated to the effect that records managers and archivists shared both territory and professional competencies and thus the continuum model posed a threat to their autonomy. Picot (1999) cautioned however that, though the model would be involved to justify restructuring, job cuts or changes in workplace practices, these would not invalidate its usefulness.

2.2.2 The Diffusion of Innovation theory

Diffusion research goes one-step further than the two-step flow theory. The original Diffusion of Innovation (DoI) research was done as early as 1903 by the French sociologist Gabriel Tarde who plotted the original S-shaped diffusion curve. Tardes' 1903 S-shaped curve is of current importance because "most innovations have an S-shaped rate of adoption" (Rogers, 1995).

According to Rogers (1996), diffusion refers to “the process by which an innovation is communicated through certain channels over time among the members of a social system. An Innovation is an idea, practice or object perceived as new by an individual or other unit of adoption. The diffusion of innovations involves both mass media and interpersonal communication channels”

DoI Theory is concerned with the manner in which a new technological idea, artifact or technique, or a new use of an old one migrates from creation to use (Clarke 1999). According to DoI theory, *technological innovation is communicated through particular channels, over time, among the members of a social system.*
Stages through which a technological innovation passes are:

- knowledge (exposure to its existence, and understanding of its functions);
- persuasion (the forming of a favorable attitude to it);
- decision (commitment to its adoption);
- implementation (putting it to use); and
- Confirmation (reinforcement based on positive outcomes from it).

DoI theory sees innovations as being communicated through certain channels over time and within a particular social system (Rogers, 1995). Individuals are seen as possessing different degrees of willingness to adopt innovations and thus it is generally observed that the portion of the population adopting an innovation is approximately normally distributed over time (Rogers, 1995). Breaking this normal distribution into segments leads to the segregation of individuals into the following five categories of individual innovativeness (from earliest to latest adopters): innovators, early adopters, early majority, late majority, laggards (Rogers, 1995). Members of each category typically possess certain distinguishing characteristics as shown below:

There are five different types of adopters in the diffusion process, according to Innovativeness: “(1) Innovators (venturesome), (2) Early Adopters (respectable), (3) Early Majority (Deliberate), (4) Late Majority (skeptical), and (5) Laggards (traditional)” (Rogers, 1995). Rogers defined this term as “the degree to which an individual is relatively earlier in adopting new ideas than other members of his social system” (Rogers, 1995, p. 32). Figure 1 below shows the relationships between types of adopters divided by
innovativeness and their place on the adoption curve. In addition, these categories follow a standard deviation curve, which is bell-shaped.

- innovators - venturesome, educated, multiple information sources
- early adopters - social leaders, popular, educated
- early majority - deliberate, many informal social contacts
- late majority - skeptical, traditional, lower socio-economic status
- laggards - neighbours and friends are main information sources, fear of debt

Figure 2.3. Shapes of curves of diffusions for innovations

Source: Rogers (1995)

It is clearly evident from the above figure that an innovation would spread through society over various periods of time in an S-shaped curve. However, as it was noted above,
different types of innovations (e.g., the rate of tetracycline adoption is faster than that of the hybrid seed corn) can have their own different rates in diffusion.

When the adoption curve is converted to a cumulative percent curve a characteristic S curve (as shown in Figure 1 above) is generated that represents the rate of adoption of the innovation within the population (Rogers, 1995). The author further states that the rate of adoption of innovations is impacted by five factors: relative advantage, compatibility, trialability, observability, and complexity. The first four factors are generally positively correlated with rate of adoption while the last factor, complexity, is generally negatively correlated with the rate of adoption (Rogers, 1995). The actual rate of adoption is governed by both the rate at which an innovation takes off and the rate of later growth. Low cost innovations may have a rapid take-off while innovations whose value increases with widespread adoption (network effects) may have faster late stage growth. Innovation adoption rates can, however, be impacted by other phenomena. For instance, the adaptation of technology to individual needs can change the nature of the innovation over time. In addition, a new innovation can impact the adoption rate of an existing innovation and path dependence may lock potentially inferior technologies out.

### 2.2.2.1 Diffusion of Innovation (DoI) Theory in Information Systems

Innovation diffusion theory has been widely applied to the study of Information Studies (IS) innovations for the last few decades and has provided insights into the adoption, implementation, infusion, and diffusion of ICT innovations (Clarke 1999). Crum et al (1996) are of the opinion that this stream of research has strong potential for contributing
both to the development of innovation diffusion theory and to providing pragmatic
guidance to practitioners faced with the often difficult task of successfully introducing a
new information technology or method to the workplace.

Moore and Benbasat (1991), working in an IS context, expanded upon the five factors
impacting the adoption of innovations presented by Rogers, generating eight factors
(voluntariness, relative advantage, compatibility, image, ease of use, result
demonstrability, visibility, and trialability) that impact the adoption of ICTs. Scales used
to operationalize these factors were also validated in the study.

Since the early applications of DOI to IS research, the theory has been applied and
adapted in numerous ways. Research has, however, consistently found that technical
compatibility, technical complexity, and relative advantage (perceived need) are important
antecedents to the adoption of innovations (Bradford and Florin, 2003; Crum et. al., 1996)
leading to the generalized model presented below (see Figure 2.4 below).
2.2.2.2 Relevance of the DoI Theory to the Study

The theory had potential application to information technology ideas, artifacts and techniques, and has been used as the theoretical basis for a number of IS research projects. Given that this study was about the management of personnel records in the PO-PSM, which in recent years has undergone many changes including adoption of technology to digitize personnel records, capacity building in records management, introduction of records management cadre and improvement of paper records, the DoI model was seen to be the most appropriate as a base in explaining these new innovation and/or phenomena.
The DoI theory was more favored to this study because it helps to describe the patterns of adoption, explains the mechanisms, and assists in predicting whether and how a new invention will be successful. It was hoped that it would cater for the purpose of investigating and exploring the adoption of various measures taken to improve the status of personnel records including the digitization strategy, but it also augured well with the task of evaluating personnel records practices in the PO-PSM which was undergoing many changes including the adoption of new technologies and systems to gain control of personnel information. Therefore, there was a need to evaluate this adoption of new systems and their diffusion in the Tanzania’s public service by considering their technical compatibility, technical complexity, and relative advantage (perceived need) as important antecedents to the adoption of innovations.

Although, Rogers and Singhal (1996) mentioned, “the individual is usually the unit of analysis”, in recent years a number of studies have been conducted in which an individual organization is the unit of analysis (Wildemuth, 1992; Zaltman, Duncan, & Holbek, 1973). These authors are of the opinions that this characteristic of unit of analysis is due to research methods, such as utilizing a survey to study diffusion. The DoI theory considers analysis at both the micro-individual and macro-social levels. This is because studies of diffusion include both an innovation at the micro level, as well as its influence, such as social change, at the macro level. This study utilized the survey method and was intended to explore and evaluate the management of personnel records interviewing staff in the President’s Office – Public Service Management. Therefore the DoI theory was seen to be more relevant to this proposed study.
However, in adopting this theory the researcher was aware of some of the weaknesses, which have been raised against it. In particular Clarke (1999), has posited that the DoI theory is at its best as a descriptive tool, less strong in its explanatory power, and less useful still in predicting outcomes, and providing guidance as to how to accelerate the rate of adoption. There is doubt about the extent to which it can give rise to readily refutable hypotheses. Many of its elements may be specific to the culture in which it was derived (viz. North America in the 1950s and 60s), and hence less relevant in, for example, East Asian and African countries.

The diffusion tradition has classified people, in terms of demographics, in explaining the variables that influence the adoption of an innovation. For that reason, some scholars often criticize that this theory may not provide a causal explanation of why and how people adopt certain technologies. Nevertheless, when it comes to the use and choice of old and new media, diffusion theory will be suited for explaining why some people prefer to use the old media or new media, because this theory provides some conceptual guidance for understanding the adoption of some technologies or innovations. According to evolution of media technology, interpersonal influences or channels are important even though in the past the individual is usually the unit of analysis. In addition, critical mass becomes an important factor in adopting new media because new media are interactive tools and thus are required to many users for getting efficiency. Clarke (1999), states that the DoI theory provides one valuable 'hook' on which research and practice can be hung.
2.3 Records and Records Management

It is now widely recognized that improvement in the delivery of public services is inextricably linked to the effective records management which in turn should support efficient information exchange, facilitates evidence-based policy making, supports administration of data protection principles, encourages accountability and improves decisions and knowledge management across sectors of government. Yet, unless the records resulting from the conduct of government and private activities are managed effectively, this goal cannot be achieved (Thurston, 1997; Blake, 2005). Record-keeping facilitates effective management of recorded information throughout its life cycle and may lead to both socio-political and economic development (Kemoni and Ngulube, 2007). Recordkeeping may also help in the attainment of the renowned United Nations Millennium Development Goals (UNMDGs). Accesses to complete and accurate records partly hold the key to the achievement of some of the UNMDGs. Well-managed information is critical to sound decision-making and socio-economic development.

Furthermore, records are vital resource in fostering development in any nation. According to the World Bank’s (2005) Comprehensive Development Framework, all of the elements or pillars of effective development (i.e. good governance, equitable judicial system, accountable financial system, and enforceable civil rights) depend upon good/effective records management infrastructure. Without a records infrastructure government and organizations may be incapable of effectively managing current operations and have no ability to use the experience of the past for guidance.
Records are essential for the effective and productive functioning of private and public organizations. Records document the decision and activity of the government and private institutions and serve as a benchmark by which future activities and decisions are measured. The World Bank (2008) underscores the importance of records as they document fundamental rights and obligations and differentiates the rule of law from the action of arbitrary state. Without records there can hardly be the rule of law and no accountability hence, no good governance. Without good records, official are forced to take decisions on an *ad hoc* basis without the benefits of institutional memory. Besides, fraud cannot be proven, meaningful audit cannot be carried out and government actions are not open to review (IRMT, 1999).

Different organizations and individuals have differently defined the term records. Robek *et al* (1995, p. 4) simply define it as recorded information regardless of medium or characteristics. The ISO 15489-1 (2001, p. 3) defines records as information created, received and maintained as evidence and information by an organization or person in pursuance of legal obligation in the transaction of business. On its part, the ICA (1997) defines records as recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprise content, context and structure sufficient to provide evidence of the activity, and support informed decision-making. Of relevance to this study, Tanzania Records and Archives Management Act, No. 3 of 2002, Section 2, defines records as recorded information regardless of form or media 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 performance of those obligations or that business. From the above definitions, records,
therefore, include more than traditional paper documents such as correspondence, reports and forms.

Records contain information that is valuable resource and an important business asset. A systematic approach to the management of records is essential for organizations and society to protect and preserve records as evidence of actions. A records management system results in a source of information about business activity that can support subsequent activities and business decision as well as ensuring accountability to present and future stakeholders (ISO 15489-2001). Therefore, according to ISO 15489 (2001, p. 5), records enables to;

- Conduct business in an orderly, efficient and accountable manner.

- Deliver services in a consistent and equitable manner.

- Provide consistency, continuity and productivity in management and administration.

- Facilitate the effective performance of activities throughout the organization.

- Provide continuity in the event of disaster.

- Meet legislation and regulatory requirements including archival, audit and oversight activities.

- Provide protection and support in litigation including the management of risks associated with the existence of, or lack of, evidence of organizational activities.
• Protect the interests of the organization and the rights of employee, clientele and present and future stakeholders.

• Provide evidences of business, personal and cultural activity.

Thurston (1997) further noted that records represent a particular category of information in that they have evidentiary value and can be legally verified. The creation and maintenance of records is only possible if the records management cycle is controlled systematically. This cycle may be summarized as the process of managing records from their creation to their final disposition. It covers the creation, control, maintenance, use and disposal of records. An effective records management system should ensure that personnel records are maintained throughout their life cycle in an consistent and structured manner, that an organization is able to meet its obligations under legislation and to access records for policy and planning processes, that the integrity and accuracy of the records are protected and that the records can be readily retrieved (Thurston, 1997). This brings us to the discussion to records management.

Again, various definitions abound with regard to records management. Simply defined, it is a practice of identifying, classifying, collecting, preserving and destroying the recorded information in a systematic manner. As for Thurston (1997) records management is the process of managing the creation, maintenance, use and disposal of records throughout their life cycle. Yet according to Robek et al (1995, p. 5) records management is the application of systematic and scientific control to recorded information required in the operation of an organization’s business. However, an insightful definition was given by ISO 15489 (2001). Records management, ISO 15489 (2001, p. 3) asserts, is “a field of
management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.” It is important to note that a close look at the above definitions points to the common denominators of the records management. These are reliability, integrity, compliance, comprehensiveness, and that it must be systematic.

Records management governs the activities both of records management and of any person who create or use records in a course of their business activity. Records management in an organization includes:

- setting policies and standards,
- assigning responsibilities and authorities,
- establishing and promulgating procedures and guidelines,
- providing a range of services relating to the management and use of records.
- designing, implementing and administering specialized systems for managing records, and
- interacting records management into business systems and process (ISO 15489-1, 2001, p. 4).

It is in recognition of the importance of records management as outlined above that Wamukoya (1996) has appropriately argued that records management incorporates the policies, systems and professional and management techniques, systematically applied to
the control of recorded information to enhance an organization’s efficiency and effectiveness, while at the same time consolidating its evidential base.

It is important to note, however, that information and records management are similar in meaning but there are some key distinctions. Whereas records management is a professional management discipline that is primarily concerned with the management of document-based information systems most of which are in paper media format, information management on the other hand is frequently used in reference to database information systems in computer environments in which the information is stored electronically. To that extent, it is imperative to say something about information.

As defined by the same study above, information is any intelligence, which can be communicated, in either graphic form or by alphanumeric character. This encompasses the entire sphere of records, documents, data and files created and maintained by organizations. Thus, information management is the administration of information, its use and transmission, and the application of theories and techniques of information science to create, modify or improve information handling systems (Wamukoya, 1996).

Robek, et al (1995) outlined the objectives of information and records management as:-

- To furnish accurate, timely and complete information for efficient decision – making in the management and operation of the organization.

- To process the records information as efficiently as possible.

- To provide information and records at the lowest possible cost.
To render maximum service to the user of the records.

To dispose of records no longer needed.

In short, information and records management programmes must manage organizational information so that it is timely, accurate, complete, cost-effective, accessible and usable. The basic premise for records management is: Better information makes a better business.

Records management objectives are based primarily upon (i) service (ii) profit (or cost avoidance) (iii) social responsibility. Service is of great importance because recorded information is needed by others so that their work is performed most effectively and efficiently. In all organizations, reducing the cost of doing business is important. In private enterprises, profits are essential if the organization is to continue to function. Social responsibility is important because the attainment of organizational goals must be in accordance with the moral, ethical and legal codes of the society in which the organization operates.

2.4 Personnel Records Management

Management is the process of efficiently achieving organization objectives with and through people. To achieve its objective management typically require the coordination of several vital components that are referred to as functions. The primary functions of management are planning, organizing, coordinating, directing and controlling (DeCenzo and Robbins, 2005, p.16).
Personnel or human resource management refers to the management both individually and collectively of an organization’s most valuable resource, the people it employs. The goal of human resource management is to attract and retain a workforce that will enable the organization to achieve its purposes and objectives (IRMT, 2009). Human resources management also involves training and development, health and welfare and performance improvements of each employee. In addition, it supports the organization’s capacity to plan, monitor and evaluate its own performance.

Another study has defined human resources management as that part of an organization concerned with the people dimension (DeCenzo and Robbins, 2005). It can be viewed as a staff or supporting function in the organization. Its role is to provide assistance to human resource matters to line employees or those directly involved in producing organization’s goods or services. Every organization is comprised of people. Acquiring their service, developing their skills, motivating them to high level of performance and ensuring that they maintain their commitment to the organization are essential to achieving organizational objectives. Human resource management consists of four basic functions namely staffing, training and development, motivation and maintenance.

Human resource planning is one of the most important elements in a successful human resource management programme because it is a process by which an organization ensure that it has the right number and kind of people, at the right place, at the right time, capable of sufficiently and effectively completing those tasks that will help the organization achieve its overall strategic objectives (Roberts, 2000). To that end, Human Resource Information System (HRIS) is designed to quickly fulfill human resource information
needs of the organization. The HRIS is a database system that keeps important information about employee in a central and accessible location. When such information is required, it can be retrieved and used to facilitate employment-planning decisions. Its technical potential permits the organization to track most information about employees and jobs and to retrieve that information when needed.

Personnel records play a vital role in providing the information needed by organizations to manage and pay their staff members, plan their workforce requirements and monitor staff performance. Ultimately, any organization’s development and sustainability depends on sound and effective human resource management and the approaches it chooses to follow will be derived in part from an analysis of the information contained in personnel records (IRMT, 2009).

With the introduction of HRIS, human resource management functions and processes are increasingly conducted electronically. Many business processes that traditionally depended purely on the movement of papers become partially or wholly computerized. The adoption of technology has allowed human resource managers not only to focus on purely administrative activities relating to individual employees, but also to develop well-researched strategies and plans, enabling human resource planning to be aligned directly with overall business objectives (IRMT, 2009).

HRIS has grown significantly in popularity in the past two decades. This is essentially due to the recognition that management needs timely information on its people; moreover, new technology breakthroughs have significantly cut the cost of these systems (Mead, 2000). HRISs are now more user friendly and provide quick and responsive reports – especially
when linked to organization’s management information systems. At a time when a quick analysis of an organization’s human resource is critical, the HRIS is filling a void quick in the human resource planning process. With information readily available, organizations are in better position to quickly move forward in achieving their organization goals.

However, the benefits of technology are not limited to strategic planning. Increasingly, organizations are providing their staff with direct access to human resource information through Internet or web portal. This has made communication changes in personnel policies more easily. Nowadays, managers can access staff records without having to keep multiple copies or wait for delivery of a centrally held paper file. Apart from that individual employees can access personal information about their work status and entitlements and self-service facilities can be provided so that staff members can manage their own personal data. HRIS are also increasingly linked to have built in workflow and business rules to promote consistency in operations and allow for better monitoring (IRMT, 2009).

It is important to note that records are needed to support government operations; to provide reliable information about decisions and actions of public servants and to demonstrate that the public servants have acted appropriately. With this understanding, the government of Tanzania’s draft of proposed Standards and Guidelines for Managing Personnel Records (2007, pp. 4-6) has outlined the following special characteristics of personnel records:

(a) **Government-wide**: Maintenance of personnel records of some sort at many different levels within their organizational structure and in different physical location in their
offices. This, apart from duplication of records as well as for the communication and sharing of information about employees, it ensures the reliability of records in order to provide evidence of human resource events, especially when records are located in widely dispersed locations.

(b) **Links with other systems:** Strong link exist between personnel recordkeeping systems and other government systems, notably systems dealing with budget, payroll and pension management. Personnel records provide the evidence and authority to pay salaries and benefits to employees.

(c) **Different uses:** Personnel records provide a basis for planning, decision-making and conducting business in every area of human resource management.

(d) **Importance:** Reliable personnel records support the efficient management and use of the organization’s single most important resource, its people. The information held in these records is used to make a wide range of decisions, for example, about promotion, transfer, termination or disciplinary action.

(e) **Sensitivity:** To the extent that many personnel records contain personal information about individuals, they are highly sensitive and confidential. Access to the records, whether paper or electronic, must be strictly controlled and monitored: strong and effective security measures are needed to protect the records against loss, damage, unauthorized access and alteration, while in storage and during their active use.

(f) **Longevity:** Some personnel records will need to be kept for the entire career of the employee and then for a period after the employee’s death, retirement or separation.
from public service. All personnel records must be retained and disposed of in accordance with approved retention and disposal schedule.

(g) *Quantity:* Public service maintain very large amount of personnel records, the majority of which until recently have been on paper format. Given the longevity and quantity of personnel records, the conversion of all paper records to digital media may not be cost effective and efficient solution. Sometimes it is just as effective to maintain older records (such as those for retired and deceased staff) in paper and digitize newer records (for current staff).

(h) *Ownership:* Within the public service, all personnel records are government property and must be maintained by the relevant recordkeeping authority. Personnel records or any of their contents must be provided to the relevant authorities on request and may not be destroyed without authority.

The above special characteristics of personnel records are their pillars of the management. Consequently, the breakdown of personnel records system is by implication a major obstacle to effective and accountable human resource and payroll management. The effectiveness of public service managers as regards decision-making throughout the echelons of the public service has partly been impaired by lack of accurate, reliable and timely information. Paper-based personnel files are the only authentic primary source for the data needed for the automated system as they record key events as they happen such as promotions, or gaps in service and they can be verified for authenticity. There is therefore, a need of exploiting opportunities offered by new information technology (IT) and
methodologies. This should revolutionise public service delivery systems by using IT to catalyze the re-engineering of business processes.

The management of personnel records is an issue that affects every ministry, department and agency in the public service as well as every employee. It underpins efforts made to ensure the accuracy of the public service payroll database, the implementation of the human resource management reforms as expressed in the Public Service Reform Programme, the implementation of government’s Public Service Management and Employment Policy, especially the introduction of performance related promotion and compensation, and the ability of the government to respect pension entitlements of public servants. Public service employers will need improved access to employees’ records especially concerning present and past performance. Above all, the effective management of personnel records will reduce delays in processing pension claims.

Yet, many public service records management programmes in Africa are plagued by various problems due to ineffectiveness of registries and national archival institutions. For example, the sampling exercise for personnel records carried out by RAMD in Tanzania found out that large quantities of closed files remain in registries; most registries examined were congested and in poor physical condition; some ministries had begun transferring personal files to their departments; PO-PSM files were incomplete; and that there was a lack of clarity about where personal files could be held (Griffin and Mazikana, 2007).

There were also inconsistencies in the use of “confidential” classification. For example, performance reports, which are supposed to be open to the employee, were more often placed on confidential files, which may not be seen by the employee. Misfiled papers were
common: for example, a government circular was found on a confidential personal file. In addition, open and confidential registries used different personal file numbers for the same individual (Griffin and Mazikana, 2007). Poor physical condition related to lack of storage equipment, poorly maintained storage equipment, overcrowding, lack of space for staff and poor working conditions all of which resulted in delayed or unsuccessful file retrieval.

This lack of common standard practices underlines the need for guidelines specifying which categories of documents should be classified and filed as confidential. In fact, there is also a case to be made for discontinuing two parallel sets of personal files, particularly as the distinction between them and their purpose is unclear. If confidential and open files must be maintained, an option is to keep the two files in the same registry, side by side, so that personnel information about each individual civil servant is located in the same place and can be subject to the same high level of security.

Particularly dispiriting, the project to create an electronic master personal file scanned only documents found on open personal files because of the restrictions on access to confidential files. It was argued that as most key categories of personal documentation are to be found on open files, it was not necessary to scan confidential files. Nevertheless, this was counter-productive, as it would result in the omission of key documents.

In most countries, the majority of personnel records are routinely treated as confidential because of personal nature of their content. With the exception of the few categories, it is assumed that all personnel records should be seen only by a very restricted number of staff, based on the principle that only those staff whose job requires them to see the
records should have access. The meaning of the term open personal file is itself ambiguous because it suggests that as the contents are not confidential they may be viewed by a wider range of staff. Security in open registries is often far less rigorous than in confidential registries.

Usually, the paper personal files are maintained in a single “master” file for each employee. The master file contains the core records of services and the basic personal details, and also includes those records which are needed to document the legal and contractual relationship between the employer and employee such as letter of appointment, medical examination report, confirmation in post, and promotion, transfer and separation letters. The maintenance of a single master file is also a means of controlling the maintenance of multiple files for the same individual.

In contrast working files may contain copies of key documents held on the master file, annual leave records and travel records, and other records that are not critical to the employee’s contractual relationship with the employer. Working file should in principle contain any original personal records of long-term value. Their contents may therefore be retained only as for long as they are required to support a particular personal function. As long as the master file is properly maintained, the contents of working files may be destroyed, when they have no further use. There may be also more than one working file for the same individual.

As to digital master file, the scanning project attempted to create it but this has been only partially successful. Furthermore, there has been no suggestion to date that the existence
of the electronic master file will remove the need to maintain a paper file. In fact, paper file will continue to be maintained whether or not there is an electronic master file. In addition there are security and preservation issues to be considered if the scanned documents become the master file. The long term stability of these digital records is not known and they are also far more susceptible to unauthorized access and tampering.

In theory the PO-PSM should maintain an up-to-date personal file for all civil servants at Grade G level and above. However, the existing PO-PSM files are incomplete as MDAs have not routinely either passed on the relevant records or routed them through the PO-PSM. This is borne out by the findings of the survey team who looked at a sample of files and compared the contents of the files of the same employees at the employing Ministry and at PO-PSM. Typically, whereas the last active date on a ministry file was 2006, the last activity on the corresponding PO-PSM file was five to ten years earlier.

2.5 Improvements of Personnel Records through Digitization.

Over the past few decades, governments and decision-makers in particular have recognized the potential of technology to improve human resource management and information. Parallel to this recognition, there has been a desire in many public agencies around the world to increase efficiency, reduce cost, save space, improve service delivery and enhance transparency and accountability. Traditional paper-based records system has been found to be incapable of providing the information the government need to manage the public service and develop policies and plans based on accurate and current data. The expectation has been that computerization will not only improve human resource
processes but will provide more accurate, consistent and usable information (IRMT, 2009).

The government of Tanzania, through PO-PSM has embarked on a four-year programme to improve the management of personnel records using scanning technologies to provide electronic copies of key documents that can in future be accessed through HCMIS. The scanning project is regarded as a key objective of the records management component of the PSRP. This aimed at integrating the database of scanned images with the HCMIS but it is not yet known how this will be achieved (Griffin and Mazikana, 2007). While the scanning project is being managed by RAMD, all scanned images are currently held on server located in PO-PSM. However, the intention is that RAMD, as the system administrator, will in future house a dedicated server.

A common approach to improving personnel information management is to create digital copies of key paper documents using scanning technology. Digitized documents can often be located, accessed and used much more quickly than the paper originals. A database of digitized personnel records can be a powerful tool to improve the efficiency of human resource management. The database can be part of an Electronic Records Management System (ERMS) or it can be a separate application designed specifically to hold digitized images of personnel records. An ERMS maintains appropriate contextual information (metadata) and links between records to support their value in providing evidence of business activities and maintaining their authenticity and usability. It is an automated system used to manage paper records – their location, use and disposal. It must be distinguished from an Electronic Document Management System (EDMS), which
supports the creation, use and maintenance of e-documents. These systems do not necessarily incorporate recordkeeping functionality and the documents may include those of informational value rather than evidentiary records.

Some mechanisms are needed to ensure the database of digitized records is kept up-to-date and is integrated with systems and processes that generate and hold new personnel information. In addition, records must be secure from loss, deletion or alteration, so that the records are preserved and accessible for as long as needed. However, before embarking on large scale scanning projects it is important to consider whether there is a business case to justify the expense. A needs assessment and risk analysis should be conducted specifically in relation to the digitization of personnel records. The IRMT (2009, p.57-58) has outlined these issues for consideration before digitization move off ground:

- Is scanning cost-effective? Keeping and accessing well-managed paper copies may be cheaper.

- Which paper records should be scanned? Linkages between different paper records that document the full context of the information must be retained; scanning only selected documents may mean that users will have to return to the paper files to gain complete understanding.

- Will the paper originals be destroyed once they have been scanned? If yes, what are the legal implications? If not, what are the additional costs of maintaining two
sets of records? If documents are selectively scanned, are there any linkages between scanned and unscanned documents that need to be preserved?

- Does the software application that will hold the scanned images meet acceptable standards for security, preservation and other record-keeping requirements?

- Can the system be integrated as necessary with related computer systems and business processes? Strong integration is essential if the digitised records are to be kept up to date. For example, when an employee transfers, is promoted or retires, this information needs to be captured and related to the employee’s existing paper or electronic records.

- How long will scanned images be preserved? Are scanned documents identified in existing retention and disposal schedules? Is there a long-term preservation strategy in place?

- What is the cost of maintaining the integrity, accessibility and usability of the digitised records for as long as they are needed? Digitised personnel records may have to be kept for up to 100 years; can the organisation commit to that requirement as well the necessary expenditure?

- Should the digitisation process include optical character recognition (OCR) during the scanning process to enable content searching? Will OCR processes be effective for the records considered for scanning?
The above issues highlights the formidable hurdles that any country or organization embarking on the digitization exercise must surmount in order to succeed.

It must be further stressed, however, that the installation of a HCMIS does not automatically lead to greater focus on strategy or enhanced capacity to plan and manage human resources. This is because data held in the HCMIS must be accurate, up-to-date and complete. In a nutshell, the HCMIS must be able to capture new information. Appropriate business processes therefore must be in place to ensure this information is routinely captured (IRMT, 2009).

The basic function of a computerized HCMIS is to hold data on employees. When integrated with payroll management, HCMIS can calculate salaries and provide a range of supporting functions such as preparing pay slips and payroll reports. A HCMIS may have the capacity to generate a wide range of reports to support human resource planning and decision-making such as list of employee by departments, grade and location; summaries of personal and career details; payroll or benefits statements, annual wage reports; or deposits details.

Thus, the introduction of a HCMIS inevitably requires change in procedures and work practices. Unless business processes are accurate and are executed fully and properly, the HCMIS could end up holding incorrect and incomplete information rendering the system unreliable and ineffective. More strategic focus for personnel records management depends on how much authority the human resource department is given. If senior
management in the organization does not see the personnel unit as a key player in government policy and strategy, the department will not receive resources it needs to fulfil its potential in planning and policy development (IRMT, 2009).

Paper-based filing systems managed by traditional registries have deteriorated in many countries, and in some cases to the point of collapse. The deterioration of records systems can be the result of a shortage of funds for equipment and supplies, a lack of training and career development for registry staff, or a poor understanding by managers of the role, functions and importance of record keeping.

A decline of paper records systems could be explained by an excessive confidence in the role of technology to solve information problems. With the introduction of computerised systems, paper filing standards and procedures that were used in the past to generate good quality records are no longer followed. Copies of key personnel records may no longer be automatically sent to the registry, and if they are sent, they may not be filed promptly and accurately.

In such circumstance, a vicious circle of bureaucratic lethargy results: confidence in the paper filing systems declines, as the incentive to maintain or improve the system decrease. As the systems continue to deteriorate, ad hoc practices replace formal rules. At the end of the day, it is impossible to use the records as a basis for consistent and sound personnel management decisions, to determine responsibility for HR actions and to hold individuals accountable for their decisions and actions. Overcrowded registries and storage areas are a common manifestation of the neglect of personnel filing systems. In most cases, current
files become mixed with files relating to individuals who have been transferred, died, resigned or retired. In the event, it is not surprising that senior executives wish to scrap old systems altogether and move straight to electronic record keeping.

However, it is argued that building an electronic system on top of a collapsed manual system usually results in more problems rather than improvements and offers no extra advantage but many disadvantages. In particular, it is difficult to verify information if the paper records cannot be found, and in the end, a computerized personnel management information system based on erroneous information cannot but fail to deliver its objectives. This implies that it is not possible to achieve control over personnel management functions simply by automating inadequate and incomplete information systems (IRMT, 2009).

To conclude this part then it is clear that scanning or digitizing paper records is often seen as an attractive solution to the problem of storing and accessing large volume of paper records. Scanning projects are already planned or in progress in many areas of government. Nevertheless, it should be taken into account that a credible plan for computerization of human resource management functions must include three essential records-related components, namely; (1) a comprehensive infrastructure policies, standards and work practice for recordkeeping (2) staff who have been trained to manage paper and electronic records as an integrated whole, and (3) a reliable source of personnel information for data entry into electronic systems. These should be supported by coordination of scanning projects within the Public Service and development and application of common standards.
2.6 Public Service and Management of Personnel Records in Africa

During the past two decades, the management of personnel records in most African Public Service was in tatters. This resulted from among other things poor records management which had a devastating impact on public service delivery, the rule of law and accountability. Well-established records management systems were not present in many public sector organizations and this influenced negatively public servants’ accountability, transparency, and maintenance of high integrity to their decisions and actions. It is contended that improved quality and availability of information provides the foundation requirements of improving service delivery and accountability.

In many African countries, records associated with human resources and payroll management has largely been paper based. Despite being kept in an orderly manner, there have been a number of records issues that needed to be addressed including timeliness on acting on documentation and filing. Attempts have been made to computerize human resource and financial management systems which have however not been entirely successful and new systems were considered to be introduced. Public service in Africa needs to ensure that recordkeeping functionality was embedded in the new systems to ensure long term survival and accuracy of the records. Records procedures needed to be developed and staff needed to be trained (Hoyle and Wamukoya, 2006).

This is more important so given that the quality, completeness and accessibility of paper personnel records held at the centers and in the ministries had declined to the point where key events in the civil servants’ careers were no longer properly documented by
employing authorities. Many staff did not have personal files, to say nothing of incorrect job titles which have also been common. In many MDAs personnel issues have been managed on a verbal rather than documented basis.

In Lesotho, for instance, the Ministry of Public Service acknowledged the role that good recordkeeping could play in ensuring the control over numbers of public servants. The Ministry, however, attributed some of the problems that it experienced in managing human resources to the manual recordkeeping system which made tracking information on public servants slow and cumbersome. Control over the total establishment was weak and inefficiencies in managing human resource information and data held in the payroll system had led to overpayments or late payments as well as potential opportunities for abuse of the system (Hoyle and Wamukoya, 2006).

Weakness in the internal control systems, failure to follow administrative procedures, poor recordkeeping practices and collusion among civil servants all contributed to payroll irregularities and fraud. As a result, the problem of ghost workers in Lesotho, for instance, occurred through the re-use of employment numbers of recently retired or deceased staff members, manipulation of personnel information and collusion of staff. The slow processing of documentation, the lack of methodology for cross-verification between pay and human resources information, and the limited means of auditing the records had created opportunities for both deliberate and accidental inaccuracies (Hoyle and Wamukoya, 2006).
Tanzania also reported the same problem recently. Against the background of a vulnerable personnel records management systems, unreliable data and incomplete and fragmented paper personnel records, there had been a spate of government payroll fraud. According to PO-PSM, the government has stopped paying salaries to 463 teachers who were employed without the required teaching qualifications leading to Tshs. 477 million (approx. USD 366,923) loss on the part of the government (Ghasia, quoted in Nipashe Newspaper, May 31, 2009). The Minister responsible for Public Service management has admitted that the problem of ghost workers is a massive one especially in the education cadre (secondary education). She said that in 2008/09 financial year, the government has lost Tshs 3 billion (approx. USD 2,307,692) resulting from paying ghost workers. There is little doubt that payroll irregularities and fraud had had a damaging effect on government credibility and the national economy.

In general the government has recognized the improvement of payroll and personnel management and cleaning up the data held by MDAs as central to government strategy and basic conditions for reform. Implementing an integrated human resource information management system is a key objective. It has been acknowledged that improving records and information management, utilizing ICT, cleaning the payroll and implementing integrated human resource information management were interlinked objectives.

It is no wonder that many African countries have embarked on deliberate moves and efforts at different stages to bring new culture of providing high quality services to the public. The outcry of citizens to increased productivity, eradicate poverty and the growing
concerns of value or money and service delivery is pushing many countries to reform their public service in order to cope with these new demands.

Records and information have continued to be recognized as a core component of public sector reform. In the case of personnel and payroll records, the Government of Ghana, on its part, has accepted that weak internal control systems, failure to follow procedures and poor recordkeeping practices all need to be addressed. Improved business systems and information management require the design and implementation system that were capable of capturing, protecting and providing reliable information over time (Griffin and Akotia, 2008). This in turn depends on a records management infrastructure of policies, standards, processes and trained staff. The Public Records and Archives Management Administration Division (PRAAD) of Ghana, being the responsible agencies, need to participate in ICT planning if the evidence base of the government is to be protected. However, this would require them to have adequate resources and staff who had been trained and experienced in managing records in electronic environments (Griffin and Akotia, 2008).

The Head of Ghanaian Civil Service further reported that recordkeeping was a problem throughout the civil service and that information was not recognized as key asset. Registries lacked the right caliber of staff; that few people within the civil service valued recordkeeping and that civil servants were no longer taught the basic principles of managing the records that they created and used. On top of that the registries had been allowed to decay to point where they no longer functioned as central record of a civil service. Few documents were passed to the registry for filing as a result of which not only that many newer civil servants lacked files but also the files for longer-serving civil
servants were incomplete (Griffin and Akotia, 2008). Most civil servants had at best a handful of documents in their files.

In a study of Lesotho, Hoyle and Wamukoya (2006) reasserted enormous challenges for record management in government. They argued that the significance of records for accountability, evidence and transparency were not generally recognized. Registries were regarded as a dumping ground for non-performing staff, and some registry staff had not even attended basic certificate and diploma courses at the Institute of Development Management and the Institute of Public Administration and Management (Hoyle and Wamukoya, 2006)

As a result, the quality of records management varied considerably in between ministries with some of them reporting subject files being lost, destroyed or damaged, and in some cases it was suggested the destruction was deliberate. The current state of records in general was a real problem and that when the auditors requested documentation on a particular subject the response was often that they could not be found (Hoyle and Wamukoya, 2006).

Paper recordkeeping systems had been neglected, with individual’s service histories found to be fragmented and incomplete. Overconfidence that the newly installed human resources information management systems would meet all information needs has brought to the fore a risk that the manual paper systems will be further weakened. The truth is authentic, reliable and accurate paper records were likely to play a key part in Human resources management processes for many years and to provide the best information
source for verifying computerized electronic data. A major effort is therefore, required to improve the quality of personnel records. The lack of accurate and complete personnel information would hamper national objectives for effective and accountable management of human resources and personnel costs. Unless the paper records are well managed and maintained, any attempt to clean up electronic data would be only partially successful. In fact, a premature confidence in technology to answer all personnel information needs should be seriously considered and revisited. Paradoxically the consequences of neglecting the registries which had led to the deterioration of an important information source on the personnel of the civil service has become a justification for ignoring personnel files as a data source for the computerized system.

The situation has been no less good with regard to Records and Archives Institutions. Most of them have been very limited in their ability to support records management improvements. They have played no role in the management of financial and human resource records and the staff do not have the capacity to offer advice to MDAs on electronic records, an area that is becoming a significant concern. Most Archival Acts need either to be updated or new legislation should be enacted to ensure that records are properly managed from creation through to destruction or retention as archives. The proposed Acts need to be explicit in terms of digital technologies.

Recordkeeping requirements are also needed for business systems that generate and hold records, that is, evidence of decisions, actions and transactions. Unless records management functionality is built into the system, there is no guarantee that the records would remain reliable and accessible. Many governments now require systems that
manage public information to meet certain minimum requirements, in line with international standards. There are a wide range of guidance materials to help planners and designers to define functional requirements for records management. Archival institutions need to be in a position to advice governments in this area, but as of now they lack the capacity to do so.

Taking the Ghanaian example again, the Public Sector Reform has singled out the improved human resource management as one of the basic conditions for reform. Others include measures to improve responsibility and accountability within the public sector based on removal of excuses for non-performance and clear and appropriate information flow (Griffin and Akotia, 2008). Thus establishing effective human resource management practices, for example, a meritocratic system has been seen to be indispensable. Similarly, the programme seeks to improve records management (storage and retrieval of information), the main focus being to have a public service where information is shared among relevant users, thus mitigating the loss of files during document processing and approval. In general, the work programme for public sector reform is heavily dependent on accurate and reliable payroll and personnel information as well as improved records and information management (ibid).

In much a similar vein, a National ICT of Ghana for Accelerated Development has aimed at among other things facilitating effective and efficient records and information management within MDAs from planning and system development to disposal as to ensure long term preservation. It also targets at ensuring that MDAs maintain, protect and preserve information so that information on of enduring value is available for future use.
Another objective has been to ensure the effectiveness and efficiency of the management of information throughout its life-cycle by establishing an accountability framework to ensure the appropriate management of information. Again, effective records and information management and enhanced personnel management systems have been critical components of national ICT strategy of Ghana (Griffin and Akotia, 2008).

2.6.1 Managing Personnel Records in Tanzania’s Public Service.

Tanzania Public Service Reforms could be traced back to the Arusha Declaration of 1967 which saw a dramatic and phenomenal expansion on the role of the state in all sectors of the economy. The Arusha Declaration had the attendant results of improvements in social services to the public such as health, education and water services. The government became the sole provider of goods and services. Apart from these achievements, the public service concentrated more on employment rather than productivity. The results in terms of public service delivery became less apparent as public servants were no longer held accountable for non-performance and non-compliance. This caused the public to fault the government’s credibility and had a negative attitude to services provided by government organizations (Manyambula, 2007).

The government response to break out this logjam was to reform the public service since the early 1990s. The fundamental goal of this reform was to have a smaller, affordable, well-compensated, efficient and effectively performing public service. The reform stated that the overall purpose of public service reform programme was to support the attainment of high rate of economic growth and ensure that delivery of quality services within the
priority sectors conforms to public expectations for value and satisfaction by 2011 (URT, 2008).

To achieve these promising objectives of PSRP, the need for the availability of accurate and reliable information is essential. Every activity of PSRP depends on the availability of information. Well-managed records are essential component for the government to function effectively, develop and implement policies, increase performance, provide quality services to the general public as well as achieve productivity, transparency and accountability. Good management of recorded information is at the cornerstone of PSRP strategy to implement its agendas effectively. Without improved management of public records public servants will not be held accountable, and without accountability citizens will have no trust to their government (Manyambula, 2007).

The government of Tanzania has long recognized records management as a core component of public service reform. Records and information management continue to be part of PSRP strategy. The government has sought to increase information sharing and improve the control of documents during processing and approval. National ICT objectives aim at making more effective use of Information and Communication Technology (ICT) by, for example, harmonizing and coordinating ICT and adapting a single ICT standard for information/content management in MDAs.

On that account, the PO-PSM is responsible for developing public service policies, regulations and codes of ethics and best practices and is broadly responsible for employee relations, organizational development and training, and the allocation of employment
numbers across the public service. Among the stated aims of PO-PSM include developing
ICT leadership within the Public Service, implementing personnel management systems
within MDAs, ensuring that MDAs protected and preserved information for future use,
establishing an accountability framework for information management throughout its life
cycle, and facilitating effective and efficient records and information management within
MDAs and ensuring long-term preservation (URT, 2008).

These aims present formidable challenges. Improving business system and information
management is more than procuring ICT equipments and installing network. It involves
the design and implementation of systems capable of capturing, protecting and providing
reliable information over time (Griffin and Mazikana, 2007). This in turn depends on a
records management infrastructure and policies, standards, procedures and trained staff.
Much progress had been made over the previous decade in establishing an effective
agency, the Records and Archives Management Division (RAMD), to be responsible for
records management in public institutions and for improving the management of paper
based records throughout government. RAMD has had some success in providing
expertise and guidelines for managing paper records, but its capacity to lead and guide the
management of government records in the electronic environment leave much to be
desired.

In particular, records management is still often regarded as synonymous with filing.
RAMD as a responsible agency need to participate in ICT planning if the evidence base of
the government is to be protected. The same broad principles apply to both paper and
electronic records. If new information and communication systems are used to create or
hold the records of government actions and transactions electronically, then there must be mechanisms in place to preserve the records for as long as they are needed. At the same time, there must be government-wide policies and standards, trained staff and sanctions for non-compliance to ensure that records in both paper and electronic form are managed properly. If RAMD is to lead in these endeavors, it need to have adequate resources and trained staff (Griffin and Mazikana, 2007).

The PSRP had consistently emphasized 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. The adoption of the comprehensive scheme of service had opened the way for establishing a comprehensive and integrated view of knowledge and skills requirements across the records and archival field.

Thus, with the on-going PSRP it became evident that the role of the National Archives be redefined. The National Archives recognized the need for an effective management programme to control records through the earlier phase of their lifecycle. This is to ensure that managers have access to the information they need to manage resources efficiently and provide improved services to citizens. Previously, the National Archives, being the custodian of public archives, was charged with a threefold mission of (Mlyansi, 2000)

- Selecting those records having permanent value
• Preserving such public archives for future generation as written heritage in fulfillment of financial, legal and research requirements

• Making arrangements for their access by government and citizens.

Its role was therefore confined to handling non-current records only. As a result of this it became an instrument to facilitate cultural heritage than an active player in providing information for accountability.

A number of measures have since been taken to improve the quality of information. These include capacity building for records management personnel and archivists, the installation of new records management system that follow a life cycle approach, that is, creation maintenance and use, and disposal of records. Key to the programme was the integration of the National Archives into the Civil Service Department (now Public Service Department) and the transfer of the Records Management Project to the Archives bringing the management of public records under one authority, the Records and Archives Management Division within PO-PSM (Griffin and Mazikana, 2007).

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. Section II of the Act made the Director, RAMD responsible for coordinating records keeping work in public offices. Heads of public offices were responsible under the Act (Section 9) for creating and maintaining adequate documentation of the function and activities of their respective public offices through the establishment of good recordkeeping 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 transfer semi-current records into the custody of RAMD.

Records and Archives Management Regulations in accordance with Section 28 of the Act have been issued. The purpose of the Regulations is to operationalize the Act and provide further guidance on how to implement the Act’s requirements. However, while the Act made no distinction between paper and electronic records, its wording implies manual rather than electronic systems. Similarly, the Regulations, like the Act, while medium neutral, imply paper records when dealing with, for example, access to, or transfer or destruction of records, and they provide no specific procedural guidance for transferring, accessing or destroying electronic records that would be different from those for paper records. Moreover, there is no requirement for the designers and implementers of computerized systems to coordinate records management functionality with RAMD.

Besides, Section 9 (i) (d) of the Act which makes thirty years exemption from disclosure of public information has been criticized on ground that it is likely to be abused. While the period has since been reduced to 25 years, the provision set out under Section 20 of the Right to Information Act, 2008 put the maximum of ten (10) years. However, certain information may remain exempted from disclosure after expiry of ten years.

A key component of future development is the construction of the National Records Center (NRC), the design and specifications for which had already been completed, and four Zonal Records Centers (ZRC) in Mwanza, Arusha, Tanga and Mbeya. The absence of NRC has been choking the records management system and was in danger of reversing the
gains previously made. The construction of the NRC is an essential component of records management strategy and is recognized in the Government’s Medium Term Strategy for the PSRP. The strategy also includes ZRCs for Local Government Authorities (LGAs).

The management of records throughout their lifecycle relates to Organization and Efficiency Reviews that are dependent upon information contained in the files. Without well-organized records, efforts of the Government to deliver efficient and effective services to the public and the civil servants are likely to be hampered. Even a systematic data clean-up is in any case probably not feasible without a reliable evidence base of personnel records. Yet RAMD has taken cognizance of the exponential expansion of electronic records. It has long been aware that new infrastructures, policies and standards were needed to manage the electronic records that would increasingly form part of the government information base. The records management reforms that have been undertaken for paper-based records are intended to be a foundation for computerization.

2.7 The Impact of Computerization on Records Management.

The introduction of computerized systems, digital technologies and electronic communication is having a huge impact on the management of recorded information. The management of all types of public sector records has become immensely more complex with the introduction of computerized information system. Whereas there have been rapid advances in the capacity to share information across organizations, speed key process and re-use information, the consequences for ensuring the reliability, integrity and authenticity
of records in electronic form in support of the requirements of good government and accountability are only beginning to be articulated and understood.

For it has long been an expectation that technology will solve information management difficulties and that it will remove the need for paper records. Computerization of the payroll and personnel information has often been regarded as a solution to the problem of poor information quality particularly when existing paper systems have failed to meet information and business needs.

But IRMT study (2009) holds that not all computer systems are designed to create and preserve records. It argues that while HCMIS (HRIS) are excellent tools for managing data, they have generally lacked the capacity to meet records management requirements; for example, to manage records needed to enter or verify system data, or the records generated by the system such as letters, memoranda, forms and reports. Past experience has shown that effective electronic systems cannot simply be built over poorly managed manual systems. In many cases, quick introduction of HCMIS to replace a collapsed and non-functioning paper-based system find itself using inaccurate and unreliable payroll and human resource data for the purpose of populating the new system.

Frankly, computers have increased the ability of organizations to share information within and outside their offices. Prior to the introduction and use of computers manual records management controls, such as registers tracking the movement of files or security classification government access to folders greatly reduced the risk of unauthorized access to paper records. On the contrary, computerization may increase the risk of unauthorized access. What does this portend? That, it is necessary to protect electronic records not only
against unauthorized changes made by those accessing the system as users, but by system administrators who will have higher level of access.

There are already numerous examples of the breakdown of electronic recordkeeping facilities, and there are chronic problems in terms of the capacity to read, retrieve, decode or access electronic records (Thurston, 1997). The records may be too fragile or too poorly documented to read, the software required to decode them may be unavailable or it may not be possible to reconstruct the context of the documents. For instance, the National Archives and Records Administration in Washington D.C, a repository for all United States Government records, reports that older magnetic tapes containing data received from various government departments were suddenly unreadable after just 15 years (Cook, 1995). The tapes became so brittle that they melted or caught fire when run on new drives.

While technology is greatly affecting how human resource records are created, used and maintained, the record–keeping requirements remains the same no matter the medium. Regardless of whether records are electronic or paper, the evidence of decisions, actions, communications and transactions related to employees must be kept and safeguarded in accordance with records management principles.

Electronic records – which are records containing machine-readable as opposed to human readable – may be replacing paper but most organization will need to maintain a mix of manual and electronic recordkeeping systems for the foreseeable future (IRMT, 2009). Paper copies of forms and correspondence will still be printed from the electronic records
even in those offices, which are said to be highly computerized. The challenge of effective records management in this hybrid environment is to integrate paper and electronic systems so that all records about the same employee, whether they are created or held in paper or digital media, can be brought together, and managed and used effectively. Manual filing systems are likely to play a continuing role in human resource management for some time. Therefore, paper records must be maintained in good order so that the information contained in them can serve as authentic and reliable evidence (IRMT, 2009).

It needs not to be overemphasized about the importance of integrating the paper and electronic systems used to support personnel management. Linkages between HCMIS and original, often paper based source documents need to be established. The source documents will continue to be needed to verify information about human resource events. Investments in new computer systems to solve filing problems may prove wasteful unless the manual record-keeping systems are overhauled before automation is applied. The end result of these problems is that office efficiency and productivity is impaired. A good records management programme can help any organization to upgrade its record-keeping systems so that information retrieval is enhanced with corresponding improvements in office efficiency and productivity. Without such programme these goals can be a mere will O’ the wisp.

Electronic document management systems present tremendous opportunities for automating the management of an organization documents throughout their entire life cycle from creation to disposition, and the design for such systems is already well advanced. However this study is of a view that the functional requirements for ensuring
that electronic records are safeguarded have not been translated into technical specifications that programmers can use to instruct computers to create records, which are reliable and authentic and can be preserved for appropriate periods of time.

### 2.8 Digitization Process in Perspective

With more government businesses being conducted electronically, and a push for providing government services online, the importance of managing digital records effectively and appropriately has never been greater. Many government organizations have resorted to digitization of paper-based records which have hitherto dominated much of their registries. In the course of digitization, which is the conversion of character or image into binary digits, two types of outcomes are envisaged namely image of documents or fully functional electronic records. Scanning an analogue object will create a digital image of the source document, essentially, an electronic photograph (IRMT, 1999).

However, in some cases, optical character recognition (OCR) can be applied to the digital image, creating an electronic record that looks exactly like a document that was originally word processed using a computer. While digitization offer many benefits in the future, it is important to consider the potential problems with the creation of digital images or electronic records.

Digitization process is intended to improve access an ensure preservation both of which can be done in tandem or separately. The choice is, however, significant as it will affect all aspects of digitization process, such as the metadata collected, resolution requirements, file format and the selection of storage media for captured images. Digitization does
increase access to records by creating surrogates that can be exchanged electronically or accessed on LANS, WANS or the Internet. It can also be a means of reducing the use of fragile paper records and thus be a factor in an overall preservation. Debate has, however, been raging on whether digitization and subsequent replacement of the original documents with an electronic surrogate, is or ever will be, a viable means of preservation.

As a means of preservation, digitization is being faced by several obstacles. In the foremost is the presence of few standardized formats for the storage and display of digitized images. As of now, one must store the digital master in one format and display object in a different format more suitable to the exchange of networked information. A digital image file format is a structured container for information about each digital image and the image data. Information found in a digital file includes, but is not limited to, name, width, length, resolution and method of compression. Notwithstanding the development of the Standard Recommended Practice, there is not an agreed upon industry-wide image format standard (IRMT, 1999). Many digital imaging systems use the Tagged Image File Format (TIFF). However, different versions of TIFF exist so there is no guarantee that TIFF image can be transported seamlessly from one system to another (ibid).

Similarly, most software and some devices used for image capture and storage are proprietary. This means that the future migration of these data created using such systems is dependent on the availability of commercial software packages that can read the digitized information. In addition, the market in equipment and software for high-end scanning is volatile. Equipment is evolving quickly and numerous companies are moving in and out of the market creating many orphan products.
It is also very difficult to scan certain types of records, such as handwritten documents, documents with low contrast between ink and paper and physically large materials. To ensure that these types of materials are legibly displayed, a significant amount of images enhancement and manipulation is necessary. However, embarking on this course of action not only endanger the authenticity of the records, but drives the cost of digitization up considerably (IRMT, 1999).

Finally, the recreation of context and structure of the records as they move from paper (analogue) to electronic (digitized) form is difficult and time-consuming, particularly when the authenticity and reliability of the records depends on getting this information correct. At this point it is very difficult to maintain the authenticity and reliability of images in a digitization process and so the source document must also be retained as the official legal evidence.

What does the above discussion portends? It means that digitization projects require careful planning, environmental analysis, goal-setting, and an understanding of potential problems associated with the creation of digital images or electronic records. Most importantly, strenuous efforts should be done to examine the current computer and network infrastructure to determine if the present levels of computing and connectivity and staff expertise can support a digitization project.

2.8.1 Digitizing Personnel Records: Some Pre-Consideration

The success of any reformatting project depends on how materials earmarked for digitization are selected. Furthermore, digitizing personnel (officers/staff) have
traditionally been very poor at articulating one set of priorities for selection of materials, for any reformatting projects. Nevertheless, selection criteria should be developed by the project team prior to the beginning of the digitization project. While selection criteria vary among projects, the IRMT (1999) has proposed the followings:

- Uniqueness of the source materials
- Source materials of high economic value
- Information value of the source materials
- Need to provide multiple points of access to the source document
- Physical condition or fragility of the source materials/documents
- High demand for access by organization colleagues or the public
- Suitability of the materials for reforming
- Legal consideration such as copyright
- Cost of reformatting a given selection of source documents compared with the potential benefits of providing access to the digital surrogates.

Copyright, being a statutory right that grants creators certain exclusive rights in their creations for a legally established duration of time is critical in any digitization project because of the ability to publish the results of the project online. It is worth noting that many records produced by government organizations and individuals are copyrighted.
Governments and organization own the physical materials as well as the intellectual property of the materials created under their auspices. It must be noted, however, that a substantial number of records from private citizens and organizations outside of the governments are also found in registries, records centers and archives. As a rule, the copyrights and the intellectual property of these materials are retained by the originating creator or organization, despite the fact that the physical property is not in their possession.

### 2.8.2 The Digitization Production: Scanning, Indexing and Transferring the Images

The scanning process alone does not read the records and therefore data on the image cannot be retrieved without further processing. Scanning must therefore be followed by entering information concerning each image into an automated system and indexing the image. This information includes technical data documenting the scanning process, such as resolution and compression, as well as indexing information about the source document. Data entry is crucial for future migration of the image, now in an electronic form, as well as for future retrieval of the images to ensure access. Also this data entry is critical to maintain the context of the records in terms of both its internal parts as well as how one record is related to other scanned records. For instance, in a paper system the relationships among documents in a file folder are visually discernable. This is not true in the electronic environment, so all this data must be entered into the system manually.
Digitization also results in an image of the original or source document. Individual indexing of the records must be done in order to retrieve the image in the future. Furthermore, if the records being digitized contain multiple pages such as an annual report, the pages must be linked and the context and structure must be re-established.

In order to recreate paper documents as fully functional electronic records, the original paper records are scanned and then the optical character recognition (OCR) software and spell checking is done on the electronic output. The end result is not just a still image, but a document that is searchable and can be edited, just like any other word processing document.

Even with good source documents, OCR software has a 99 per cent (%) accuracy rate (IRMT, 1999). Even in the case of recreating fully functional e-records, data entry is necessary to create context. This context includes the digitization settings, additional operations performed on the document, as well as the noting the relationships between the original paper documents and their electronic surrogates.

Quality control procedures must also be established to ensure that the scanning, indexing and OCR processes applied to records have captured all the necessary information. Many digitization projects are outsourced to vendors specializing in the creation of digital images. It is very important to establish quality control procedures for the digital files returned from the vendors.
2.8.3 Managing Electronic Files

To ensure their accessibility, the electronic files resulting from a digitizing project must be managed properly. From the very beginning, project planners should select storage devices based on an analysis of the capacity or volume of the project, the speed the information will be needed, reliability of the media, security considerations, and the cost. Media choices for storage of digitized images include magnetic disks, optical disks and tapes. These media choices also mean a choice of having the digitized data on-line, near-line and off-line respectively. As storage requirements can easily run into gigabytes, devices with multiple drives are required, particularly if access is the goal of the project (IRMT, 1999).

The best delivery of the images involves some manipulation of the image for fidelity or more frequently scaling of the image for use. If an image must be scaled, the digital master should be copied and this copy is the one that is altered for use. This process is important if scanning is done in a higher resolution.

Meanwhile planning for migration of the digitized images is a complex process. This is because of the proprietary nature of most of the software makes choices for system upgrades to be limited. Furthermore, in order to maintain access to the images, technical, administrative and descriptive metadata must also be migrated along with the images to which they refer. Maintaining the relationships and links between the images, metadata, and perhaps even an OCR version of the document over time and between systems poses significant problems.
For the full beneficial acquirement of a database of digitized images or recreated electronic documents, a functional network is needed to deliver the images to records staff, the organization’s staff or researchers. Networks delivering digitized images must be robust enough to handle multiple hits or retrieval attempts simultaneously. At the same time, the network must be able to manage access requests in order to control the authorization process so that only authorized records staff can manipulate the digitized images.

Digitization is most appropriately done to enhance access to unique, fragile, or heavily used records. It is therefore necessary to think about how digitized documents will be used at the planning stages so as to create a user friendly database. Users want a combination of high image quality, completeness of the information, dimensions that are on a scale with the original and quick delivery of the images over the network. Image quality, completeness of the information; and correct scaling can be controlled to a certain extent by the records office, records center, or archives through a carefully developed scanning process. However, image quality and quick delivery are dependent on the quality of the users’ network and computer.

2.9 An Enabling Legal Framework for Personnel Records Management in Tanzania.

The legal framework in which human resource records are created and used will normally differ from one public service to another. However, the terms and conditions of public service are usually governed by some form of employment legislation such as an
Employment Act or Civil Service Act (IRMT, 2009). Within the Tanzanian context, legislative requirements and responsibilities in relation to public records are explained in the Records Management Policy. In addition, public offices must also ensure that recordkeeping practices comply with the Records and Archives Management Act, No. 3 of 2002 and any other applicable laws and regulations (URT, 2007).

Regulation of the human resource management functions in government is covered by the Public Service Act, 2002 and Regulations, 2003, Standing Orders, and the Public Service Management and Employment Policy, 1999. These statutory and policy instruments are subjects to revision and the Standards and Guidelines for Managing Personnel Records will be updated, as needed, to take into account of any new requirements for recordkeeping (URT, 2007). According to the IRMT study (2009), the laws, policies, regulations and procedures, which govern human resource management, are subject to revision as government organization and functions evolve. The study underscores the importance of keeping track of the development of new or revised employment-related legislation, policies and procedures and to ensure that recordkeeping practices and reporting requirements continue to support current human resource practices (IRMT, 2009). Similarly, legislation may need to keep abreast with new technological development so as to allow electronic records to be considered acceptable evidence in a court of law.

Currently, Section 8 (3) of the Public Service Act, 2002 makes the Permanent Secretary (Establishment) responsible for coordinating and ensuring proper up-keep of personnel information on all public servants. Each public office also has a responsibility to ensure
that accurate and complete personnel records are kept for the employees in its operational service (URT, 2007).

The Public Service Regulations, 2003 state the responsibilities of appointing authorities and employers in relation to human resource management. It addresses issues such as appointments, performance appraisal, termination, discipline, retirement benefits, and general condition of service, promotions, transfers, emoluments, training, loans, leave, travel and transport. It is interesting to note, however, that while the Regulations set out what must be done implying that information must be communicated and recorded in performing certain human resource management actions; they do not in general specify the records that need to be created to support the functions.

Furthermore, Section 9 of the Records and Archives Management Act, 2002 requires public offices to implement authorized retention and disposal schedules, which should be agreed by the Director – RAMD and issued under the authority of the Minister responsible for records and archives management. They provide the authority to public offices to dispose of records when their retention dates have been reached. RAMD has issued Records Retention/Disposal Schedules mainly for paper files, as a guide to the disposition of government records (PO-PSM, 2005). This includes guidance on the disposal of the common types of human resource records generated and held by most public offices.

With time, other legislation may also be relevant to the management of personnel records. In particular, the envisaged Freedom of Information (FOI) and/or Data Protection legislations will have implications for access rights and restrictions on access to records about an individual, such as personal files that contain the individual’s name or some other
information that identifies the individual. Nevertheless, as an old adage goes – I will cross that bridge when I come to it: Further guidance from the PO-PSM will have to be put in place when such legislation is enacted in Tanzania.

Increasingly, human resource management functions are going to be managed and recorded by the Human Capital Management Information System (HCMIS). In this regard, public offices must also follow procedures not only for creating and for controlling, electronic records held by HCMIS, but also its paper input and output documents (URT, 2007). This is important because with the introduction of computerized systems, there has been a tendency not to keep printed rules and procedures up-to-date but to rely instead on business rules built into the systems. However, up-to-date on-line or printed manuals are still essential to guide users through procedures (IRMT, 2009).

It is under these circumstances of computerization mania that the Government of Tanzania has published a National ICT Policy with the broad objectives of providing a national framework that will enable ICT to contribute towards achieving national development goals, transforming Tanzania into a knowledge-based society through the application of ICT, and to accommodate the convergence of information, communication and technology (URT, 2003). The Policy articulates ten focus areas drawn from the aspirations of Tanzania’s Vision 2025. Public Service as one of the ten focus areas includes 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, Section … 3.8.1, Bullet 1 (page 32).

- The Government will support the application of ICT to promote good governance, transparency and accountability … Section 3.8.4, Bullet 2 (page 32).

It is to the discussion of the promotion of E-government that we now turn.

2.10 The Quest for E-Government.

The Public Service Reform Programme (PSRP) Phase II recognizes the opportunities and challenges presented by information and communication technology. However the potential of ICTs to improve service delivery faces many obstacles including the substantial costs involved and lack of special management capacities and skills. It is under these understandings that the initial e-government interventions have focused on issues of developing capacity and building infrastructure, and providing official information through websites. However, IRMT (2006) has sadly noted that e-government is being promoted in the absence of a clear policy and strategy.

As defined by UNESCO-1 (2004), E-Government is the public sector’s use of ICTs with the aim of improving information and service delivery, encouraging citizen’s participation in the decision-making process, and making government more accountable, transparent and efficient. E-government is being perceived as a panacea to the deficiencies of the traditional forms of government where citizens physically go to government offices to seek services.
E-government is an information intensive environment that consists of decision support systems (DSS) such as records management systems, integrated financial management systems, human resource management systems, communication systems, databases and portals (Mutula, 2008). Information management in e-government, therefore, needs to be given priority. The expectation of citizens in e-organizations is that their rights will be protected and documented as in a paper-based environment. Thus preserving the combination of content, context and structure, which give electronic records meaning over time to protect the fragile media from degradation and to ensure efficient access, is of critical importance. Most importantly, the purpose of e-government is the provision of information for citizens to hold their government accountable, promote integrity in government and enable government to improve service delivery (IRMT, 2004). Information in e-government settings should therefore be effectively managed.

The Government of Tanzania’s e-government strategy aims at developing a national Wide Area Network (WAN) using the military hub to link all MDAs, regional offices, municipal offices and remote areas and later on to have a central server whereby users can share applications, data and information. The draft e-Government Strategy lists 17 key supporting elements in the e-government project. These include privacy, security, transparency, interoperability, records management and permanent availability and preservation, all of which must be determining factors when defining functional requirements for electronic records and information systems (IRMT, 2006). The need for “best practice Records Management” is explicitly recognized and especially the urgency of designing systems that ensure records are securely maintained in an 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.

The move towards e-governance promises greater opportunities for increased transparency and accountability of government services and, in longer term, gives people a greater role in government. According to Mnjama and Wamukoya (2004), e-government would lead to better delivery of government services, improve interaction with business and industry, and citizens empowerment through access to information.

There are compelling hurdles, though, to be overcome towards the success of e-government. In the foremost is lack of supportive legal framework such as the protection of intellectual property rights, database protection, informational privacy and electronic transactions. Another stumbling block is inadequate coordination agency for ICT development in the country. Also posing a threat to the project’s success is inadequate standards and guidelines for ICT in general including training, career development, information and devices. Contributing to the litany of obstacles is ICT initiative/projects duplications (IRMT, 2006).

Similarly, most of the e-government projects failure could be attributed to inability to define any measures necessary for implementing information management good practices that are critical for success of such e-government. Sawe (2005) observed that e-government is expected to develop content of immediate local relevance, preserve national history or heritage and traditional knowledge. E-government systems through information management systems can effectively acquire, create, disseminate, integrate, maintain and exploit information for the benefit of citizens and other clients. Wimmer (2002) points out
that e-government through information, supports information process such as decision-making, communication and decision implementation.

Notwithstanding the challenges presented by the e-government project, the Public Sector has identified key priority areas for implementation. These are

- Electronic Document storage, retrieval, processing and e-mail/internet,

- Electronic Signatures; Public Key Infrastructure (PKI); and

- Personnel records management information system.

In addition, the e-Government Strategy includes among identified fast-track initiatives as: an approved Governance Structure for the design and deployment of the e-government, establishment of infrastructure for e-government implementation, and establishment of standards.

To sum up this part, the e-government strategy document recognizes the importance of standards, legal framework and coordination in relation to ICT initiatives but also the need to apply records management functionality to systems that create and hold records (IRMT, 2006). Due consideration has been given as to the benefit and profit that Tanzania could gain from the experience of other countries in moving towards electronic business process and managing records in the mixed paper-electronic environment. The IRMT study (2006) concludes with a cautious tone, however, that, capacity in this area will need to be built.
2.11 Conclusion

This chapter has presented the review of literature relevant to the aims and objectives of the study. It has also discussed the theoretical framework upon which the study was based (i.e. the Records Continuum Theory and the Diffusion of Innovation Model). The chapter also discussed issues related to records and records management, personnel records management, the quest for e-government in Tanzania, and improvements of personnel records in Tanzania.
CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter discusses the methodology used in this study. It specifically examines the research methods including the research design, the study setting, population and sampling procedures and data collection instruments. The chapter also discusses techniques for data analysis and presentation, and ethical consideration related to the study.

3.2 Research Design

A research design is the overall plan or strategy for conducting the research (Oso and Onen, 2008). According to Kothari (2008, p. 31) “a research design is the arrangement of conditions for collection and analysis of data in a manner that aims to combine relevance to the research purpose with economy in procedure.” The research design is the conceptual structure within which research is conducted; it constitutes the blueprint for the collection, measurement and analysis of data.

For the purpose of this study, the case study approach was employed. Busha and Harter cited by Mathenge (2001) observe that case studies enable researchers to obtain comprehensive information about a research problem being investigated. In the context of this study the case study approach allowed a concentrated focus on the President’s Office-Public Service Management and in so doing the research had a closer examination of
management of personnel records in Tanzania’s public service with reference to that particular ministry. The study employed qualitative research approach with interviews, which were supplemented by observation technique.

A qualitative approach was used in this study as it has been clearly noted by Kothari (2008) that qualitative researchers deploy a wide range of interconnected methods endeavoring always to obtain a clear perception of the subject matter. In this study qualitative approach involved the use and collection of a variety of empirical materials by in-depth interview. This approach allowed the researcher to identify recurring practices and meaning in individual’s activities. Since qualitative methods focus primarily on what people tell the researcher they do, enabling the researcher to understand what is going on its great strength in this study is that it can illuminate issues and suggest possible explanations. The process is essentially a search for meaning (Gilham, 2000).

3.2.1 Primary and Secondary Sources.

In order to explore the research questions and to elicit in-depth information on the management of personnel records, this study was informed by primary and secondary sources, which were collected by an empirical study. Primary data were gathered through interviews and observation while secondary data were collected from sources such as library, by reading texts, journals and by Internet.
3.3 Study Population and Sampling Procedure.

The population which was studied comprised top management staff at PO-PSM headquarters and action officers, registry staff in PO-PSM headquarters, and RAMD staff. These four groups of respondents were in a better position to provide relevant data relating to the study. Purposive and Convenient sampling were used in this study to select the respondents. This involved the selection of sample without bias from the target population.

The President’s Office, Public Service Management is a Ministry under President's Office with nine (9) divisions, namely, Administration & Human Resources Management Division, Policy Development Division, Human Resources Development Division, Management of Information Systems Division, Ethics Promotion Division, Diversity Management Unit, Management Services Division, Records and Archives Management Division, Establishment Division and Planning Division. The ministry has 300 staff. Among these 4 are top management officials (i.e. Permanent Secretary, Deputy Permanent Secretary, Director of Administration and Personnel Management, Head of Personnel), 121 Action Officers and 25 Records Management staff at the headquarters, 31 RAMD staff and 123 supporting staff. In this study, the researcher utilized purposive sampling in selecting the division the research covered within the ministry and convenient sampling was used to select respondents.

By using purposive sampling from the above nine divisions the researcher focused in 5 divisions for the study. The five divisions were: Administration and Human Resources Management, Records and Archives Management Division, Human Resources
Development Division, Ethics Promotion Division and Management of Information Systems Division. Purposive sampling involves picking on a sample basing on the researcher’s judgment to suit his research needs. Purposive sampling had been used to select these five divisions because they are mainly involved with the management and use of personnel records at the PO-PSM, and therefore, the researcher collected focused information.

The research used convenient sampling to select respondents from the five departments. Convenient sampling involves choosing the nearest individual to serve as respondent and continue that process until the required sample size has been obtained. The researcher used list of staff available at every division as a sampling frame to determine the names and grades of staff. In this study, convenient sampling was used to interview any five (5) Action Officers from 4 divisions at the headquarters (i.e. Administration and Human Resources Management, Human Resources Development Division, Ethics Promotion Division and Management of Information Systems Division). 20 Action Officers were interviewed from these four departments, which is equivalent to 63% of the total number of action officers in all four departments, which is 32.

Furthermore, the researcher also used convenient sampling to select respondents among registry staff at the headquarters for interview. He used the list of staff available at the Administration and Human Resources Management Division to determine their names. He interviewed any four (4) registry staff from each registry (i.e. Open registry and confidential registry). A total number of registry staff interviewed were 8, was equivalent to 32% of the total number of all registry staff at the headquarters which is 25. The
researcher also traced and arranged interview sessions with any 3 of 4 top management officials at PO-PSM (i.e. Permanent Secretary, Deputy Permanent Secretary, Director of Administration and Personnel Management, Head of Personnel) making a 75% of their total number.

Records Officers and administrators at RAMD were also interviewed as key informants. List of staff at the department provided names, grades and identified those who were involved in various stages of the 1997-2007 Tanzania Records Management Project (TRMP). The researcher interviewed 1 Director, 4 Assistant Directors, any 5 Record Officers and any 5 Records Management Assistants. In total, 15 RAMD staff were interviewed, equivalent to 48% of the total number of RAMD staff, which is 31.

The total number of the population sample for the study consisted of 46 respondents. The distribution of the sampled respondents is as shown in the table 3.1 below.

**Table 3.1: Distribution of Sample (n = 46)**

<table>
<thead>
<tr>
<th>Target Group</th>
<th>Total Number</th>
<th>Sample Number</th>
<th>% of a Group</th>
<th>% in population</th>
</tr>
</thead>
<tbody>
<tr>
<td>Top Mgt</td>
<td>4</td>
<td>3</td>
<td>75</td>
<td>7</td>
</tr>
<tr>
<td>Action Officers</td>
<td>32</td>
<td>20</td>
<td>63</td>
<td>43</td>
</tr>
<tr>
<td>RAMD Staff</td>
<td>31</td>
<td>15</td>
<td>48</td>
<td>33</td>
</tr>
<tr>
<td>Registry Staff</td>
<td>25</td>
<td>8</td>
<td>32</td>
<td>17</td>
</tr>
</tbody>
</table>
3.4 Data Collection Instruments.

These refer to the tools used for collecting data. In the context of this study the instruments for data collection were interviews which were supplemented by observation tool.

3.4.1 Interviews

It is a person-to-person verbal communication in which one person (or a group of person) asks the other questions intended to elicit information or opinions (Oso and Onen, 2008). The researcher conducted face-to-face interview with all groups of respondents with the aid of semi-structured interview schedule.

The interview schedule for all the respondents consisted of both open-ended and closed-ended questions. Interview schedule for top management required them to provide data related to various aspects such as policies, strategies for managing personnel records, budgets and challenges in managing personnel records. Action Officers were required to provide data related to types of personnel records used, state of personnel records, effectiveness of systems and procedures for personnel records management and the extent to which personnel records are used and contributed to decision making and service delivery. RAMD staff provided the researcher with data related to overall personnel records management in the government, legal framework for personnel records management in Tanzania, standards for personnel records management and strategies adopted to manage personnel records in the government and the extent to which personnel records have been computerized (digitized) in the Tanzania’s Public service.
3.4.2 Observation

Interviews alone were not enough. As Beattie (1964), explains: “unless the anthropologist takes part in the culture … he can never really hope to see it as its members see it”. Only by at least some participation in community life or organization activities can researchers extensively understand peoples’ perceptions.

This study in addition to interview the researcher used the observation method. Observation implies the collection of information by way of investigator’s own observation without interviewing the respondents. The information obtained relates to what is happening and is not complicated by either past behavior or future intention or attitude of the respondents. In this current research observation was conducted using observation schedule and aimed to collect data related to storage and handling of records, physical condition of the registry, registry layout, cleanliness, records control tool, risk management and security of records.

Observation method has been found necessary for this study because it helped the researcher to collect data on issues and topics that might be uncomfortable to informants to be disclosed and helped to notice unusual aspects. Observation was also used to clarify inconsistencies that arose between what respondents say and what they do or are actually happening at PO-PSM. In addition, it allowed the researcher to obtain data describing physical environment of the task.
3.5 Data Collection Procedures.

In order to collect data for the study, the researcher needed to have a research permit from the Directors of Administration and Human Resources Management (DAHRM) which was provided after he had obtained an introduction letter from the Dean, School of Information Sciences of Moi University. Prior to that stage, the researcher had to contact the DAHRM and the Head of Personnel (HP) at the PO-PSM who are the ones responsible for all personnel management services at PO-PSM. Also the researcher consulted the Director of Records and Archives Management Division for further guidance.

The researcher strove to make sure that this research was conducted without any bias or anything that may render the collected data unreliable or invalid. Pilot study was conducted at the PO-PSM headquarters to test the reliability and validity of the research instruments and ensure that any mistakes contained thereof are corrected before actual data collection process begun.

As shown earlier on, data collection for actual research study was collected from 46 respondents comprising top management, PO-PSM registries staff and personnel records users. Data were collected during the October-December, 2009 period. To ensure the validity and reliability of data and control of methodology data were collected by the researcher himself. But most importantly the study employed methodological triangulation for validity as it is discussed below.
3.6 Data Validity and Reliability.

Utilizing the methodological eclecticism of triangulation, which involves theoretical and methodological triangulation to promote more complex research designs, is very important (Cormack, 1996; Denzin, 1970). Thus, the research adopted a triangulation method by utilizing qualitative methods of interviews and observations.

As a research strategy, triangulation has the benefit of raising social scientist “above the personal biases” that stem from single methodologies. By combining interview and observation in this same study, the researcher could partially overcome the deficiencies that flow from employing one method.

Furthermore, validity is “establishing correct operational measures for the concepts being studied” (Yin, 1994, p.8). In order to ensure the validity of this thesis, the methods and theories used to conduct this study were chosen from literatures written by authors known to be experts in this field. Furthermore; the empirical data used in the analysis was collected through face-to-face interviews with the respondents in each target group in the PO-PSM as indicated by the researcher. This way the additional information was gathered from RAMD staff that deals specifically with records and archives management in Tanzania public service and gave a useful and relevant point of view. Discussing with the interviewed individuals face-to-face gave the researcher more assurance about the answers being received from the right person.

The reliability of a study can be ensured when a later researcher can follow the same procedures, such as the data collection procedures conducted in an earlier research study.
and come up to the same results (Yin, 1994). To carry out the interviews, the authors made a number of interview questions to follow in order to obtain relevant information. The research attached the interview guide which can be used by other researchers if needed. In which case, the thesis can be considered as reliable.

3.7 Data Analysis

This section deals with the organization, interpretation and presentation of the collected data. It explains how the data were analyzed. Oso and Onen (2008) observe that, data analysis entails separation of data into constituent’s parts or elements, or an examination of data to distinguish its components parts or elements separately and in relation to the whole.

For the purpose of this study, the researcher analyzed data using descriptive analysis. This analysis technique was suited to the studies such as this because it provided us with profile of an organization. Frequencies and percentages were calculated, relationships were compared and interpretations were made as objectively as possible in order to get the accurate meaning or true picture of the situation studied.

3.8 Ethical Considerations

Despite the high value of knowledge which is gained through research, knowledge cannot be pursued at the expense of human dignity (Oso and Onen, 2008). Thus, the issues of ethics are very important in any research undertaking. The major ethical issues of concern
for this study were privacy and confidentiality, informed consent, anonymity and researcher’s responsibility.

With regard to privacy and confidentiality, the participants had the right to keep from the public certain information about themselves and that all data to be collected were used for the purposes of the study. The researcher strove to observe this important factor. There is also the factor of informed consent. It is important that the researcher get the participants’ consent before he can proceed with his study. It is important that the participants decide on their own and voluntarily to participate in the study. To ensure voluntary participation in the study, the researcher provided the respondents with information on:

- The purpose of the study
- The expected duration of participation and the procedures to be followed
- Any benefit to the subject or participant
- Any unforeseen risk or discomfort to the respondents
- The extent of privacy and confidentiality.

These should encourage wide-ranging participation. Apart from that all participants were assured of their right to remain anonymous. Finally the researcher strove to be as sensitive as possible to human dignity as per human rights as enshrined in various national and international conventions and documents.
3.9 Conclusion

This chapter has presented the methodologies, which were used in this study. It has provided the research design and described the study settings. It has also discussed qualitative methodology, study population and sampling procedures and data collection methods. This study collected primary data and secondary sources data using methodological/tools of interviews, observations and documentary analysis. The study used triangulation method to ensure validity and reliability of data. Approaches to the presentation and analysis of data were also discussed. Finally, ethical issues relating to this study were presented and discussed.
CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

4.1 Introduction

This study investigated and evaluated how effectively personnel records were managed in the President’s Office-Public Service Management, Tanzania. This was done against the background of the existing knowledge gap in the management of personnel records in the context of the personnel records improvement programme through digitization. The data collected was analyzed using descriptive analysis involving calculation of frequencies and percentages, comparison of relationships and objective interpretation in order to get accurate meaning of the situation studied. As stressed by Kothari (2004), it is only through interpretation that the researcher can expose relations and processes that underlie the findings.

The major findings of the study are presented in this chapter under the following sub-sections in due consideration of the same manner in which the research objectives and research questions were stated. These are: the extent to which personnel records are managed in the Tanzanian public service, policies, systems, standards and procedures that guide the management of personnel records, and challenges experienced in the management of personnel records. Other sub-sections are the extent of the use of personnel records in decision-making and service delivery, strategies to be adopted to address the challenges facing personnel records management in PO-PSM, and
computerization of personnel records in the public service. Also this section presents data obtained through observation of records management activities in the PO-PSM registry and lastly discusses the model to be recommended for adoption in the management of personnel records in the public service Tanzania.

4.2 Description of the Study Area

This study was primarily conducted at PO-PSM which is a Ministry under the President’s Office. It is located at the City Centre along the Indian Ocean coast at the famous Kivukoni Front in Dar es Salaam and is housed at the ultra modern E-government building. The Ministry was formerly known as the Civil Service Department but is now known as Public Service Management, President’s Office since 2003. This followed the enactment of the Public Service Act No. 8 of 2002. It had for a long time been a fully-fledged Ministry of Manpower Development before it changed to its present status.

With the Permanent Secretary being its chief executive and accounting officer, the PO-PSM’s role is to assist the Head of Public Service (i.e. the Chief Secretary) in matters of personnel and administration as they relate to the Public Service of the United Republic of Tanzania. The organization structure of the ministry shows that it is divided into nine (9) divisions and five (5) units. Divisions are headed by Directors who are answerable to the Permanent Secretary. (See Appendix VI: Organization Structure of the PO-PSM).

The selection of the PO-PSM was done using critical sampling which is a means of purposeful selection of information rich cases. “Critical cases are those that can make a point dramatically or are, for some reasons particularly important in the scheme of things”
(Patton, 2002). The PO-PSM was chosen by virtue of its central role in the management of
government human capital or workforce. Besides, PO-PSM is in many ways, typical of
many other ministries, and hence the data can legitimately be generalized to other
government ministries. As Patton (2002) has argued, the attempt aimed at achieving a
degree of generalizability can be accomplished even with one critical case based on the
weight of the evidence produced from each case.

Additional data were obtained from the Records and Archives Management Division
(RAMD) which is a government department under the Public Service Management in the
President’s Office. RAMD is mandated, under the Records and Archives Act No. 3 of
2002, to provide records and archives management services to the public service. RAMD
is responsible for oversight of records management and archiving. Records management
(GAO, 2002) – that is, the policies, procedures, guidance, tools and techniques, resources,
and training needed to design and maintain reliable and trustworthy records system –
govern the life cycle of records from creation, through maintenance and use, to final
disposition. Archiving is the permanent preservation of records documenting the activities
of the government (GAO, 2002). RAMD is located at the city centre, along Vijibweni
Close off Magore Street. The National Archives was established in 1965 by an Act of
Parliament (National Archives Act No. 33 of 1965). Archives services actually started in
1963 through Presidential Circular No. 7 of 1963 whose main thrust was the proper care
and disposal of public records.

The RAMD was established in 1999, after merging the National Archives of Tanzania,
formerly under the Ministry of Education and Culture and the Records Management
Section in the President’s Office, Civil Service Department. In February 2002, the Records and Archives Management Act No. 3 of 2002 was passed by Parliament by repealing the National Archives Act No. 33 of 1965 and the Records (Disposal) Ordinance of 1931.

The division (RAMD) is charged with promoting records management and archives services to the general public, introducing modern records management systems in the public service so as to increase government efficiency and accountability, and advising the government on records management best practice standards and how best to implement them. It is important to note that the 2002 Act not only delineates responsibility but also provides for the inspectorate role of the RAMD.

RAMD was picked for this study simply because it is the main repository of the government records but is also responsible for the management of public records throughout their life cycle. The PSRP recognized that records management was a cornerstone for the success of its objectives. It is with this understanding that PSRP supported RAMD to embark on the Records Management Improvement Programme (RMIP) which became an integral part of PSRP. The purpose of RMIP was to control the quality of and improve availability of information in the Ministries, Departments, Agencies and Local Government Authorities as part of the establishment of efficient, effective and sustainable paper-based records systems.
4.3 Characteristics of Sample Population

4.3.1 Population Size

The findings, as shown below, were based on the responses drawn from amongst the target population of 46 respondents. Table 4.1 shows the overall population size.

Table 4.1: Population Size (N=46)

<table>
<thead>
<tr>
<th>Target Group</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Top Management</td>
<td>3</td>
<td>7</td>
</tr>
<tr>
<td>Action Officers</td>
<td>20</td>
<td>43</td>
</tr>
<tr>
<td>Registry Staff</td>
<td>8</td>
<td>33</td>
</tr>
<tr>
<td>RAMD Staff</td>
<td>15</td>
<td>17</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>46</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

Source: Field Data, 2009.

Table 4.1 above shows that the study interviews involved 3 top management staff, 20 action officers, 8 registry staff, and 15 RAMD staff. Each category was represented by whoever was available for interview in that category. The researcher was also sensitive to the gender dimension of the study. To that end, among the three Top Management respondents, 2 were male and one was female. In the category of action officers, 12 were males and 8 were females. Women were less represented among the RAMD staff where 12 were males and 3 were females. The largest representation was in the registry where
there was only one male and the rest (7) were females. Much as this study strived to avoid gender imbalances, it was apparent that this was inevitable. The researcher was of the view that to select respondents strictly on gender basis would be sexist and would engender gender stereotyping. The Government of the United Republic of Tanzania has in recent years increased the percentage of women in top management positions to 29.1% against the target figure of 30%. It may be observed that the majority of women respondents are found in the “traditional” women’s work. Thus, stereotyping will take time to change.

4.3.2 Education Background of Respondents

The education background of the respondents was deliberately taken to measure the respondents’ understanding of the problem at hand as compared to their level of education. Table 4.2 below shows the breakdown.

Table 4.2: Education Background of the Respondents

<table>
<thead>
<tr>
<th>Education</th>
<th>Top Mgt</th>
<th>Action Officers</th>
<th>RAMD Staff</th>
<th>Registry Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level of Education</td>
<td>Freq</td>
<td>%</td>
<td>Freq</td>
<td>%</td>
</tr>
<tr>
<td>Masters Degree</td>
<td>3</td>
<td>100</td>
<td>15</td>
<td>75</td>
</tr>
<tr>
<td>First Degree</td>
<td>-</td>
<td>-</td>
<td>5</td>
<td>25</td>
</tr>
<tr>
<td>O-Level + Cert &amp; Diploma</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Total</td>
<td>3</td>
<td>100</td>
<td>20</td>
<td>100</td>
</tr>
</tbody>
</table>

Source: Field Data, 2009.
Table 4.2 shows that all top management respondents had attained education level of Masters Degree. 15 of the action officers and 8 of RAMD Staff respectively had also attained this level of education. First degree level consisted of 5 action officers and 7 RAMD staff. All registry staff had attained ordinary level of education and some certificate and diploma training. This conforms to the government regulation that all public service employees should have educational qualifications not below form four education.

4.4 The Extent to which Personnel Records are managed in the PO-PSM

One of the objectives of the study was to find out how effectively personnel records are managed in the PO-PSM. To achieve this objective various questions were asked to all groups of respondents and the results are presented in table 4.3, p. 115.

As indicated in Table 4.3, in line with this objective, top management respondents were asked to state how important personnel records were in the work of PO-PSM. The question received unanimous responses as all 3 respondents underscored the importance of personnel records as far as human resource issues were concerned. They stated that these were records of actions and decisions pursuant to regulations issued by the Public Service Commission, the agency charged with the administration of the Public Service Act, and the related regulations. They further observed that personnel records were specifically used to document the employees’ work history which is critical for human resource functions. When they were asked about the state of personnel records management in the PO-PSM, they all stated that it was not quite good but it was improving. They attributed
this improvement to the Records Management Improvement Project of in 1997 which mapped out current and emerging systems and set the foundation for the adoption of best practice recordkeeping systems.

**Table 4.3:** Management of personnel records in the PO-PSM

<table>
<thead>
<tr>
<th>Remarks</th>
<th>Top Mgt (N=3)</th>
<th>Action Officers (N=20)</th>
<th>RAMD Staff (N=15)</th>
<th>Registry Staff (N=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Freq</td>
<td>Freq</td>
<td>Freq</td>
<td>Freq</td>
</tr>
<tr>
<td>Personnel records were very important in human resource management</td>
<td>3</td>
<td>20</td>
<td>15</td>
<td>-</td>
</tr>
<tr>
<td>Personnel records management was good/improving</td>
<td>-</td>
<td>12</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Personnel records management was not good</td>
<td>3</td>
<td>8</td>
<td>15</td>
<td>-</td>
</tr>
<tr>
<td>Responsible for open personnel records</td>
<td></td>
<td></td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>Responsible for confidential personnel records</td>
<td></td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>There was enough space for registry operation</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>6</td>
</tr>
<tr>
<td>There was no enough space for registry operation</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>2</td>
</tr>
</tbody>
</table>

*Source: Field Data, 2009.*
Action Officers numbering 20 on their part rated the personnel records to be very important especially in matters concerning human resources management, actions and development decisions. They said that personnel records were used to document every ones work history which is very important to the accomplishment of human resources functions of planning, monitoring and policy development; establishment control; recruitment; appointment; performance appraisal; education, training and staff development; promotion; transfer; discipline and grievances proceedings; attendance, leave and sickness, secondment and retirement. However, they had varying views when they were required to assess the management of personnel records in the PO-PSM. Twelve respondents said it was good while the rest, 8 said it was not very good. Those who said it was not very good mentioned the difficulties with which it takes to use them due to the fact that files were dismantled during the digitization process, hence, files were so disorganized. All of them said that personnel records were often used in day to day work because of routine matters such as staff requests for leave approval, issues of promotion and retirement. When asked whether or not they often received the required personnel records, all of them answered in the affirmative, especially for those staff that were still in service. However, they added that the problem arose when the personnel records for retired staff were required. This is because most files for retired staff were not well-arranged. In a situation where the file requested was not found or cannot be delivered in time the only alternative was to allow more time to look for the file. They were particularly aware that this kind of *modus operandi* often delayed decision making and hampered quality service delivery.
Registry staff were asked about the type of personnel records they keep in their offices. In response, 5 who were from open registry said they were responsible for keeping open personnel records and 3 from confidential registry said that they were responsible for confidential personnel records management. The records were in paper form. No electronic records were kept in either registry. They pointed out that the records were created during the recruitment process. All documents contained in an individual’s application package were filed in the open file. However, letter of first appointment was filed in a confidential file. Registry staff noted that personnel records were organized according to seniority in which case files of senior officials, that is, Permanent Secretaries, Deputy Permanent Secretaries and Directors were kept separate from those of other staff. They further explained that personnel records were classified in series numbers and were regularly updated particularly during leave, promotion, and transfer. Majority of the respondents, i.e. 6 where 5 from the open registry and 1 from the confidential registry, said that there was enough space and equipments to carry out their responsibilities while the remaining 2 all from confidential registry, said the space was not enough and the equipments were rather outdated.

On their part, RAMD staff were asked to rate the management of personnel records in the public service. All 15 respondents admitted to the fact that the state of records management was not very good because there were still some problems such as missing files, missing documents, misfiling, poor storage and lack of adequate budgetary allocation for the purpose of records management. All of these had resulted into poor management of personnel records in the public service. This impacted on service delivery.

In this cluster of questions the study intended to gauge the respondents’ awareness of the existing policies, systems, standards and procedures that regulate the management of personnel records in the PO-PSM. The responses are presented in table 4.4 p below.


<table>
<thead>
<tr>
<th>Remarks</th>
<th>Top Mgt (N=3)</th>
<th>Action Officers (N=20)</th>
<th>RAMD Staff (N=15)</th>
<th>Registry Staff (N=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>there was no policy in the PO-PSM for managing personnel records</td>
<td>3</td>
<td>20</td>
<td>15</td>
<td>-</td>
</tr>
<tr>
<td>No policy on computerization of personnel records existed</td>
<td>3</td>
<td>20</td>
<td>15</td>
<td>-</td>
</tr>
<tr>
<td>Personnel records used in day to day activities are managed in manual system</td>
<td>3</td>
<td>20</td>
<td>-</td>
<td>8</td>
</tr>
<tr>
<td>no standards and procedures in the PO-PSM</td>
<td>2</td>
<td>-</td>
<td>15</td>
<td>-</td>
</tr>
<tr>
<td>standards and procedures were still in draft form</td>
<td>1</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>no retention guidelines</td>
<td>-</td>
<td>-</td>
<td>5</td>
<td>-</td>
</tr>
</tbody>
</table>

Source: Field Data, 2009.
As indicated in 4.4 all 3 Top Management respondents said that so far there was no policy in the PO-PSM for managing personnel records. They further noted that this lack of a coordinated policy had a negative impact on the management of personnel records as experience rather than laid down policy specifications were used to manage records. There was also no clear understanding of what documents should be kept in open files and those which should be kept in confidential files. When asked about a policy on computerization of personnel records in government again all 3 top management respondents said it did not exist and already personnel records in a couple of MDAs, including the PO-PSM, have been computerized. When asked about what system were used in the PO-PSM, all respondents in this group were clear that personnel records used in day to day activities were those managed in manual system, while there were some backup records in electronic system, – namely the Human Capital Management Information System (HCMIS) which were managed by the Division of Management Information System (DMIS) of the PO-PSM. The study further sought to find out whether there were standards and procedures for managing personnel records. In response to this question, 1 of the 3 top management respondents said that standards and procedures were yet to be used for they were still in draft form while 2 said there were no standards and procedures in the PO-PSM and added that experience rather than laid down procedures were used.

Action officers were asked about the procedures used in ordering and delivering personnel records from registries. All 20 respondents explained almost the same procedures, they said, it was done through sending requests to the registry. The procedure went thus; file request was sent to the registry, control book is signed upon file charge out and signed again upon return of the file to the registry. Likewise, on the issue of policy, all 20 action
officers said that there was no overall policy which governed the management and use of personnel records. Similarly, registry staff were asked about the procedures that should be followed when personnel records are required by action officers. All 8 registry staff responded that a file was first located, retrieved and registered in an outgoing register. It was then sent to where it was required. They also added that registries in PO-PSM still operate manual systems and that no electronic systems for records management existed.

The study also sought from RAMD staff if there was a specific and well-elaborated policy for personnel records management in the government. From all 15 the answer was no. As a result the MDAs manage personnel records haphazardly leading to the current chaotic situation in most of the registries. In most cases, many records are kept according to MDAs in-house procedures which vary a great deal from one MDA to another. When further explaining the situation 5 of them said there were no retention guidelines, with cases of lost files or records being very common. Due to the absence of a clear policy, there was no clear understanding between the PO-PSM and the employing MDAs as to who should keep the Master file. Neither were there particular records management procedures to guide the management of personnel records. Again, all 15 RAMD staff said that there were currently no government-wide standards for records management in general and personnel records management in particular. However, there existed a registry procedure manual which gave guidance on managing records.
4.6 Challenges experienced in the Management of Personnel Records

The study also sought to find out the Challenges experienced in the management of personnel records in the PO-PSM. This question was posed to top management, registry personnel, and RAMD staff, totaling 26. Their responses are presented in the Table 4.5 below.

**Table 4.5: Challenges of Personnel Records Management in the PO-PSM (N=26)**

<table>
<thead>
<tr>
<th>Challenge</th>
<th>Freq</th>
<th>(%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of clear personnel records management policy, standards, guidelines and procedures to guide the management of both paper and electronic records</td>
<td>23</td>
<td>88</td>
</tr>
<tr>
<td>Inadequate budgetary allocation and misappropriation of records management budget</td>
<td>23</td>
<td>88</td>
</tr>
<tr>
<td>Lack of consistent training programme for Registry Staff</td>
<td>23</td>
<td>88</td>
</tr>
<tr>
<td>Poor Security and Confidentiality Control</td>
<td>22</td>
<td>85</td>
</tr>
<tr>
<td>Congestion of personnel records in the Ministry</td>
<td>20</td>
<td>77</td>
</tr>
<tr>
<td>Absence of core competencies in records and archives management especially in e-records among records RAMD staff and Registry staff</td>
<td>18</td>
<td>69</td>
</tr>
<tr>
<td>Low priority given to records management programme</td>
<td>18</td>
<td>69</td>
</tr>
<tr>
<td>Lack of enough space and equipments</td>
<td>15</td>
<td>58</td>
</tr>
<tr>
<td>Poor organization of personnel records caused by scanning exercise</td>
<td>12</td>
<td>46</td>
</tr>
<tr>
<td>Complaints from records users and other customers as a result of poor cooperation between top management and lower cadres.</td>
<td>10</td>
<td>38</td>
</tr>
</tbody>
</table>

*Source: Field Data, 2009.*
Table 4.5 shows that the most cited challenges were lack of a clear personnel records management policy, standards, guidelines and procedures to guide the management of both paper and electronic records, inadequate budgetary allocation and misappropriation of records management budget. Another challenge with high percentage score was lack of a training programme for registry staff and core competencies in e-records management which scored 23 each. Still other challenges were poor security and confidentiality control which had 22 score, followed by the congestion of personnel records in the ministry with 20 score while low priority accorded to records management programme and absence of core competencies in e-records management was mentioned by 18 of the respondents; lack of enough space were mentioned by 15 respondents; and 12 respondents mentioned poor organization of personnel records caused by scanning exercise. Finally, 10 respondents mentioned complaints from service users and customers as one of the factors contributing to the problems due to the neglect of registries and records management functions. This was caused by poor coordination between top management and lower cadre staff.

Registry staff were further asked what should be done in order to surmount these challenges. In response all 8 said that the Ministry should introduce standards, policies, guidelines and procedures while 3 among them went on saying that the PO-PSM should as well sensitize senior officials about the importance of records in the functioning of the PO-PSM, and respect for the lower cadre staff. Further, 7 also said that the Ministry should embark on training programmes for its registry staff, and where possible employ competent and qualified staff and increase cooperation with RAMD in all technical records management decisions. To the extent that they act as a roadblock to the normal
operation of registries, these challenges had greatly impeded the provision of quality services to action officers and citizens.

Yet when further probed concerning these challenges, they asserted that the challenges had been recognized and acknowledged by the relevant authorities, i.e. Director of Administration and Personnel (DAP), Head of Personnel (HP) and the RAMD. This finding punctured speculation that the senior managerial staff of PO-PSM are not aware of the problems facing records management in their ministry. When asked to mention measures taken to tackle problems of records management in the PO-PSM, 6 registry staff mentioned decongestion of personnel records (registry), and 4 registry staff went further and mentioned the introduction of the post of records officers as supervisors of registries and introduction of a training programme for training which they said was still far from implementation.

On their part, RAMD staff were asked if the challenges presented included problems of collapsed paper based records management systems. Among them 13 answered in the affirmative. Only 2 did not make any comment on that notion. For those who agreed on the linkage further said that collapsed paper based system caused the loss of many records in the Ministry especially upon transfer, retirement, promotion etc. From the responses given by RAMD staff, the study confirmed that paper based records management system was still important and should act as a launching pad for the introduction of a full-fledged electronic records management system. 14 RAMD staff further alluded to another cause of poor records management i.e. the low priority generally accorded to records management. They pointed out that records management was not even “on the radar scope” of MDAs
leaders, and was generally considered a “supporting” activity. Since support functions are typically the most dispensable in MDAs, resources for and focus on these activities is often limited. Furthermore, 5 RAMD staff mentioned that lack of the initial or formal training in records management for new public servants was one of the major causes of records management problems in the public service as most of these new employees had little idea of the importance of records management.

4.7 The Use of Personnel Records in Decision-Making and Service Delivery.

In this part respondents were asked about the extent to which personnel records were used in decision-making and service delivery. All top management respondents underscored the importance of personnel records in the public service sector. To the extent that personnel records were concerned with documenting the work histories of public service employees, then they should be the basis upon which all decisions about employees are taken. Thus apart from decision-making and service delivery functions, personnel records were often used in a variety of other activities in the public service. Thus personnel records should be available well-managed and available when required.

On their part, 11 action officers explained that the information contained in personnel records supported the management, deployment, supervision and development of government employees. In that respect well-managed personnel records should lead to better and faster decision making, reduce complaints from customers, improve public servants’ benefits and safeguard civil servants rights and entitlements. This observation agrees with the view that records are needed to support government operations, provide
reliable information about the decisions and actions of public servants, and to serve as proof that public servants have acted appropriately.

As to the use of personnel records in decision making and service delivery almost all RAMD staff first underscored the objective of government policy which is to improve public service accountability, human resources management and the skills and capabilities of public servants. 5 went further to mention other key objectives as being to promote meritocracy and decentralization, including the formation of Executive Agencies. For them all these aims have significant implications for records management. Thus effective management of personnel records should enable the public service to manage its employees more effectively and equitably, encourage informed and consistent decision-making, support transparency and accountability, and facilitate the monitoring and evaluation of performance.

Commenting further on the issues, 9 RAMD staff agreed with the views of 14 action officers who said that personnel records were used in decision-making to confirm rights and entitlements; human resources planning, monitoring and policy development; establishment control; recruitment; appointment; performance appraisal; education, training and staff development. Other uses included promotion; transfer; discipline; attendance, leave and sickness, secondment and retirement. In fact, RAMD staff noted that much of the information that is entered in the Human Capital Management Information System (HCMIS) was derived from personnel records generated in the course of managing individual employees. Strategic planning ultimately depends upon reliable and accurate records.
A report on the state of the Tanzania public service (2005) concluded that it was not possible to separate the issue of non-compliance with rules and regulations from the issue of recordkeeping. This underlines the importance of maintaining complete, reliable and accessible personnel records. It is therefore imperative that personnel records: should be managed in a manner that ensures they are complete and comprehensive and that they provide a complete history of public servant.

4.8 Strategies to be adopted to address the challenges facing personnel records management in the PO-PSM

This study further sought to find out the strategies adopted to enhance the management of personnel records management in the PO-PSM. Responses to this cluster of questions are presented in table 4.6, page 128.

Top management respondents were first asked this question. All 3 gave responses that included: decongestion of personnel records, scanning to provide back-up of records, and the introduction of HCMIS. The study went on to ask the respondents about the strategies that needed to be taken to further enhance the management of personnel records in the PO-PSM. The question was first posed to top management at PO-PSM. Their responses were: the introduction of policies, standards and guidelines; and designation of strategic and consistent training programme for records management staff at all levels.

As will be seen in Table 4.6 various responses were given by action officers. This was in view of the fact that they were asked three different questions regarding this subject. They were first asked to state the changes that were necessary to ensure better management of
personnel records. In response, 1 of them argued on the need for PO-PSM to strengthen the existing programmes, 13 specifically pointed to the importance of introducing policy and guidelines, improving electronic systems and only 3 among them mentioned the need for training of registry staff in e-records management. In their view, this formed the basis to which the enhancement of personnel records could take place.
Table 4.6: Strategies to be adopted to address the challenges facing personnel records management in the PO-PSM

<table>
<thead>
<tr>
<th>Remarks</th>
<th>Top Mgt (N=3)</th>
<th>Action Officers (N=20)</th>
<th>RAMD Staff (N=15)</th>
<th>Registry Staff (N=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Freq</td>
<td>Freq</td>
<td>Freq</td>
<td>Freq</td>
</tr>
<tr>
<td>Introduction of policies, standards and guidelines;</td>
<td>3</td>
<td>13</td>
<td>14</td>
<td>2</td>
</tr>
<tr>
<td>Designation of strategic and consistent training programme for records management staff</td>
<td>3</td>
<td>20</td>
<td>15</td>
<td>8</td>
</tr>
<tr>
<td>Improving electronic systems and infrastructures</td>
<td>-</td>
<td>10</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Training of registry staff in e-records management</td>
<td>3</td>
<td>3</td>
<td>15</td>
<td></td>
</tr>
<tr>
<td>The use of local professionals in every large project</td>
<td>-</td>
<td>4</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Rearrangement of personnel records after the scanning exercise</td>
<td>-</td>
<td>18</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Change of all registry staff at PO-PSM</td>
<td>-</td>
<td>4</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Introduction of good records centers for personnel records</td>
<td>-</td>
<td>-</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Rearrangement of personnel records after scanning</td>
<td>18</td>
<td>-</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training of local staff in e-records and e-governance</td>
<td></td>
<td>17</td>
<td></td>
<td>12</td>
</tr>
<tr>
<td>Introduction of HCMIS</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Source: Field Data, 2009.

Action officers were also required to raise any other issues in relation to personnel records management in their organizations or government in general. In response 10 mentioned
the improvement of electronic systems, 4 mentioned the use of local professionals in every large project, and 17 among them further mentioned training of local staff in e-records management and e-governance. Thirdly, they were asked to give their opinion as to what should be done to improve the management of personnel records in the PO-PSM. Responding to this 18 mentioned the rearrangement of personnel records after the scanning exercise, training of staff and introduction of electronic systems. Meanwhile, 4 action officers suggested complete change of all registry staff at PO-PSM and improvement of electronic infrastructure at PO-PSM.

Regarding the strategies to enhance the management of personnel records, registry staff were first asked if they had received training in records management and specifically in personnel records management. Responding to the question, all 8 registry staff said they had received training in records management but not specifically in personnel records management. They were particularly disappointed that they were not trained in electronic records management. This they pointed out, was the main shortcoming of the training they got. Registry staff suggested that in order to improve the management of personnel records there was need to mount a major training programme for registry staff, increase the number of registry staff, and extending regular support to records management personnel. 2 registry staff also underlined the importance of putting in place standards and policies for personnel records management and to ensure their compliance and enforcement.

RAMD staff were first required to outline strategies adopted to enhance the management of personnel records in Tanzania public service. To this all 15 respondents mentioned:
decongestion of personnel records, scanning to provide backup and confirming HCMIS data and monitoring and evaluation of records management in MDAs. Other strategies mentioned by 12 respondents were the introduction of HCMIS to capture data for education, history, confirmation, etc. and the proposed introduction of two files – working and master file. They further explained that the strategies introduced had enabled the provision of enough space, provision of backup copies of documents and provided a basis for electronic transactions. In addition, the strategies had resulted in solving peoples complaints, made possible the availability of resources, showed government’s political will towards improving records management, and had inspired public servants to carry out their records management duties effectively and efficiently.

The weaknesses associated with the strategies outlined by RAMD staff were resistance to change especially among some higher and middle-level officers, the widening digital divide, poor computer infrastructure and unreliable power supply. Furthermore, strategies did not fully involve RAMD in MDAs throughout the process, dependence on donors to provide funds which have always not been sustainable, and the fact that strategies did not contain enough dose of training to RMAs and Records Officers and other Action Officers.

Finally in this research question RAMD staff were specifically asked to state what they thought could be done to further improve the management of personnel records in the government. This question was purposively targeted to RAMD staff given the fact that it is their responsibility or mandate to preside over and coordinate records management activities in the country as per Section 6 of the Records and Archives Management Act, No. 3 of 2002. Under the same Act, Section 9, Heads of public offices were responsible
for creating and maintaining adequate documentation of functions and activities of their respective public offices through the establishment of good recordkeeping 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. Regarding this issue, 14 RAMD staff thought that the introduction of RM policies, standards, procedures and guidelines provided a magic solution towards the improvement of personnel records management in the government. Agreeing with other groups of respondents, all 15 RAMD staff also mentioned that training of registry staff for the sake of good personnel records management was a priority.

Furthermore, 4 RAMD staff suggested the introduction of records centers for personnel records, considering that personal files were different from other kinds of records in a number of ways. To them (RAMD staff) the most significant factor was that, personnel records have a very long active or semi-active phase, especially those for permanent and pensionable staff (more than the lifetime of the individual). Yet their enduring value when they reach the end of their semi-archive phase was low and the vast majority of personnel records are destroyed when their business value ends. Their archival/research value was therefore limited, particularly because of the sensitivity of the records and the fact that they must remain confidential (again for longer than the lifetime of the individual). Other challenges were difficulty in assessing the archival value of personnel records, and the fact that nearly all retention schedules for personnel records, recommend destruction at the end of the retention period. The only category of personnel records that may be worth preserving are those of the famous and infamous, but it is very difficult to set rules for
how you select those records. Therefore, good records centers for personnel records should be a requirement for good personnel records management. Other recommendations from 1 respondent were introduction of the proposed master and working files and sensitization of Action Officers on the importance of personnel records in the public service.

All the responses above show some consistency in the way respondents perceived the basic prerequisites towards the enhancement of personnel records management in the PO-PSM and government at large. These can be summarized as the introduction of RM policies, standards, procedures and guidelines and training of records management personnel especially in electronic records management. The inadequacies in these areas were thought to be the cause of the many ailments bedeviling the management of personnel records in the PO-PSM.

4.9 Computerization of Personnel Information in the Public Service

Another objective of this research was to determine the extent to which personnel records in the PO-PSM had been computerized. The questions asked received various responses as indicated in table 4.7, p. 134.

In that respect, as shown in the Table 4.7 Top management were asked if there was a policy on computerization of personnel records in the government and in the individual organization. In response all 3 said there was no policy on computerization of personnel records in the government save for the on-going scanning exercise. They noted that the scanning project intended to provide reliable and accurate information for quick and
efficient decision making and easy access to information related to the management public
service personnel. They added that the programme was also intended to make the
information easier to share among agencies involved in the management of employees’
benefits; create a databank to enable storage and retrieval of employees’ information,
including necessary backup; and create a tool for accurate and reliable check on payroll
integrity, which in turn will lead to better management of the wage bill. They, however,
said the government was deliberating on issuing policy, standards and procedures on the
same.
**Table 4.7: Computerization of Personnel Information in the Public Service**

<table>
<thead>
<tr>
<th>Remarks</th>
<th>Top Mgt (N=3)</th>
<th>Action Officers (N=20)</th>
<th>RAMD Staff (N=15)</th>
<th>Registry Staff (N=8)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Freq</td>
<td>Freq</td>
<td>Freq</td>
<td>Freq</td>
<td>Freq</td>
</tr>
<tr>
<td>No policy on computerization of Personnel records</td>
<td>3</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>No significant improvements in personnel records management in the public service had been achieved as a result of the digitization exercise.</td>
<td>-</td>
<td>-</td>
<td>11</td>
<td>7</td>
</tr>
<tr>
<td>Registry staff were not fully involved in the digitization exercise</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>7</td>
</tr>
<tr>
<td>Computerization was done to some extent</td>
<td>-</td>
<td>18</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Personnel records are managed by trained staff</td>
<td>-</td>
<td>6</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Computerization had been effected in six ministries and one department</td>
<td>-</td>
<td>-</td>
<td>15</td>
<td>-</td>
</tr>
<tr>
<td>There is a need to have new RM infrastructures</td>
<td>-</td>
<td>-</td>
<td>13</td>
<td>-</td>
</tr>
</tbody>
</table>

*Source: Field Data, 2009.*

When action officers were asked about the extent to which personnel information had been computerized in the PO-PSM, 18 said this had been done to some extent. They pointed out that in spite of the scanning; some documents were missing in the files. About 27 categories of core personnel records on personnel files were identified and scanned for every staff, using a document management application, KoVIS, but not all staff had all the
documents required. This again was a reflection of the chaotic state of the paper-based records system to which computerization process depends. Yet 6 of them admitted that personnel records were managed by trained staff, some of whom had certificates and others diplomas in records management.

To the question of whether or not they were aware of any digitization exercise involving personnel records in their organization, 7 registry staff answered in the affirmative. They, however, complained that they were not fully involved in the exercise. They further noted that being the ones who were entrusted with the custody and operations of the registries, it would have been most desirable if they were actively involved in the exercise so as to familiarize themselves with not only the exercise but also the expected outcomes. Again, 7 of them rated the exercise negatively, noting no improvements had been registered. As a result, personnel records were so disorganized, that they had no impact on service delivery in the PO-PSM.

The scanning exercise was managed by RAMD and the Division of Management Information Systems (DMIS) as system administrators. To that end RAMD staff were asked comment on the extent of computerization in the Tanzania public service. All 15 pointed out that computerization had been effected in six ministries namely President’s Office – Public Service Management (PO-PSM), Ministry of Finance, Ministry of Agriculture, Ministry of Education, Ministry of Health and Welfare, Ministry of Infrastructure Development, and one independent department; the Office of Controller and Auditor General. They, however, noted, that there existed many gaps in personnel records as most files were incomplete. Thus, 11 of the respondents noted that no significant
improvements in personnel records management in the public service had been achieved as a result of the digitization exercise. Still many problems exist especially with regard to the data used in MDAs. Moreover, 2 respondents added that most problematic still was the fact that HCMIS software proprietor, an American firm by the name Lawson with local support provided by CAT-NET were not willing to integrate with KoVIS v. 3.5.1 software used by COSEKE, a Tanzania-based IT company specializing in document management, imaging and business process management technologies. COSEKE was contracted by RAMD to scan documents and create the database of scanned personnel records. The aim was to integrate KoVIS and HCMIS but it was yet to be known how that would be achieved.

On this same issue 13 RAMD staff seemed to be aware of the need for the new infrastructure, policies and standards as prerequisites for managing the electronic records that would increasingly from part of government’s information base. This was with the knowledge that MDAs were increasingly moving to an operational environment in which electronic – rather than paper – records will be used to document their activities and business processes. This transformation had resulted in improvements in the way government MDAs work and interact with each other and with the public, but it had also caused the generation of vast and rapidly growing volumes of electronic records. These records need to be properly managed, as they provide documentation and information necessary for essential government functions and for protecting the interest of government, public servants and citizens. The records management reforms undertaken for paper-based records systems were intended to serve as a foundation for computerization in the future. These issues are addressed in a new Records and Archives
Management Law that is now operational and the National Records Management Policy that is now in the draft stage.

4.10 Records Management Operations in the PO-PSM Registry

The researcher went on to observe records management operations in the PO-PSM registries and especially the storage and handling, registry layout, physical condition of registries, control tools, cleanliness, risk management and security measures.

4.10.1 Storage and Handling of Records

It was observed that personnel records were stored in good environmental conditions though rooms were not air-conditioned. Personnel records in use were stored in metal cabinets while closed personnel records were stored in archival boxes which were placed on metal shelves. It was further observed that most closed personnel records especially those of retired officers and those who had died were stored in PO-PSM records centre near RAMD building. Still some of the closed records especially confidential files were stored in the Ministry’s registry. On the whole, the records did not receive maximum care or protection. Cases of records being placed on top of tables in no particular order and on the floor were rampant. In some cases, file cabinets were left open all day long. The open registry had adequate light and ventilation but this was not the case for the confidential registry.

Furthermore, the observation showed that storage and handling of records were somehow appropriately done but they somehow fall short of accepted international standards such as
the ISO 15489-1 – Information and Documentation – Records Management. According to the National Archives of India (NAI) (2006), for instance, the provision of a congenial atmosphere for longevity of records requires that the climate of the storage area show only slow and steady changes in temperature and relative humidity. Regulating temperature and relative humidity is possible only by an air-conditioning plant. However, in spite of these endeavors, failure of power which is endemic in many offices or breakdown of mechanical system results in stoppage of supply of conditioned air to the storage area and creation of pockets of stagnant air as the conditioned air is heavy. An accelerated growth of microorganisms in such an eventuality brings about rapid decay of paper and other organic records components.

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

However, the observation of the storage and handling of records in the PO-PSM registries found numerous inadequacies. These were mainly rooted on technical incapacities of the registries’ staff and lack of management and leadership skills. A well run registry depends
heavily upon the management and leadership skills of the supervisor because of the large number of staff involved and the need for meticulous application of filing rules and procedures to large volumes of documents. The researcher’s observation lacked no supporters. Griffin and Mazikana (2007) noted that huge volumes of paper were overwhelming the registries and that the records themselves were incomplete and fragmented, with records about the same individual scattered throughout the system in both open and confidential registries. That “in nearly all registries, files and boxes 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”. Yet these problems were not unique to Tanzania. A review of civil service registries in Uganda in 1987 stated that “No temperature, humidity or pest control exist, so paper is rotting, metal is rusting and there are layers of insects on or in files (termites have damaged shelving and wasps have nested among files)” (Mordell and Smith, 1987).

4.10.2 Registry Layout

At the PO-PSM the registries were seen to somehow provide for sufficient and efficient management of personnel records and maximum service delivery. However, many archival boxes of closed subject files were seen accumulated inside the registries which always caused chaos. Both registries (i.e. Open and Confidential) were located about 100 meters from the main office building. This caused some difficulties to registries’ staff in provision of quality services especially in the manual system used.
NAI (2006) observed that while consideration of the location and design of the records room, the nature of the holdings, their bulk, working and functional requirements, security aspects, and the rate of annual accession of records are very important factors that have a bearing on the selection of a specific room for storage of records, the ISO 15489-1 (2001) instructs that the selection of storage options should take into account access and security requirements and limitations in addition to physical storage conditions. Records that are critical for business continuity may require additional methods of protection and duplication to ensure accessibility in the event of a disaster. To ensure that records are adequately stored and protected the facility need to be assessed against the location which should be easily accessed and should not be areas of known external risks, and the building structure should provide the suitable range and stability of temperature and humidity levels, fire protection, protection against water damage and protection from contaminants.

Thus physical security of the records is primarily dependent on the storage environments, the manner of their storage and the care deployed in their handling and upkeep. The various factors that need consideration from this aspect are the location and the design of the storage room, the equipments available for, and the manner of the storage; storage environment, facilities of handling and servicing the materials; and the steps adopted to safeguard them against fire hazards, floods etc.
4.10.3 Physical Condition of the Registry

The situation at PO-PSM registries’ was found to be to fit for the purpose of storing paper personnel records. But there were leakages of water from air-conditioning machines which found its way into the registry.

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

4.10.4 Cleanliness

The registries at the PO-PSM were not quite clean. Food remains and drinks were seen on tables as eating inside the registry was a common practice for registries’ staff, a situation which provided a favourable environment for pests. Accumulation of dust was clearly evident especially in closed records areas in the records center. Regular dusting was not a norm particularly in the records center – cobwebs on walls and ceilings were seen.

4.10.5 Control Tools

Almost all control tools were available at PO-PSM registries and were correctly used. However, there were some incidences where a file can be taken to action officer without being registered simply because a file is shortly needed and can be returned immediately.
4.10.6 Risk Management and Security Measures

It was observed that the registries’ doors were half cut but not that of the records center. Each registry room had one fire extinguisher, however, they were not charged and all showed 1 year past the date set for maintenance. PO-PSM staff were not trained or given initial instructions to operate them.

4.11 Records Management Model suitable for managing Personnel Records in PO-PSM

The rationale behind this objective was to propose a model from existing records management models which would be used in managing personnel records in the PO-PSM and the public service as a whole.

The model being proposed in this study is an *Integrated Records Management Model for the Tanzania Public Service* (see Figure 4.2: page 149) adopted from Nengomasha (2009) *Integrated Records Management Model for the Public Service of Namibia* (see figure 4.1: page 144) and modified to suit the situation in Tanzania Public service as per findings of this study. It takes into account the fact that, Tanzania’s public service, like many other African countries, operates a hybrid system of paper and electronic media. This model for records management programme proposed by Nengomasha (2009) for Namibia public service is adopted from the World Bank (2000). The various components of the model have drawn heavily on established records management thinking and best practices as gathered from ISO (2001) and Public Records Office [UK] (1999). One study has however recommended a model based on the South African context (Sejane, in
Nengomasha, 2009). According to Nengomasha (2009) the model recommended by Sejane also fails to take into account hybrid systems and the fact that electronic records in most African countries are being created in an environment where the status of records management is very poor. This means that the model for managing electronic records effectively requires an overhaul of the entire records management systems or restructuring of existing systems (The World Bank, 2005).

The model proposed by Nengomasha (2009) thus incorporates both traditional and electronic media. The model also strives to adhere to best practices by adopting best available methods, procedures, tools and processes that others have used to address the problems facing records management in their public service. This was seen to be in line with the findings of this study and was therefore favored to be adopted and modified for the management of Personnel records in the Tanzania public service.
Figure 4.1. Integrated Records Management Programme for Public Service of Namibia

Source: Nengomasha 2009

Therefore, the model proposed by this study departs from all other models and adopts the Nengomasha (2009) model and proceeds to determine resource needs including staff, computers, finance and equipment. Also, as will be noted, the model adopted by the
researcher incorporates additional components which are lacking in Nengomasha’s proposed model such as space, supplies as well as destruction of valueless records.

The model recognizes the role of various key stakeholders in the management of records and archives in Tanzania public service as stipulated in the Records and Archives Management Act, No. 3 of 2002. These include the Minister responsible for records and archives management, the Records and Archives Board, the Director of RAMD, Heads of Public Offices and Heads of Sections in RAMD. It is expected that this proposed model with its various components as illustrated in the Figure 4.2 below, will assist in strengthening records management and in particular personnel records management in the Tanzania public service. It will also help to address challenges facing personnel records management.

The model explains the various stages that the public service would have to undergo in order to strengthen records management given that the country is moving towards embracing e-government. The first stage is determining the resource requirements. These resources are those related to finance, personnel, equipment, accommodation, and also technology. The need to consider technology requirements is due to the fact that the study findings from PO-PSM showed that MDAs were increasingly moving to adopt e-records management. As a result, electronic records are increasingly being created in a decentralized environment and in volumes that make it difficult to organize and make them accessible. These records need to be properly managed, as they provide documentation and information that are necessary for essential government functions and for protecting the interests of government employees and citizens. A small percentage of
these records will have value that demand long term preservation in an archival institution. Therefore, technology can assist in achieving this goal. The second stage is the review of legal and regulatory framework. These consist of Records and Archives Management Act, 2002; and FOI (Bill) of 2007. In the case of Tanzania, the proposed model would also include the Intelligence and Security Services Act, 1996; The National Security Act, 1970; The Prevention of Corruption and Combating Act, 2007; and Records Management Policy, ICT policy and other related policies.

The third stage is the development and maintenance of records management standards, guidelines, regulations and procedures. This would normally start with an analysis of business processes, establishment of quality control procedures, review of the archival code and development of classification schemes and retention schedules. As suggested by North South Wales, State Records (NSWSR) (2003) a review of existing systems would also include those systems which are required to keep evidence of government operations in electronic format as records. These include spreadsheets on action officers’ hard drives, systems dedicated to particular activities such as human resources (in the case of PO-PSM, the HCMIS) or financial management, databases accessible via the Internet.

The fourth stage concerns the development and maintenance of records centers. This proposed model takes into account the fact that personnel records go through a very long active or semi-active phase, especially those for permanent and pensionable staff (more than the lifetime of the individual) but their enduring value when they reach the end of their semi-archive phase is low and the vast majority of personnel records will be destroyed when their business value ends. Also, as earlier noted in the findings of this
study, their archival/research value is limited, and the sensitivity of the records means that they must remain confidential (again for longer than the lifetime of the individual). Therefore, the most practical step to take is to decongest the office environment by establishing in-house records centres and transferring the records to these records centers where their security is guaranteed. The firth stage is appraisal of the records in records centers, following which valuable records are transferred to the archives and valueless ones are disposed of.

The sixth stage involves implementation of an electronic records management system. The system may be an ERMS or EDRMS. The final stage is the sustainance of the records management systems. Its various components include staff training, monitoring and evaluation of the records management systems, and performing systematic inspections of MDAs records programs. This stage of the proposed model recognizes the fact that overall responsibility for the management of government records in Tanzania lies with the Records and Archives Management Division (RAMD).

The current study identified another possible cause of MDAs records management problems, which should be addressed by the proposed model, i.e. limited nature of RAMD’s inspection programme, and the fact that RAMD was also not performing systematic inspections of MDAs records programs, systems, practices and procedures as per Section 6 (3) of the Records and Archival Management Act, No. 3 of 2002. Under this Act, RAMD is responsible for conducting inspections and survey of MDA records and records management programmes and practices. Its implementation requires RAMD to inspect MDAs (1) on the basis of perceived need by RAMD (2) by specific request by the
MDA, or (3) on the basis of a compliance monitoring cycle developed by RAMD. In all instances, RAMD is to determine the scope of the inspection. This model confined itself to the reality that such inspections are important as a means to evaluate individual MDA records management programs; assess government-wide progress in improving records management, and identify MDA specific challenges that required further guidance and strengthening.
Figure 4.2: Integrated Records Management Model for the Tanzania Public Service

Source: Adopted and Modified from Nengomasha (2009)
The above adopted model is preferred for the Tanzania public service because it focuses on restructuring of the existing records management systems, which are faced with a number of challenges as highlighted by this study.

This proposed model recognizes the fact that the quality of records management programme is directly related to the quality of staff that operate it. Also, without skilled and experienced personnel all efforts will be wasted. Skilled records managers should be brought into the PO-PSM, to work with the various parties in reviewing legislations, drawing up policies, and developing and analyzing procedures and standards, as well as conducting training. Without the capacities to execute them, all other stages of the programme may not be adequately executed.

To ensure the attainment of all the above PO-PSM should ensure that there is adequate budget. Records management must have a budget of its own. The budget will contribute towards purchase of various resources including equipments, supplies and even capacity building including training.

National archives should put in place measures to ensure that records worthy of permanent preservation are not endangered. This includes strategies for timely acquisition and receipt of such records into the National Archives custody. This is in line with the findings of the study which noted that there was no clear retention schedule for all types of records. This meant that records were not taken into the RAMD custody on time.

With the culture of managing records reviewed, PO-PSM should strive to create a strong awareness of records management among all members of the staff; it should foster strong
collaboration among all parties through the advisory services of records managers; provision of enhanced skills and competencies; and an adequate legal and regulatory framework; policies; standards and procedures, including classification schemes and retention schedules. It must conduct an analysis of the current electronic information systems in the public service as a basis for implementing interoperability. Promotion of records management to the public service should be done through an induction programme for new employees. Also to address the low priority given to records management programmes across the public service, this model provides for RAMD to develop a documented strategy for raising records management awareness of and commitment to records management principles, functions and programme. Therefore, this model, if properly adhered to will improve records management in the PO-PSM and the government as a whole.

4.12 Discussion of the Findings

This section discusses the findings generated by the study. In doing so the study draws from different studies done from within and without the country. These were used to support or refute the study’s findings as far as they were concerned with the subject matter at hand. Due to the dearth of literature on personnel records management, the study mainly made use of research reports and other scholarly papers which had covered the area of personnel records management, whether as consultancy reports, research studies of conferences and seminar papers.
The study found personnel records to be an important source of information for human resource functions as they were manifest of records of functions and decisions as per regulations issued by the Public Service Commission (PSC). They were specifically used to document the employees’ work history which was so critical for human resource functions. From the responses given by the sample population the study ascertained the relevance of Adkins (1988) findings that “a major constraint to the rapid improvement in efficiency and productivity created through IT initiatives in the public sector was the inadequacies of information systems. Serious flaws in the system are present in many less developed nations: these include the general ignorance on the location and scope of accessible information, the inability of the feeder to furnish timely primary data, operating constraints in processing data and the uneven coverage of published tables”.

The state of personnel records management has been said to be improving as a result of the records management improvement programme initiated in 1997. This finding conforms to similar findings by Cain and Thurston (1997) who upon studying personnel records in Ghana and Uganda found that improvement projects had renovated selected registries. Similar to Tanzania both countries’ registry systems had largely collapsed making it hard to carry out a digitization process. This confirms the study’s earlier observation that automation personnel system must ultimately rely heavily on the personnel records stored in the registries as the only authentic, reliable and legally valid source of most data required for the systems. Personnel systems must be complete if they are to be of use for making decisions about individuals. The degree of their reliability as a data source for statistical analysis of employment pattern for the public servants as a whole also depends upon their completeness. In other words this means having access to
information going thirty years or more, which is the typical length of service of a career civil servant. Where paper records are incomplete or fragmented, it is very difficult to populate the database for the new system.

Strategies which have been adopted to improve the management of personnel records include decongestion of personnel records in registries, digitization, and introduction of HCMIS. No policy existed, however, to cater for the management of personnel records. Thus experience rather than laid down procedures were used to manage personnel records. No clear understanding as to which document should be kept in the open file or confidential file. As Hoyle and Sebina (2007) noted in reference to Zambia decisions were required regarding what documentation needed to be held on which file and how many files were actually required for each public servant. They noted that filing tended to be very slow, and some records were not filed at all on ministry files. On analyzing the files it was indicated that many of the records in confidential files were the same as those in open files. Thus there was need to consider whether confidential files were required, particularly given the growing practice of openness in public sector management. Confidential files had fragmented information on public servants, occupied valuable storage space and resulted in extra expenditure on materials and staff.

This contrasted sharply with the situation in Lesotho as observed by Hoyle and Wamukoya (2006). Their personnel registries were found to be well organized as files were housed in compactus units or filing cabinets. Information was relatively secure and files were located easily by responsible personnel. Inactive files were held separately from active and semi-active files although all categories were located in the same room. There
was a compactus unit, and despite space constraints, the registry was well organized and efficiently managed. Files were neatly arranged, making it easy to locate and retrieve relevant records.

The study recognizes the nonexistence of a policy on digitization of personnel records; nonetheless, personnel records in seven MDAs had already been digitized. Yet, there was no policy that governed the management and use of personnel records. Strategies which have been adopted to enhance the management of personnel records in the public service consisted, as it was outlined earlier on, decongestion of personnel records, digitization and introduction of HCMIS and the proposed introduction of two files – master and working file.

Weaknesses associated with the strategies included: unwillingness on the part of the people to change their mind-set particularly among some higher and middle level officers, the widening digital divide, poor electronic infrastructure and unreliable power supply. These strategies in addition did not fully involve RMAs in MDAs throughout the process, dependence on unsustainable donor funds and non-provision of an adequate dose of training for RMAs and Records Officers.

The problem of some senior and mid-level officials being averse to change their mind-set with regard to personnel records as reflected in the distinct lack of enthusiasm was also observed by Wamukoya (1988). He found that registries were not highly regarded in government departments, collaborating Millar’s view (2004) who noted there was a general lack of recognition of the importance of records as evidence. Millar also made the
point that senior officials often tend to fail to recognize the need for, or value of, effective records programmes. The need for senior management officials to support records management activities was emphasized by Makhura and Dé Toit (2005) who emphasized the need for senior management to support the concept of a well-run records management programme and rigorously enforce a records management culture, thereby ensuring that all employees were familiar with agreed procedures for all types of records.

The problem of poor electronic infrastructure and lack of training for RMAs and other officers have also been found in other studies. Cain and Thurston (1997) noted that managers of IT projects in the civil service Sub-Saharan Africa were drawn from a generation that has had little direct experience of using computers. Until recently, the most common use of computers in these countries was the use of mainframes to run public service payroll. Only in the last few years have personal computers came into common usage in African civil service, often as a by-product of donor assisted projects.

Senior managers have had little “hands on” contact with computerization. Many are aware of the computer revolution and have seen the outcome of successful projects in industrialized countries. However, they do not have understanding of the limitations of computers, nor are they conversant with the numerous pitfalls that can bedevil the automation process (Cain and Thurston, 1997). Yet this situation is not confined to developing countries. Korac-Boisvert and Kouzman (1995) have pointed out that “delays, sky-rocketing costs, poor documentation and estimates were common in IT development”. However, IT managers in developing countries were further disadvantaged because their
little exposure to IT projects as well as the dearth of in-house expertise in modern information systems.

According to Cain and Thurston (1997), middle level managers with little experience of information technology and little or no experience in managing projects on IT, went ahead enthusiastically to implement IT projects until they hit problems they were untrained to confront. Some tried to pass on responsibility to more junior, technically literate staff. In the event of the project going wrong, the junior staff members became scapegoats. There is thus the need for both senior and middle level (managers) officials who are not IT specialists to be educated on the constraints and issues of Information Technology projects. Middle level managers would also need training on project management. The objective of this training should be to produce non-specialist officials. They simply need an understanding of the uses to which computers can be put and also sufficient technical knowledge to collaborate with fully qualified IT technical project managers.

Cain and Thurston (1997) further noted that a reliable electricity supply is an obvious prerequisite for any computerized system. Problems with electric power have seriously affected the personnel information system automation exercise in many countries. It has been suggested that power supply difficulties can be improved through the use of generators and uninterruptible power supply which incidentally tend to increase cost of automation. The problem of power supply in Tanzania during the digitization exercise was also evidenced by Griffin and Mazikana (2007) who said power cuts resulted in staff stopping work during the scanning programme.
The study findings from the RAMD staff showed that there was no specific and well elaborated policy either for records management or personnel records management in the government. With regard to this situation the study by Griffin and Mazikana (2007) observed that RAMD was developing a RM policy without any direct involvement in government discussions about new proposed access to information legislation; commerce; and cyber crime laws. The development of information related policies and legislation needed to be better coordinated and RAMD needed to be involved. They added that no policies or mechanisms were in place to ensure the personnel records database was updated, for example, when an employee was transferred or promoted or left the public service. In the longer term, therefore, RAMD needed to develop standards and guidelines for large-scale scanning projects to ensure that they were based on a sound business case, accessibility and preservation of the digital records created.

Non-existence of a policy on records management was also reported by Nengomasha (2009) in relation to the Namibian public service. Apart from legal and regulatory environment for the effective management of records the study found an overall records management policy for the public service to be still at the draft stage. None of the institutions studied had a records management policy. Barata et al (2001) further observed in reference to Namibia that there was no active government-wide records management programme which would normally be coordinated through the National Archives.

In Tanzania, the study findings showed that various challenges were experienced in the management of personnel records. These ranged from lack of a clear personnel records management policy, standards, guidelines and procedures to guide both paper and
electronic records, to lack of training and core competencies in the area of records management especially e-records management, inadequate budgetary allocation and misappropriation of records management funds, congestion of personnel records in registries, lack of enough space, low priority given to records management functions, poor security and confidentiality control. These challenges were similarly noted by Griffin and Mazikana (2007). They emphasized the need for new regulations and guidelines on human resource management to make specific reference to records management requirements. They posited that 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 resources management processes and how these records should be managed. In their view 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 process. This would inform procedures for managing personnel records.

The draft Standards and Guidelines for Managing Personnel Records (2007) have provided a framework but did not specify detailed procedures in this changing environment. This is important because procedures may need to vary or change across the public service to allow for small differences in local practices. The standards and guidelines were supposed to set out minimum requirements for records management that would ensure that paper and electronic personnel records were managed according to the best practices.
The same study (by Griffin and Mazikana, 2007) noted the concern expressed by senior managers and the Comptroller and Auditor General (CAG) about the current grading and capacity of registry staff. They found that 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. They added that with few exceptions, registries were in poor physical condition manifested through lack of storage equipments, poorly maintained storage equipments, overcrowding, lack of space for staff and poor working conditions. They proposed a review of the records cadres in the public service with a view of helping to provide a basis for improving staffing capacities, level of training, educational qualifications, pay and other remuneration and career opportunities. The fact of the matter is, they argued, without fundamental changes in all these areas, it was unlikely that improvements could be realized with regard to the provision of efficient and effective records and information management services. In particular 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. One among their key findings was that MDAs were often unaware of the changes that were likely to impact on them. Yet as key stakeholders their views needed to be included in the change processes. They identified skepticism existing 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.
According to RAMD staff, in addition to the afore-mentioned challenges there was another cause of records management difficulties: the low priority generally afforded to records management programme. In this respect, they argued that records management is not even “on the radar scope” of MDAs leaders, and is generally considered a “supporting” activity. Since support functions are typically the most dispensable in agencies, resources for and focus on these activities is often limited. They also mentioned a problem of collapsed paper-based system. This, they said, was responsible for the loss of many records in the Ministry. In that respect the study found that a paper-based records management system still has an important role to play in the public service and will remain so for a long time to come. The importance of paper based records management system was underscored by Cain and Thurston (1997) who said that the data for the computerized personnel information system tend to be drawn from several sources, including paper-based personnel files held in registries. The paper-based records management system needed to capture information about staff numbers from the point they joined the public service until the present day. As a large proportion of the staff will have joined the civil service many years before the introduction of a computerized personnel information system, the only original source of data was the paper records.

Thus automated personnel records management systems must ultimately rely heavily on the personnel records stored in the registries as the only authentic, legally valid and reliable source of personnel data. Any personnel system must be complete if is to be of use for making decisions about individuals. The degree of their reliability as a data source for statistical analysis of employment patterns for the civil service as a whole also depends
upon their completeness. Where the paper records are incomplete or fragmented it is very difficult to populate the database with meaningful data.

The study findings also justify the data presented by Griffin and Mazikana (2007) to the effect that the Government of Tanzania still depends on paper records and paper filing systems, managed by central registries, to support much of its day to day business. In MDAs, correspondences, memoranda, policy documents, meeting papers, internal reports and other documents generated and received by desk officers in the course of their public service duties were still placed on the traditional registry files. This means that paper personnel files could not yet be abandoned as data, and unless they were managed more systematically, they would always be incomplete and unreliable. 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. There have been reports of lack of consistency in filing documents on open and confidential files, the small quantity of documents found on confidential files, and the lack of standards in numbering personnel files.

Studies have shown that it is not uncommon that despite the importance of personnel files as a source of personnel data some countries have rejected its popularity as a source of data. In Ghana, for instance, personnel files were very quickly rejected as a source and in Uganda it took several years before it was accepted that they were the only reliable source of much of the data needed for the new system. Several reasons have been advanced for this situation (Cain and Thurston, 1997):
• Shortcomings in the manual system, that is, mainly registries, are cited as a justification for creating the automated system and there is little confidence that the manual system will populate the required data.

• The timetable for delivering the database projects are too tight for a records management based approach to be realistic and in any case the resources required to restructure the paper records are not available.

• The personnel records files at the headquarters are often incomplete and tend to be restricted to personnel recruited as established staff.

• Records tend not to be available for non-established staff or established staff initial recruited in non-established posts.

• Personnel records/files held in the line ministries may be more complete than those in the headquarters, but they are located in different buildings from the computer where data entry is being carried out.

• Other data sources – such as nominal rolls compiled by each ministry, dumps of data from existing payroll database, or staff survey questionnaires forms – appear at first to be more suitable and more convenient for data entry.

Again it is important to note that this is a departure from the findings of both this study and those of Griffin and Mazikana (2007) with regard to Tanzania.
The study found personnel records as a basis upon which all decisions about employees were taken. They were also instrumental in the service delivery function. Personnel records are supposed to act as a catalyst towards better and faster decision making, as well as service delivery. They also played a big role in reducing complaints from customers and improved civil servants’ benefits in terms of their rights and entitlements. Effective management of personnel records is aimed at enabling the public service to manage its employees more efficiently and equitably, encourage informed and consistent decision-making, supports transparency and accountability, and facilitates monitoring and evaluation of performance. The findings show that personnel records are used in decision-making concerning a variety of issues.

However, the study by Griffin and Mazikana (2007) cited an evaluation of recordkeeping in the public service as part of a series of Monitoring and Evaluation studies. This consisted of a sample of 19 MDAs which were 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, however, was not an impact assessment and thus did not evaluate the extent to which decision making had improved as a result of the records management improvement projects.

An IRMT (2009) study highlighted the importance of personnel records in decision-making and service delivery. The study noted that the effective management of personnel records enabled organizations to manage their employees effectively and equitably, encouraged informed and equitable decision-making, encouraged informed and consistent
decision-making, supported transparency and accountability, and facilitated the monitoring and evaluation of staff performance. Personnel records provide a basis for planning, decision-making, conducting business in every area of human resources management, whether in relation to individual employees, to group or category of employees or to the entire workforce. The information contained in personnel records is used to make wide ranging of decisions, for example about promotions, transfers, termination or disciplinary actions.

According to Hoyle and Wamukoya (2006, p. 3, par. 15) effective management of human resource functions and accurate management of human resource information as a basis for making informed decision were key reform issues in Lesotho. In Zambia the Public Service Management Division (PSMD) in its Strategic Plan 2006-2010 noted that records management systems in the division were ineffective and that this had led to loss and misplacement of records, resulting in delays in the processing of cases and decision-making (Hoyle and Sebina, 2007). They noted that in the past there had been no relationship between establishment and payroll. In addition, there was a lack of accurate, comprehensive and consolidated management information to support sound decision-making. PSMD staff however noted that the strategic plan recognized the need to improve records management in order to facilitate timely decision making in the public service. This could lead to a strategic policy for managing both paper and electronic records.

In view of challenges facing personnel records management in the PO-PSM, strategies should be adopted to enhance the management of personnel records. The strategies proposed by the respondents were; introduction of policy, standards, procedures and
guidelines, and design of a strategic and consistent training programme. Others were improving electronic infrastructure and systems, and training of records management staff in e-records management. Other respondents suggested decongestion exercise to be mounted to ease storage problems, increase the number of competent registry staff and extending regular guidance and support to records management personnel. RAMD staff went further and proposed the introduction of records centers for personnel records, introduction of master and working files, provision of initial records management training to new employees and sensitization of action officers about the importance of records in the public service.

These findings capture some of the recommendations given by Kemoni (2007). These were introduction of computerization in registry management, and the need for Accounting Officers to facilitate the training of registry personnel to provide them with the relevant knowledge, skills, principles and concepts, methodologies and attitudes, which are vital in managing records throughout their continuum for improved public service delivery. IRMT (2009) has singled out computerization of the human resource function, decongestion of personnel records and digitization of paper records. For computerization process to be firmly established there must be a comprehensive infrastructure of policies, standards and work practices for recordkeeping; staff who have been trained to manage paper and electronic records as an integrated whole; and the reliable source of personnel information for data entry into an electronic system. Decongestion involves the identification and physical removal from the records office those paper files that have not been used for some time thus creating more space for the current records that remain in the records office. As for decongestion, this is intended to
improve personnel information management by creating digital copies of key documents using scanning technology (IRMT, 2009).

Griffin and Akotia (2008) in a Ghana case study found recordkeeping to be a problem throughout the civil service. In that regard, the Head of Civil Service would have liked to see more senior staff put in charge of records offices and also improvements in working conditions and management support for records staff. According to him, this would enhance records staff self-worth and encourage them to provide a better service. However, poor recordkeeping was as much a function of inconsistent, non-standard or non-compliant work practices as it was about inadequate records staff. To that end, civil servants would need to learn new practices if they were to create and use records at their desktops. Equally, as government made the transition to electronic business processes, so the capacity of records managers needed to be developed. Still, records offices lacked the right caliber of staff, and few people within the Civil Service valued recordkeeping. Civil servants were no longer taught the basics in relation to managing the paper records that they create and use. They found that in the office of the Head of the Civil Service itself, the personnel records office had deteriorated to the point where it no longer served as a central record of Civil Servants (Griffin and Akotia, 2008).

In Tanzania case study, Griffin and Mazikana (2007) reported a records management improvement programme focusing on subject files which was undertaken in 24 ministries between 1997-2003. The programme aimed at decongesting and restructuring central registries, introducing improved guidance and procedures and training registry staff. They also identified an encouraging future development in the construction of a National
Records Center whose absence was choking the records management system and was in
danger of reversing the gain previously made. At the same time RAMD produced a
Registry Procedures Manual which describes in detail the procedures and forms to be used
when dealing with incoming correspondences, filing papers, creating a new file, recording
the existence of a new file, controlling file movements, handling files returned to the
registry, handling outgoing mails, storing files, handling closed files and maintaining the
system.

The study by Griffin and Mazikana (2007, pp. 27-28, par. 116) further outlined a number
of strategies identified by the McDonald Report which were built upon the success of the
Records Management Improvement Project. In the report it was 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 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.

- Develop functional requirements for recordkeeping in highly structured business
  processes that can be incorporated in the overall functional requirements for the
  system used to automate the processes.
The studies cited above vindicate the study findings that introduction of policies, standards, procedures and guidelines along with training programme particularly in e-records management should be important components of any personnel records management improvement endeavor.

On the extent to which personnel information in the public service has been computerized the findings showed that to a certain extent computerization process has taken place but not all personnel records have so far been computerized. The findings showed that there was no particular policy on computerization of personnel information. It was envisaged that this issue was still under consideration. The scanning project helped the process of computerization but some documents which were to be scanned were nowhere to be found. The missing documents demonstrated that paper-based system needed to be completely overhauled before embarking on any computerization programme. The success of computerization depends on the reliability, authenticity and accuracy of the paper-based system.

The study also found that digitization had taken place in a number of MDAs which however has been rated negatively by the registries staff as no improvements have readily been noticed. Digitization had been effected in some MDAs despite gaps in individual employees’ records. The findings showed that progress in computerization was being held back by the HCMIS proprietor who is unwilling to integrate with KoVIS software which was used to scan personnel records. The study identified the need among respondents for the new infrastructure, policies and standards to manage the electronic records which will in future form part of the government information base.
The Tanzania case is similar to that of Namibia where the policies needed for comprehensive and long-term management of information creation are largely non-existent and that concepts and procedures to delimit and control the creation of information are needed at all levels of government in all jurisdictions (Riley, 2003). The findings also shows that even though established paper-based systems were in a state of collapse, electronic information systems are being introduced in some areas of public service, albeit with no proper arrangements for an environment in which electronic records being generated by these systems would be managed. The environment in which electronic records are being created in the public service of Namibia is not e-records ready; therefore any strategies for improving electronic records management in such an environment cannot be done in isolation of the paper records.

Although Tanzania has a National ICT Policy which is to be implemented by the Department of Management Information Systems (DMIS) within the Ministry of Infrastructure Development, the study by Griffin and Mazikana (2007) revealed that senior officers in some MDAs were not yet aware of the policy. The broad objective 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 ICTs, and to accommodate the convergence of information, communication and technology. While the public service section of the ICT policy recognized 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 the ICT systems in government. The study further noted that there remained the 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 of national standards.

With reference to Tanzania an independent consultant report recommended that the government should develop standards and practices for the management of electronic records and integrate these into the existing paper based records. These standards and practices should be directed to those using personal computers to manage e-mails and electronic documents. Subsequent guidance should be directed to the management of e-mails and electronic documents in a client server environment and, overtime, in an environment where the entire organization is connected and the need for a corporate approach to electronic document management is paramount.

Griffin and Mazikana were of the view that the challenge for RAMD was to ensure that as e-government becomes 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 these best practices. RAMD needed to develop its capacity in electronic records management. It was observed that most of the training in electronic records management received by the RAMD senior staff took place during their professional studies. Few if any had knowledge and direct experience of managing electronic records. It was noted that RAMD staff had not been directly involved in the design and development of the ICT policy 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. In fact this was not surprising given that RAMD was always associated with paper records and not seen as having a role or particular knowledge in relation to electronic information.

In conclusion, the study findings established that government was keen on introducing a computerized human resource management system to provide easy access to information needed to support personnel management functions such as promotion, postings, training and retirement and to identify payments to non-existent workers. Yet, as the study findings further showed this required reliable, accurate and complete paper-based documents which were not available at present. Although it cannot be stated categorically that the findings of this study generalize the whole Tanzanian government machinery, they nevertheless present the bird’s eye view of the current situation in most of the MDAs. As it has been discussed, the findings draw support from many other studies done in the public service systems in Africa.

4.13. Conclusion

This chapter presented the major findings of the study in relation to the aim and objectives. Also it presented data obtained through observation of records management activities in the PO-PSM registry and discussed the model recommended by this study to be adopted in the management of personnel records in the public service Tanzania. Lastly, the chapter broadly discussed the findings generated by the study.
CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This chapter presents the summary of findings, conclusion and recommendations arising out of this study. The chapter starts by summarizing the findings which are presented to reflect the research questions posed earlier in this study.

5.2 Summary of the Findings

5.2.1 How Personnel Records are managed in PO-PSM.

The research findings showed that personnel records were not effectively managed at PO-PSM despite various improvement initiatives undertaken. The records were those concerned with the actions and decisions as per the regulations issued by the Public Service Commission (PSC). The PSC is charged with the administration of the Public Service Act as well as other related regulations, orders and legislations. Personnel records document the employees’ work history and other employment details which are critical for human resources functions. The findings revealed that the state of personnel records had been improving as a result of the Records Management improvement Project that was undertaken from 1997.

Personnel records are considered very important in matters concerned with human resource and payroll management. Human resource functions such as recruitment,
transfer, promotion, leave, secondment and retirement all depends on personnel records. However, the government embarked on an exercise to digitize personnel records in 2005-2006. In the course of this exercise, files were dismantled, which ultimately made it difficult to use the records for personnel management functions.

Personnel records held in the registry were both open and confidential. These were created during the recruitment process when both files were opened. Documents contained in an individual’s application package are filed in the open file while other documents such as letter of first appointment are filed in the confidential file. Personnel records are maintained according to seniority such that files of senior officials are kept separately from those of other staff. Personnel records are classified using Personnel File Numbers which are arranged in numerical/serial number order. Details on the files are regularly updated especially in case of occasion of leave, promotions and transfers. Registries were found to have enough space and equipments for the sake of carrying out tasks related to records management.

However, the general management of personnel records in the public service was found to be unsatisfactory to some respondents, especially the RAMD staff, due to a myriad of problems such as missing files, missing documents, misfiling, poor storage and lack of adequate budgetary allocation for the functions of records management. This unsatisfactory situation has resulted in poor service delivery in the public service.
5.2.2 Policies, Systems, Standards and Procedures to regulate the management of personnel records in the PO-PSM.

The findings showed that various strategies were used to enhance the management of personnel records. These included digitization of personnel records, decongestion, and introduction of HCMIS. However, no policy existed for managing personnel records. This had a negative impact on the management of personnel records, and records management in general. In the absence of policy, staff relied on their experience to manage personnel records. Another consequence was that Registry staff were found to have poor understanding as to which documents were supposed to be kept in open files and those to be kept in confidential files. Worse still, computerization of personnel records was not guided by any policy although a number of MDAs had already computerized their personnel records.

Personnel records were requested for and delivered by sending a request to the registry and signing a delivery book. There was no an overall policy that governs the management of personnel records. Upon retrieval of the file, the file registered in the outgoing register and sent to where it was requested.

Staff of the RAMD outlined the strategies adopted to enhance the management of personnel records in the public service to include: decongestion, digitization to provide back-up records, confirming of HCMIS data, and monitoring and evaluation of records in MDAs. Other strategies included: introduction of HCMIS to capture data relating to education and family history, as well as introduction of two files namely, Master file and working file. These strategies have facilitated resolution of complaints by staff and have
made availability of resources possible. Besides, these measures have confirmed the government’s political will towards the improvement of records management as a vehicle towards the enhancement of service delivery in the public service.

Yet, in spite of these measures, the study noted some weaknesses with these strategies. They included resistance to change, widening digital divide, poor computer infrastructure and unreliable power supply. Other weaknesses noted were: the strategies did not fully involve RAMs in MDAs throughout the process, dependence on donors to provide funds, and inadequate training for RMAs, Records Officers, and Action Officers.

The study showed that because of the absence of a policy on personnel records management, personnel records in MDAs were managed haphazardly resulting in the current chaotic situation in most of the registries. Many records were managed in manual systems based on procedures and standards developed by individual MDAs. Above all, there was still no understanding as to which office is supposed to keep the Master file between the PO-PSM and the employing MDA. The study noted there were no government-wide standards for personnel records management and what exists was only Registry Procedure Manual which was used for the purpose of managing records.

5.2.3 Challenges experienced in the management of personnel records

The study revealed various challenges associated with the management of personnel records at the PO-PSM. These included lack of a clear personnel records management policy, systems, standards, guidelines and procedures; inadequate budgetary allocation; inadequate number of qualified staff; lack of training programme for registry staff;
congestion of personnel records in the ministry; and lack of knowledge among registry staff. Others were lack of adequate space; poor organization of personnel records following the digitization process; and complaints from service users as a result of poor cooperation between top management and lower cadre staff.

Registry staff were of the view that the ministry should introduce standards, procedures and guidelines in addition to sensitizing senior officials about the importance of records in the organization’s operations. The ministry should also initiate a training programme for its staff, employ competent and well qualified staff and empower and increase RAMD capacity in order to provide records management support regardless of the format in which records occur. These challenges were found to have greatly undermined the provision of quality services to the public especially taking into account issues of time, accuracy and authenticity.

The study further established that the above-mentioned challenges had been noted by the relevant authorities and that senior officials were fully aware of the problems facing records management in the organization. Measures had been taken to address some of the challenges including establishment of a ministerial records centre that was used to house closed personnel records. Other measures undertaken included decongestion of personnel records, and the introduction of the post of Records Officer (RAMD Liaison Officer) in the registry as a full time supervisor of registry operation on behalf of RAMD. The challenges faced were blamed on the collapsed paper-based system which was found to be the cause of the loss of many records especially during transfer and retirement of staff.
The study, however, found the paper based records management system of great significance in the introduction of a fully-fledged electronic records management system.

5.2.4 The Extent of use of Personnel Records in decision making and service deliver

Personnel records were found to be very important in public service. They are the basis upon which all decisions about employees are taken. To that end personnel records must always be available when required particularly for those staff still in service. The information contained in personnel records was found to be supportive of the management, deployment, supervision and development of government employees. Many of the respondents were of the view that personnel records ought to lead to better and faster decision-making, reduce complaints from customers, and safeguard civil servants benefits, rights and entitlements. They noted that records were needed to support government operations, provide reliable information about decisions and actions of civil servants, and demonstrate that public servants have acted appropriately.

It was established that government’s key objective was the improvement of accountability and human resources management in the public service as well as enhancement of skills and capabilities of government employees. The key feature of the policy was the promotion of meritocracy and decentralization. This included the creation of Executive Agencies. Therefore, effective management of personnel records should lead to efficient and equitable management of civil servants, encourage informed decision-making, promote transparency and accountability and facilitate monitoring and evaluation of staff performance. Personnel records were used in decision-making in matters such as
confirming rights and entitlements, disciplinary decisions, leave, retirements and promotions. Information entered in HCMIS was derived directly from personnel records which were generated in the course of managing individual employees. Personnel records were also said to play a major role in strategic planning. Top management staff emphasized the importance of maintaining complete, reliable and accessible personnel records so as to achieve the above strategic objective.

5.2.5 Strategies to Enhance the Management of Personnel Records at PO-PSM.

Various strategies were identified as being appropriate to enhance the management of personnel records at the PO-PSM. These included introduction of RM policy framework, standards and guidelines; as well as putting in place a consistent training programme for registry staff. Changes suggested ensuring better management of personnel records included introduction of RM policy framework and guidelines; improving electronic records management infrastructure; and training of staff in e-records. It was strongly recommended that the government should make use of local professionals in large projects and training of local staff in e-governance. Action officers went further to propose a complete replacement of registry staff at PO-PSM. They also suggested the improvement of infrastructure to cater for e-records management.

Similarly, respondents from RAMD suggested the introduction of RM policy framework, standards and guidelines in order to improve the management of personnel records in the government. They also underscored the importance of training of registry staff. Last but not least, they proposed the introduction of records centres for personnel records,
introduction of master and working files and sensitization of Action Officers about the indispensable role of personnel records in the public service. All in all, all respondents from records management personnel to senior management emphasized the importance of policies, standards, guidelines and procedures as well as training for registry staff especially in electronic records management as measures that should be taken to improve the management of personnel records.

5.2.6 Extent of Computerization of Personnel Records in the Tanzania Public Service

The study found that paper-based records still dominated the Tanzanian public service as far as personnel records were concerned. Scanning technologies to provide electronic copies of key documents formed a key component of a four years programme to improve the management of personnel records. Once computerized, all personnel information would be accessed through the HCMIS system. No particular policy on computerization of personnel records was found to exist. As alluded to earlier, there exists a scanning programme which is intended to provide reliable and accurate information besides facilitating prompt and more efficient decision-making. The scanning programme was also intended to make the sharing of information among government agencies a lot easier especially as regards employee benefits; creation of a databank to enable storage and retrieval of employee information; and the creation of accurate and reliable checks and balance on payroll integrity. The study findings revealed that a policy on computerization was in a pipeline although no exact timeframe was given.
Although digitization of personnel records was said to be an on-going exercise, incidences of many missing documents in the files were said to pose challenges to the programme. Though several documents in a file were identified for scanning this could not be accomplished as not all staff files had all the required documents. Hence, the chaotic paper-based system was noted to pose major challenges to the digitization project. This finding was surprising considering that personnel records were under care of trained and qualified records staff, with qualifications ranging from certificate up to diploma. The study found that most registry staff were aware of the digitization exercise. However, most registry staff were not fully involved in the exercise. It was thus difficult for them to operationalize the expected outcomes. In addition, they dismissed the exercise as a waste of time as no improvements were achieved. They pointed out that personnel records were still disorganized and difficulties continued to be experienced with regard to their retrieval.

Computerization had been effected in six ministries and one independent department. Most files were however incomplete with many missing documents. This was in addition to many other problems associated with the quality of data used in MDAs. Another setback to computerization of personnel records was the unwillingness of the HCMIS software proprietor to integrate this software with the KoVIS software system used to scan the documents. Other findings of the study were that RAMD respondents were aware of the need for the new RM infrastructure, policies and standards to manage electronic records. Besides, a new National Records Management Policy was being drafted. This will address among other things, records management reforms currently being undertaken to
modernize the paper-based system. This will determine the future of computerization of personnel and other records in the Tanzania public service.

5.3 Conclusion

It is undeniable truth that every organization employs staff and creates personnel records. Also that staff are among an organization's most important, and usually most valuable assets and like any other assets, staff are a resource that must be deployed to maximum advantage. Therefore, proper management of personnel records can make a significant contribution to the objective of creating personnel records by ensuring that information is available to take decisions and to protect the rights both of the state and of individuals. Meanwhile, a personnel records system should run effectively whether it is in a purely paper-based environment or in the emerging electronic environment.

Indeed, personnel records management aims at ensuring that a complete and comprehensive employment history of each public servant is readily available whenever it is required, and that the information contained in personnel records supports the management, deployment, supervision and development of government employees.

Great concern has been growing over the management of personnel records. Today many office-filing systems are not designed and operated to meet the information provision requirements. The files are often poorly organized, and no indexes exist to facilitate their retrieval. Moreover, many filing systems suffer from a high rate of missing or misfiled records, and the time spent searching for them is nonproductive. Retrieval of information
is neither precise nor timely, and the filing systems fall short of the goal of delivering to users exactly the information they need as quickly as they need it.

This study examined the management of personnel records in Tanzania’s public service, with the President’s Office – Public Service Management (PO-PSM) as the focus of the study. The study aim was to investigate and evaluate how effectively personnel records were managed and to propose records management model to serve as a framework for the management of personnel records in the public service.

The study found personnel records to be an important source of information for human resources functions as they were manifest of records of functions and decisions as per regulations issued by the Public Service Commission (PSC). They were specifically used to document the employees’ work history which was so critical for human resource functions. Further, the study found personnel records as a base to which all decisions about employees were taken.

However, the study established that personnel records management at PO-PSM faced a number of problems, the major one being, the lack of policies, standards, procedures and guidelines to underpin the effective and efficient management of personnel records. Also the existing poor culture of managing paper records which is likely to be transferred to the management of electronic records. Other issues included low priority accorded to records management principles, functions, and programmes; inadequate skills for managing records especially in electronic format; low budget; among others.
In view of these findings, the study suggested a major overhaul of personnel records management systems throughout the public service and especially in PO-PSM. The existence of chaotic paper-based recordkeeping was found to be directly the result of the absence of policies, standards, procedures and guidelines. Since paper-based recordkeeping system constitute the foundation upon which digitization is implemented, a complete overhaul of paper-based recordkeeping system is recommended, among many other recommendations which are discussed below. Furthermore, it was essential to address the issue of capacity building for records management staff gradually and in sustainable way.

Also, it is hoped that adoption of the records management model suggested in this study will help achieve desired goals. This records management programme as presented in the model provide a holistic approach which cover both paper and electronic records. This model suggest that all the required resources for implementing a sound records management programme at PO-PSM and that government al large should rely on a adequate budget. It is further suggested that PO-PSM should always ensure that records management have a budget of its own. Also, in this proposed model the researcher recommends the review of all the legislations affecting records in the public service. These should have a section that recognizes the Records and Archives Management Department and it roles and responsibilities related to the management of government records and information. To address the low priority given to records management programmes across the public service, this model provides for RAMD to develop a documented strategy for rising records management awareness of and commitment to records management principles, functions and programme.
The findings of the study can be taken as very fundamental to the needed improvement and changes in the management of personnel records in the PO-PSM. Bearing in mind that the proposals made in this study are developed from data collected from those directly involved with the responsibility of managing personnel records particularly at the PO-PSM and the government at large. RAMD should take note of these findings so as to be aware of the areas of records management that need more emphasis in preparation of records management programmes. Perhaps, theirs should be an attempt to close the gap revealed by this study as well as responding to the programme preferences of the respondents.

The researcher has made these suggestions while quite aware of the fact that they are suggestions, which are subject to adjustment aimed at improving the management of personnel records. Of course, with the ever-changing social, cultural, economic, technological, and political set-ups in the country, there bound to be new and emerging studies to clearly replicate these needs. The section that follows makes recommendations from the study.

5.4 Recommendations

This research has argued that personnel records management is faced with an uphill task of putting in place effective policies and regulation to guide their management. It has further argued that to enhance and improve the management of personnel records, training for registry staff should be introduced to equip them with knowledge and skills in electronic records management. This study further identified the low priority accorded to
records management to be another hindrance to effective and efficient personnel records management. The problem was made worse by the low status accorded to records management personnel who wielded no clout, as demonstrated by the little or no involvement in the on-going digitization of personnel records.

It is with this understanding that the recommendations that follow are made. Despite its limitations, this study should prove that personnel records are a key resource for the development and sustainability of the public service. More effective strategies and measures as proposed in the model should be adopted to enhance the management of personnel records irrespective of the format. Secondly, digitization of records using modern technologies is a new phenomenon in Tanzania. Before this is implemented, adequate research and consultation should be undertaken to determine the viability of these methods. Arising from various findings of the study, the study proffers the following recommendations which are intended to improve the management of personnel records throughout the government of Tanzania in general and PO-PSM in particular.

1. Policies, standards, guidelines and procedures should be developed and implemented by the RAMD so as to improve the management of personnel records in the public service. The findings of this study have confirmed the growing quest among public servants of various cadres to improve personnel records management. Yet without policies, standards, laid down procedures and guidelines this objective cannot be achieved. Besides what is suggested above, mechanism should be put in place to see to it that each and every public servant abides by these regulations and that severe disciplinary actions taken against those who fail to comply.
2. While PO-PSM in particular and the public service as a whole had basic control documents in place there is need for the PO-PSM through its RAMD and DMIS to develop more effective and better coordinated systems and procedures to manage personnel records. This would give new impetus to the government’s introduction of HCMIS throughout the public service. Human Resource Units within the ministries will need to ensure that personnel information is kept up to date and checked for accuracy. In addition, regular audits should be carried out by records management and IT professional to ensure that accurate data is captured to reflect synergy between personnel records and the payroll. This will help to curtail the problem of ghost employees as well as corruption.

3. Training programmes on IT usage should be organized periodically by ministries for staff. This will enable civil servants to update their knowledge and skills about emerging information technologies which are being introduced in the work place.

4. Factors that impact negatively on the integrity of records such as interrupted power supply, computer viruses, poor storage and migration strategies and backup should also be addressed to safeguard the integrity of personnel information over time. Sensitization and awareness training should be provided to public servants besides formal training to make them appreciate the importance of good records management.

5. MDAs should be more pro-active in seeking funds from government and other sources for the sake of meeting the financial and technical demands of maintaining efficient and effective recordkeeping systems including computerized recordkeeping
systems which depend on state of the art equipment including; software, internet connectivity, adequate skills, and reliable power supply.

6. To address the low priority given to records management programme across government, this study recommend that the RAMD develop awareness raising programmes to be run by records management professionals to sensitize government officials on the importance of records in their work and the need for them to provide maximum support to their records management staff. RAMD should, in addition, carry out periodic inspections of MDAs records management programmes to (1) assess MDA’s progress in improving records management programmes (2) evaluate the efficacy of RAMD’s government-wide records management programmes. Without these strategies, RAMD will have no basis upon which to measure the success of its records management improvement programmes.

7. While the management of records and personnel records in Tanzania lacks a strong framework within which it could be rooted, this study came up with a records management model which can be adopted to enhance personnel records management in the public service and the PO-PSM in particular. The model is worthy adopting since it provides a way forward for necessary requirements in managing records management programmes such as review of records management culture; a strong awareness of records management among all members of the staff; strong collaboration among all parties through the advisory services of records managers; and enhanced skills and competencies. Besides, it provides an adequate legal and regulatory framework; standards and procedures, including classification schemes
and retention schedules and an analysis of the current electronic information systems in the public done to implement interoperability. Finally, the model highlights the importance of undertaking constant evaluation and inspections of MDAs records management programmes to ensure that problems are quickly identified and rectified, thus avoiding collapse of records management programmes in future. Therefore, it is recommended by this study that the model be considered for adoption as an instrument that will improve records management in the PO-PSM and the government as a whole.

5.5 Suggestions for further research

This study investigated the management of personnel records in Tanzania public service with specific reference to the PO-PSM. On the basis of the findings of the study and the broadness and importance of the subject under investigation i.e. personnel records, the study provides suggestion for further research in the following:

- Security of personnel records in the electronic environment since the country is moving fast towards the use of electronic systems in service delivery.

- Impact of the newly proposed Freedom of Access to Information Law on personnel information held in public offices on account of personal privacy

- Management of personnel records and protection of citizens rights and entitlements.
REFERENCES


GAO (2002), *Information Management: Challenges in Managing and Preserving Electronic Records*; Report to Congress Requesters; June 2002, GAO, USA


Sawe, D.S. (2005), *Regional E-governance Programme: Progress from Tanzania*, 2nd regional Consultative Workshop held in Nairobi, Grand Regency Hotel 28th-29th June 2005


Appendix I: Interview Guide for Top Management at PO-PSM

This research is part of a study on “Management of Personnel Records in the President’s Office – Public Service Management (PO-PSM), Government of Tanzania” by Norbert I. Cyrille, MSc. in Information Sciences, Reg. No. IS/MSC/07/08. I would greatly appreciate your help by answering these interview questions. All I ask is that give your opinions as frankly and honestly as you can. Your confidentiality is guaranteed and your answers will be dealt with in absolute confidence.

NAME OF MDA: __________________________________________________________

DEPARTMENT___________________________________________________________

DESIGNATION: __________________________________________________________

DATE OF INTERVIEW: ____________________________________________________

1. How important are personnel records in the work of your organization?
2. What specific are the personnel records used for?
3. What is the state of personnel records management in your organization?
4. What strategies have been adopted by your organization to enhance the management of personnel records?
5. What is your assessment of the work of Records Management and IT staff who are involved in managing personnel records in your organization?
6. Has your ministry set aside a budget to support personnel records management in your organization?
7. Is there a policy for managing personnel records in your organization?
8. If yes, is the policy backed by an enabling legal framework?
9. If no, what do you consider to be the impact of this lack of coordinated policy in the management of personnel records in public service?
10. Is there a policy on computerization of personnel records in government and/or your organization?
11. What do you think are the challenges of personnel records management in this organization?
Appendix II: Interview Guide for Action Officers at PO-PSM

This research is part of a study on “Management of Personnel Records in the President’s Office – Public Service Management (PO-PSM), Government of Tanzania” by Norbert I. Cyrille, MSc. in Information Sciences, Reg. No. IS/MSC/07/08. I would greatly appreciate your help by answering these interview questions. All I ask is that give your opinions as frankly and honestly as you can. Your confidentiality is guaranteed and your answers will be dealt with in absolute confidence.

NAME OF MDA: __________________________________________________________

DEPARTMENT___________________________________________________________

DESIGNATION: __________________________________________________________

DATE OF INTERVIEW: ____________________________________________________

1. How important are personnel records in your organization?
2. What specific are the personnel records used for
3. How would you assess or rate the management of personnel records in your organization?
4. How often do you use personnel records in you day to day work?
5. Do you often get the required personnel records?
6. What do you often do when the file requested is not found or cannot be delivered in time?
7. How does this often affect your work?
8. What are the procedures in place in ordering and delivering personnel records from the registry?
9. Is there any overall policy that governs the management and use of personnel records in your organization?
10. To what extent have personnel records been computerized in your organization?
11. Are personnel records in this organization managed by trained staff?
12. What do you think are the benefits you will have from better personnel records management?
13. What changes do you think are necessary to take place in your organization to ensure better personnel records management?
14. To what extent do personnel records contribute to decision-making and quality service delivery? In your work
15. How often do you discuss issues related to personnel records management in management meetings?
16. Are there any other issues you would like to raise in relation to personnel records management in your organization or in the government?
17. In your own opinion, what do you consider can be done to improve the management of personnel records in your organization?
Appendix III: Interview Guide for Registry Staff at PO-PSM

This research is part of a study on “Management of Personnel Records in the President’s Office – Public Service Management (PO-PSM), Government of Tanzania” by Norbert I. Cyrille, MSc. in Information Sciences, Reg. No. IS/MSC/07/08. I would greatly appreciate your help by answering these interview questions. All I ask is that give your opinions as frankly and honestly as you can. Your confidentiality is guaranteed and your answers will be dealt with in absolute confidence.

NAME OF MDA: __________________________________________________________

DEPARTMENT: __________________________________________________________

DESIGNATION: __________________________________________________________

DATE OF INTERVIEW: ___________________________________________________

1. What type of personnel records do you keep in the office?
2. How are these personnel records created?
3. How are these personnel records organized?
4. How are they classified?
5. Are personnel records in your office regularly updated?
6. Do you have enough space and equipment to carry out your daily responsibilities?
7. Have you received any training in records management especially personnel records management?
8. If yes, how useful was the training?
9. What additional skills do you consider to be necessary in your duties?
10. What procedures needed to be followed when personnel records are required by action officers?
11. Are you aware of any digitization exercise involving personnel records in your organization?
12. Were you involved in this process?
13. If yes, what were your responsibilities during and after the exercise?
14. Have there been any improvements as a result of digitization?
15. Do you receive regular support from top management in executing your duties?
16. Do you receive regular support and professional assistance from the Records and Archives Management Division?
17. What personnel records management system is currently used by your organization?
18. Is the system clearly documented for effective management and use of personnel records in this organization?
19. If No, how do you operate to maximum service delivery?
20. What challenges are you facing in managing personnel records in your organization?

21. What should be done to solve these challenges?
22. To what extent do these challenges impede your work in providing quality services to the action officers and to citizens?
23. Have these challenges been so far recognized or acknowledged by the relevant authorities?
24. If YES, what measures have been taken?
25. In your own opinion, what do you consider can be done to improve the management of personnel records in your organization?
Appendix IV: Interview Guide for RAMD Staff

This research is part of a study on “Management of Personnel Records in the President’s Office – Public Service Management (PO-PSM), Government of Tanzania” by Norbert I. Cyrille, MSc. in Information Sciences, Reg. No. IS/MSC/07/08. I would greatly appreciate your help by answering these interview questions. All I ask is that give your opinions as frankly and honestly as you can. Your confidentiality is guaranteed and your answers will be dealt with in absolute confidence.

NAME OF MDA: __________________________________________________________

DEPARTMENT___________________________________________________________

DESIGNATION: _________________________________________________________

DATE OF INTERVIEW: ___________________________________________________

1. How would you assess or rate the management of personnel records in the public service?
2. What strategies have been adopted to enhance the management of personnel records in Tanzania public service?
3. What are the strengths of the strategies adopted to manage of personnel records in Tanzania public service?
4. What are their weaknesses?
5. To what extent have personnel records been computerized in public service?
6. Has the digitization exercise improved the management of personnel records in public service?
7. Is there a well-elaborated policy for personnel records management in the government?
8. If yes, is the policy backed by an enabling legal framework?
9. If no, what do you consider to be the impact of this lack of coordinated policy in the management of personnel records in government?
10. What procedures currently exist to guide the management of personnel records in government?
11. Are the procedures well documented and adopted in government?
12. What government-wide standards for personnel records management are currently in use in government?
13. Are these standards backed by an enabling legal framework?
14. What do you think are the challenges of personnel records management in the government?
15. Do these challenges include problems of collapsed paper records management system?
16. What do you think can be done to further improve the management of personnel records in the government?
### Appendix V: Observation Schedule

<table>
<thead>
<tr>
<th>Observation Target</th>
<th>Observation Criteria</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Storage and handling of records</td>
<td>● What is the environment under which the personnel records stored?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● What storage equipments are used for personnel records?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● Where do they store the closed personnel records?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● Are the records handled with maximum care and protection?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● Do the registries have enough light and ventilation for records and staff?</td>
<td></td>
</tr>
<tr>
<td>Registry Layout</td>
<td>● Does the registry layout provide for sufficient and efficient management of personnel records and service delivery?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● Is the registry located in proper place for effective functioning of the organization?</td>
<td></td>
</tr>
<tr>
<td>Physical Condition of the registry</td>
<td>● Are the conditions in the registry fit for the purpose of personnel records management?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● If problems are detected in the registry how quickly and efficiently are they attended?</td>
<td></td>
</tr>
<tr>
<td>Cleanliness</td>
<td>● What is the state of cleanliness of the registry?</td>
<td></td>
</tr>
<tr>
<td>Control Tools</td>
<td>● Are all control tools for personnel records management available?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● Are the tools correctly and consistently used?</td>
<td></td>
</tr>
<tr>
<td>Risk management and Security Measures</td>
<td>● Are the registry doors half cut for registry purposes?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● Are fire fighting equipments available?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● How frequently are they maintained and refilled?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● Are staff trained to operate them?</td>
<td></td>
</tr>
</tbody>
</table>
Appendix VI: Organization Structure of the PO-PSM
Appendix VII: Progress report by Department of Library, Records Management and Information Sciences, Moi University