

The United Republic of Tanzania



President's Office
Public Service Management

**GUIDELINES AND PROCEDURES FOR
MANAGING PERSONNEL RECORDS
IN THE PUBLIC SERVICE**

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CONTENTS

CHAPTER ONE	1
1.0 INTRODUCTION	1
1.1 OBJECTIVE	1
1.2 SCOPE.....	1
1.3 LEGISLATIVE AND REGULATORY REQUIREMENTS	2
CHAPTER TWO	3
2.0 THE NATURE AND PURPOSE OF PERSONNEL RECORDS	3
2.1 Special Characteristics of Personnel Records	3
2.2 Main Categories of Personnel Records	5
2.2.1 Subject Files.....	5
2.2.2 Personal Files.....	5
iii) Back-Up Digital File	7
2.2.3 Personal Record Form	7
2.2.4 Human Capital Management Information System (HCMIS)	7
2.3 Disposition of Personnel Records	7
CHAPTER THREE.....	9
3.0 GUIDANCE FOR RECORDS STAFF	9
3.1 Creating New Personal Files	9
3.2 Numbering and Registering Personal Files.....	10
3.3 Indexing Personal Files.....	11
3.4 Recording the Check Number.....	11
3.5 Maintaining Personal Files.....	12
3.6 Storing and Accessing Personal Files	12
3.7 Transferring Personal Files.....	13
3.8 Dealing with Temporary Files	14
3.9 Closing Personal Files	14
CHAPTER FOUR.....	16
4.0 GUIDANCE FOR HUMAN RESOURCES OFFICERS.....	16
4.1 Recruitment	16
4.2 New Employees	16
4.3 Transfers.....	17
4.4 Promotions.....	17
4.5 Attendance and Leave	17
4.6 Performance Appraisal	19
4.7 Disciplinary Proceedings.....	19

4.8	Staff Development	19
4.9	Termination of Service	20
4.10	Pensioners.....	21
Appendix 1		22
LIST OF DOCUMENTS TO BE HELD ON THE MASTER FILE		22
Appendix 2		23
LIST OF SOME DOCUMENTS TO BE HELD ON THE WORKING FILE		23
Appendix 3		24
PERSONAL RECORD FORM		24
Appendix 4		28
WORKING FILE COVER SPECIMEN		28
Appendix 5		29
MASTER FILE COVER SPECIMEN.....		29
Appendix 6		30
PERSONAL FILE DIARY		30
FILE MOVEMENT REGISTER		30
Appendix 7:.....		31
PERSONAL FILE INDEX CARD		31

FOREWORD

The Government of Tanzania is committed to improve the management of records in the Public Service as a major source of information that facilitates its transactions. The value of information and the power it has, shapes the way Government business and activities are conducted. Effective use of information, results in good and consistent decision-making, efficient and effective delivery of service, transparency and accountability which cannot be achieved without proper records management. It is for these reasons that the government is keen on improving Human resource information in the Public Service. One way of doing this is to provide clear guidelines and procedures on personnel records management.

These guidelines aim at providing procedures to be followed on day to day management of personnel records in the entire Public Service. Adherence to these guidelines and procedures will streamline personnel records management practices, leading to effectiveness, efficiency, improved service delivery and better management of public servants.

However, these guidelines are not intended to be a training guide for trainers, but a practical guide for records staff and Human Resource officers whose responsibility is the management of personnel records. These guidelines and procedures will supplement government efforts in improving personnel records management and should therefore be used alongside existing policies, laws and regulations governing records management.

In this regard therefore, all Heads of Public Offices are required to ensure that all officers in their institutions observe the guidelines and procedures and put systems in place for managing personnel records. The continued application of these guidelines and procedures will improve service delivery and better management of Public Servants.

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CHAPTER ONE

1.0 INTRODUCTION

The success of the Tanzania public service in discharging its functions depends, among others, on the manner of which personnel records are managed. Effective management of personnel records enables public offices to manage their employees efficiently and equitably. It encourages informed and consistent decision-making, transparency, accountability and facilitates the monitoring and evaluation of employee's performances.

Poor management of personnel records undermines efforts to improve the accuracy of the public service payroll database and the implementation of the Public Service Management and Employment Policy which has introduced performance related promotion and compensations. In line with this policy, public service employers will need improved access to employees' records relating to present and past performance. Better management of personnel records will also reduce delays in processing pension claims for retired staff.

In order to address the requirement of the National Records and Archives Act No. 3 of 2002; the National Records and Archives Management policy of 2011; and the Public Service Management and Employment Policy of 2008, the PO - PSM, has decided to establish guidelines and procedures to facilitate strategic management of personnel records in the public service.

The purpose of these guidelines and procedures is to enable records staff and Human Resource Officers, in the public service, to create, control and maintain personnel files (Master file and Working file) in a way which insures that the employment history of each public servant is readily available for as long as it is required, and that the information contained in the files supports the work of appointing authorities.

1.1 OBJECTIVE

All public offices generate and hold personnel records. Therefore the objective of these Guidelines and Procedures is to ensure that personnel records in the public service are created, controlled and maintained throughout their life cycle as required by relevant laws, regulations and instructions.

1.2 SCOPE

These guidelines and procedures cover both paper and electronic records and include guidance on managing the personal files of individuals employed by the Government. Guidance is provided for both records staff and human resources (HR) officers. Records staff must follow these Guidelines to ensure that personnel records are managed effectively and efficiently throughout their life cycle and that they remain accessible for as long as needed to support the information needs of HR officers. HR officers, all other creators and users of personnel records must follow these Guidelines and Procedures to ensure that

their decisions, actions and communications are fully and accurately documented.

1.3 LEGISLATIVE AND REGULATORY REQUIREMENTS

Legislative requirements and responsibilities in relation to public records are explained in the National Records and Archives Management Policy of 2011. In summary, public offices must also ensure that recordkeeping practices comply with the Records and Archives Management Act No.3 of 2002, any other applicable laws and regulations.

Regulation of the human resources management function in government is covered by the Public Service Act No.8 of 2002 (CAP 297) and Public Service (Amendment) Act No.18 of 2007 and Public Service Regulations of 2003, Standing Orders of 2009, and the Public Service Management and Employment Policy of 2008. Section 8(3) of the Public Service Act, 2002 empowers the Permanent Secretary (Establishment) to be responsible for coordinating and ensuring proper upkeep of personnel information of 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.

Also these Guidelines should be read in conjunction with the National Records and Archives Management Policy of 2011. The Policy provides a framework to enable public offices to comply with legislative requirements, as well as the international standard for records management (ISO 15489)¹.

¹ ISO 15489-1: Information and Documentation – Records Management - Part 1: General; ISO/TR 15489-2 Information and Documentation – Records Management - Part 2: Guidelines.

CHAPTER TWO

2.0 THE NATURE AND PURPOSE OF PERSONNEL RECORDS

Records are needed to support government operations, to provide reliable information about the decisions and actions of public servants and to demonstrate that public servants have acted appropriately. Effective management of personnel records enables the public service to manage its employees efficiently and equitably, encourages informed and consistent decision-making, supports transparency and accountability, and facilitates the monitoring and evaluation of performance. Much of the information that is entered in the Human Capital Management Information System (HCMIS) is derived from personnel records generated in the course of managing individual employees.

2.1 Special Characteristics of Personnel Records

- i. **Government-wide:** government offices at all levels and locations normally maintain personnel records of some sort. This has implications for communications, duplication and the authenticity of records as evidence of HR events.
- ii. **Links with other systems:** There are strong links between personnel recordkeeping systems and other government systems, notably payroll and pension management. Personnel records provide the authority to pay salaries and benefits to employees.
- iii. **Different uses.** Personnel records provide a basis for planning and decision making in every area of personnel work, whether in relation to individual employee, groups or categories of employees or the entire workforce. In common with other types of records, personnel records must be managed so that they can always be located and retrieved when required.
- iv. **Importance:** Reliable personnel records support the efficient management and use of the government's human resources. However, the quality of personnel records also directly affects government employees and their families. It is extremely important that personnel records are accurate and complete, and that they can be trusted by government and employees. Personnel records document the contractual relationship between employer and employee and the employee's career history. The information held in these records is used to make decisions about promotion, transfer, termination or, in some cases, disciplinary action. These records are

also used as authority to determine pay and other benefits, including pension entitlements.

- v. **Sensitivity:** Most personnel records are sensitive or confidential because they contain personal information about individuals. Access to the records, whether paper or electronic, must be strictly controlled by putting in place security measures that protect them against loss, unauthorised access or unauthorised alteration.
- vi. **Longevity:** Some personnel records will need to be kept for the entire career of the employee and for a period after the decease, retirement or separation from public service of the employee. This has implications for storage systems and the lifespan of storage media. Factors such as the longevity of the media, ease and cost of migration of personnel records are particularly relevant when evaluating electronic recordkeeping systems. All personnel records must be retained and disposed of in accordance with approved retention/disposal schedules.
- vii. **Quantity:** Typically the public service maintains very large quantities of personnel records, the majority of which continue to be held on paper. The failure to manage personnel records appropriately will lead to significant wastage of office space and have major implications in terms of cost and staff time.
- viii. **Ownership:** Although personnel records may be in the custody of a public office, they are Government records and are kept under the recordkeeping authority of PO-PSM. Personal files, or any of their contents, must be provided to PO-PSM on request and shall not be destroyed without authority as prescribed by the Records and Archives Management Act No.3 of 2002.

2.2 Main Categories of Personnel Records

Employer has a responsibility of maintaining a personnel file for each employee. Documentation of employment history, records of contribution and achievement, disciplinary notices, promotions, performance development plans, and much more, belong in a personnel file. Records management practices in the public service require employers keep more than one personnel file. Because several types of personnel files are recommended, different rules and guidelines are associated with each personnel file. Each type of personnel records outlined below has a different reason for existing, different contents and stored differently based on that reason.

2.2.1 Subject Files

Most public offices maintain subject files relating to the human resource management function. These files cover policy and procedural matters relating to, for example, recruitment, manpower planning, conditions of service, labour relations, schemes of service, training, performance management and discipline. These files should be managed according to standard procedures for all other subject files, as described in the *Registry Procedures Manual*.

2.2.2 Personal Files

Personal files contain the records that document an individual's employment history throughout his or her career in the public service. Personal files must be managed throughout their lifecycle, from creation, through their active and semi-active phase until their final disposal. Some of the information about an individual employee must be kept for a long time, but other records are quickly obsolete and need not be retained for long term. Common practice is to keep two personal files for each individual, one a confidential personal file, and the other open personal file for each appointing authority. This practice, therefore, led to fragmentation, incomplete documents and missing of key information for an individual. Hence a call for a comprehensive guideline to manage personnel records across the public service is necessary.

These guidelines are reviewing record keeping of personal files by establishing a master file which was previously known as a confidential file and working files as an open file.

An objective of maintaining master and working personal files is to ensure that essential personnel records are filed in the master file for long-term retention and other records are kept in a working file, so that they may be destroyed after a specified period. Master files are maintained by the appointing authority² as a central record, while working files may be kept both by the appointing authority and by the office or unit within which the individual is employed. Throughout

² The 'appointing authority' is the authority exercising powers of making appointments to a public service office.

the career of a public servant, he/she should have only one confidential file, though the file may exist in several volumes.

A master file system also facilitates information retrieval by ensuring that all essential personnel documents are concentrated in a single file. The working file may include copies of documents from the master file that are needed by public service officials to make decisions. It is emphasised that working files should not contain any original documents that are kept in a master file.

i) Master (Confidential) file

The contents of a master personal file are the single most valuable record of an individual's career within the public service. Many of the documents cannot be replaced, or the data they contain cannot be reconstructed, particularly after the passage of time. The file is a unique and essential source of personal information and should therefore be safeguarded as long as it is needed.

The master file should document the entire period of the individual's public service. It should include the core record of service, basic personal details and all the records that are needed to document the legal and contractual relationship between the employer and employee, such as letters of appointment, confirmation in post, promotion, transfer and separation records.

Each employee should have a master paper file held in the confidential registry of the appointing authority. **The master file should be transferred with the individual if he or she is transferred to another appointing authority.** The documents to be held on the master file are listed in **Appendix 1**.

NOTE: A checklist is printed on the left hand side of the master file, beneath the first minute sheet. When a key document is added to the file, the presence of the document should be noted on the checklist. The checklist also serves to verify the completeness and integrity of the file. It is the responsibility of HR officers to ensure that the checklist is up-to-date.

ii) Working (Open) file

Working personal files contain records that are not critical to the employee's contractual relationship with the employer, for example, annual leave records, travel records, training applications, loan applications and salary arrears documents. Working files may contain **copies** of key documents held on the master file if this is helpful for operational purposes (for example, to avoid the need to consult the

master file). However, working files should not contain any **original** personal records of long-term value. Their contents may therefore be retained only for as long as they are required to support a particular personnel function. **The types of some of records found on working personal files are listed in Appendix 2.**

iii) Back-Up Digital File

The Government of Tanzania shall have a backup of key personnel documents in a digital format. The main purpose of the personnel file in a digital format is to provide a convenient, centrally held resource that, with appropriate permission, may be accessed through the government network and that can serve as a back up to the paper files. Digitisation of the personnel records shall be approved by PO-PSM. The presence of a document category in the electronic file should be noted on an Employee's Documents Check List which should also be scanned as part of the file.

The existence of the digital master file does not remove the need to maintain a paper file. Paper files will continue to be maintained as the legally verifiable record of the contractual relationship between employer and employee and evidence of employment history. Public offices will be required to update the electronic master file when an HR change occurs and new records are generated.

2.2.3 Personal Record Form

Standing Orders, 2009 (D.37) require a Personal Record Form to be maintained for each employee. Both master and working files should contain a personal record form which captures all basic essential information about the employee. The personal record form should be kept at the front of the file on the left hand side as the first document and shall provide inputs to the HCMIS. It is the responsibility of HR officers to ensure that the paper personal record form is kept up to date. (**See appendix 3**)

2.2.4 Human Capital Management Information System (HCMIS)

The human Capital Management Information System contains personnel and payroll information of all public servants. HCMIS database is a key tool in the management of public service personnel information and ensuring integrity of the Government payroll. It is essential to ensure that complete, accurate and up to date information and all changes to personnel and payroll information of an employee are captured in the HCMIS.

2.3 Disposition of Personnel Records

Section 9 of the Records and Archives Management Act No.3, 2002 requires public offices to implement authorised retention and disposal schedules.

Schedules are 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-off records when their retention dates have been reached. RAMD has issued Records Retention/Disposal Schedules³, mainly for subject files, as a guide to the disposition of government records. This includes guidance on the disposal of the common types of Human Resource records generated and held by most public offices. Further guidance on the retention and disposal of personnel records will be provided according to Records Management Act No.3 of 2002 Section 9 (b) and (c).

³ President's Office, Public Service Management. *Records Retention/Disposal Schedules*. Issued January 2005.

CHAPTER THREE

3.0 GUIDANCE FOR RECORDS STAFF

Documents that provide evidence of contractual relationship between employer and employee, and all documents that support the employee's rights and benefits, such as the original letter of appointment, medical examination report, birth certificate, confirmation in post, etc, are filed correctly on the appropriate personnel file.

All incoming documents, letters, copies of outgoing letters, memoranda and other documents are placed on the right-hand side of the file and secured by the treasury tag. The left-hand side of the file is used for minute sheets which are secured to the other end of the treasury tag. The purpose of the minute sheets is to enable officers and registry staff to record each document placed on the right-hand side of the file and to bring attention to any particular document or matters that require action.

Before filing personnel documents, registry staff must:

- i. determine whether the document should be filed on an individual's personal file; i.e. on the master [confidential] or working [open] file or on the general subject files for personnel matters [recruitments file, interview file, etc].
- ii. ensure that the document is placed on the appropriate file in the correct order according to its date of receipt, taking into account that any enclosures or attachments that may bear different dates are filed with the document with which they were received.
- iii. make sure that the document relates to the individual who is the subject of the file.

3.1 Creating New Personal Files

Personal files should not be created until the appointment letter has been prepared and issued. The appointing authority should establish a master personal file and a working personal file.

File covers must include the following essential details:

- i. Master (Confidential)
- ii. Working (Open)
- iii. Name of appointing authority; printed on the cover to avoid confusion about the origin of the file

- iv. Full name of employee: surname first, followed by other names (name prefix e.g. Eng., Prof., Dr., Ndg., Hon., Col., Sir., etc and suffix e.g. Jr., Sr., Esq. MP., etc are not allowed)
- v. File number
- vi. Designation
- vii. Check number
- viii. Previous file number
- ix. File Transit ladders
- x. File period

Specimen of File Cover (**see Appendix 4 and 5**)

NOTE: Name of employee and designation for a Master file should be written inside, on the left side of the file cover.

No other markings should be made on the file cover.

3.2 Numbering and Registering Personal Files

The creation of personal files is controlled by a register maintained by the registry. The register ensures that the existence of each new file is recorded and that each file is assigned a unique reference number. An alphabetical index of names, arranged by surname and then forenames, must also be maintained by the registry to facilitate retrieval of the paper files.

When a new file needs to be created, the name is entered at the end of the register and assigned the next number in sequence. This generates a file reference number in the form of [M/W] [PF] [1234] where:

‘M’ stands for Master (Confidential) and

‘W’ stands for Working (Open) file.

‘PF’ stands for Personal File

1234 is the next number in sequence obtained from the register

For example: Maganga, Shimbi Jackson – File Number MPF/1234 (for a Master file), WPF/1234 (for a Working file)

As noted, only employing authorities should create and maintain master files. All other personal files, for example, those kept by functional units, sections and supervisors, will be working files. The master and working files should always have the same reference number and will be distinguished by the ‘M’ or ‘W’ which forms parts of the file reference.

Registers should also record the check number of the individual against his/her name in a separate column in the register.

Registers are essential to control the creation of new files and to facilitate their retrieval. They may be in paper or electronic form and must be maintained for long-term. Registers must be retained for as long as they provide a means of controlling and retrieving active personal files. **See appendix 6 for personal file registers.**

3.3 Indexing Personal Files

An index of personal files can take the form of a card index or a simple computerised database. The index cards or sheets should have printed headings of name of the organisation with sufficient space for each piece of information to be recorded. The index should link the employee's name to his/her check number so that there is a direct cross reference to data held in the HCMIS. Completed cards should be filed in index drawers in alphabetical order. **(See Appendix 7).**

Employees who change their names, all names should be recorded on the index card as well as on the file. Employees who are known by alternative surnames, separate cards should be completed as cross references and filed in the index in their correct alphabetical order. Similarly, cross-references will need to be inserted in the index for employees who change their name, for example when they marry.

Each completed index card should contain the following information:

- i. the full name of the person; surname first followed by other names
- ii. the personal file reference number as assigned from the register
- iii. check number.

The handling of variant spellings of names in the index is important. Where the same name may be spelt in several ways, it may be helpful to insert cross-reference cards for each alternative spelling, with *see also* references to the other variant spellings.

When two or more cards in the index bear identical names, they should be filed in numerical order according to the file reference number. The check number will differentiate the two individuals.

Indexes are essential to control the creation of new files and to facilitate their retrieval. They may be in paper or electronic form and must be maintained for long-term. Indexes must be retained for as long as they provide a means of controlling and retrieving active personal files.

3.4 Recording the Check Number

The check number must always be written on the front file cover of an individual's files, as well as in the personal file register and index entry. This will provide the link between the paper records and the data held in HCMIS and will

also facilitate the conversion of the present systems of numbering personal files to a government-wide system based on the check number.

3.5 Maintaining Personal Files

In maintaining personal files, records custodians and users must observe the following:

- i. To ensure that files are kept in good order.
- ii. To deal with files promptly and return them to the registry when no longer required.
- iii. To keep files free of extraneous materials such as duplicates and rough drafts.
- iv. If papers are required to be removed from the file (for example, for photocopying) must always be re-filed in exactly the position from which they were removed.
- v. Any evidence of tampering or removal of documents must be reported immediately to the Head of Administration and Human resources of a respective public office.
- vi. Damaged file covers should be replaced and detached documents reattached.
- vii. Ensure minute sheets are attached to the left side of the file and papers received for filing are filed on the right side, with the most recent on top and placed on the file in date-of-receipt order.
- viii. Ensure each document on the file is given a folio number in sequence beginning at number one for the first folio.
- ix. Ensure a letter and its enclosures are given a single folio number.
- x. To ensure new document received for filing is examined to see if it indicates a change in an officer's status or provides new information about the officer concerned (for example, posting, secondment, change of name, promotion, submission of a certificate). If there is a change, the personal record card and information in HCMIS should be updated.

3.6 Storing and Accessing Personal Files

The personal file is a unique and essential source of employee information and should therefore be safeguarded as long as it is needed. Personal files should be issued only to authorised staff. Accordingly there is a need to safeguard Personal files against:

- i. Unauthorised access to documents
- ii. Unauthorised copying of documents
- iii. The alteration of documents
- iv. The removal of documents
- v. Loss or damage of the file or any document it contains through safety or poor handling
- vi. Disclosure of personal information from the personnel records
- vii. Employees' access to their personal files.

Requests for access to employee's personnel records from government officials outside the appointing authority must be made in writing and authorised by the appointing authority.

All personal files should be kept in their respective registries except files for registry staff/records custodians which are to be kept in a different location as determined by the appointing authority.

3.7 Transferring Personal Files

The master personal file of each employee moves with the employee throughout his/her career in the public service. Therefore, when an employee is transferred to another appointing authority, the master files must be transferred to the new authority. Certain records from the working file also need to be transferred, such as outstanding loans, last year's leave record, recent performance records etc.

The new appointing authority should request the employee's personal files from the former appointing authority after the employee reports at the new working station. The file should be sent to the requesting agency within **fourteen (14) days** of receipt of the request. If, for any reason, the file needs to be retained for a longer period, the new appointing authority must be informed and given a reason for the delay. **Employees should not carry their own files to their new employer.**

3.7.1 Preparing Personal Files for Transfer

The following steps should be taken to prepare personal files for transfer:

- i. Check that all required documents are included in the files; (the master files should include all documents listed on the master file check list – **see Appendix 1)**
- ii. Check that documents are filed in their correct chronological order
- iii. Check that current leave records are present and up to date
- iv. Ensure that records of any outstanding loans and advances are present
- v. Ensure that the most recent three years of performance appraisals are present.

Master personal files and any records extracted from working files should be sealed inside an envelope and the sealed envelope placed inside a large envelope or package marked 'Confidential' for transfer to the new appointing authority. The package should be addressed to the new appointing authority.

If any documents included on the master file check list are found after an employee's personal files have been transferred, they should be sent immediately under confidential cover with a covering letter identifying the employee by name, check number and date of birth.

3.7.2 Assigning a new reference number

The new appointing authority should open a new master and working personal file for the transferred employee and close the transferred files, following the same procedures already described in **Section 3.2**. This will ensure that the employee is assigned a new file reference number by the new appointing authority and that entries are made in the personal file register and index.

3.7.3 Transferring semi current personal files

Personal files are retained for three years after the retirement or separation of the employee. The files are then transferred to the National Records Centre until they reach the end of their retention period as may be specified in retention and disposal schedules.

3.8 Dealing with Temporary Files

It is strictly prohibited to open temporary files for any employee. If it is **absolutely necessary**, the approval of appointing authority is required.

3.9 Closing Personal Files

The systematic closure of files is an important aspect of file management, ensuring that files do not become too bulky for efficient storage and handling, and that inactive files are identified for removal from the active or current filing system.

It is good practice to close any file that is more than three (3) centimetres thick and to open a continuation file (or 'part') to which new documentation can be added. The word 'CLOSED' should be written in bold letters between two parallel lines drawn diagonally across the front cover; the date of closure should be written below. The last (most recent) minute sheet on the left hand side of the file should also have 'CLOSED' and the date of closure written on it as the last entry. When a continuation file is opened, this should be indicated by writing the appropriate number on each file cover and adding the new part, e.g. Part A, Part B and so on).

The personal file register/index should also be updated to show that the file has been closed and a new part created.

The personal record card should be transferred to the new part. In the case of master personal files, the master file check list should be photocopied and the copy placed on the new part. The copy should indicate that it is the check list for the previous part. A new blank check list should be placed on top of the copy and this should be used to record any new key documents added to the new part.

Master personal files that are closed when they become too thick they will certainly need to be consulted. If the individual concerned continues to be

employed all master files, active and closed, must be kept together in active file storage in the confidential registry. This is so that the employee's complete career history and documentation back to first appointment are available in one location.

Personal files of employees who have left the public service must be closed. The word 'dismissed', 'resigned', 'retired', 'terminated', 'deceased' or other reason for cessation of employment as appropriate, should be written between parallel lines drawn diagonally across the front cover of the file and the date of closure written below.

Closed master and working files are retained in the registry for **three years** after the employment has ended. After three years, if there are no pending issues, the closed files should be transferred to the National Records Centre or other semi-active storage approved by authority responsible for records and archives management. The personal file register and index should be updated to show that the file has been closed and transferred and must be retained until all pension or other rights will have expired.

CHAPTER FOUR

4.0 GUIDANCE FOR HUMAN RESOURCES OFFICERS

The responsibility of HR officers is to ensure that the master file check list is kept up to date and that any new personal details about employees are entered on the personal record form and all details as stipulated in the HCMIS Manual.

Standard forms (i.e. Personnel records form, personnel records card and personnel data form) should be completed by HR officers to capture information needed to generate an employee records in the HCMIS.

4.1 Recruitment

The recruitment process generates a number of different types of record that need to be managed, many of which are captured on standard forms. These records should be maintained on subject files which are created for each new position to be filled. The following information will be captured during the recruitment process:

- i. Advertisement
- ii. Application letter
- iii. Long list
- iv. Short list
- v. Invitation letter for interviewee
- vi. Minutes from interview authority/Respective committee
- vii. Placement letter.

4.2 New Employees

During the first appointment, the new employee must enter into a legal agreement with the employer in the form of a contract of employment which defines the terms and conditions of employment for both parties. This process will generate the following records:

- i. Letter of appointment
- ii. EB1 Form
- iii. Medical report
- iv. Form of acceptance
- v. Certified copies of original certificates,
- vi. Passport size photograph
- vii. Personal record form
- viii. Birth certificate
- ix. Agreement for appointment on contract terms
- x. Next of kin card.

This is the point where HR Officers instruct Registry staff to open Master (confidential) and Working (open) personnel files. These details are entered in the HCMIS to facilitate the payment of the employee's first salary, create new employee record and generate a check number.

New staff will be subject to a probationary period as prescribed in the General Government Standing Orders and its regulations. HR officers and line management should ensure that records of probationary staff are properly managed to confirm the employee post where appropriate.

4.3 Transfers

Public service employees can be transferred elsewhere. Transfers may be upon the employee's request, by exigencies of the service or by conversion accommodation in the event of restructuring or re-organization of a public office. Transfers may be within the public office or between public offices. In all cases, records of the transfers are generated and filed as follows:

- I. Letter of Transfer within vote issued by employer and/or request for transfer letter filed on working personal file.
- II. Letter of Transfer between public offices issued by PO-PSM or delegated authorities and/or request for transfer letter filed on Master personal file.

Changes resulting from transfer of an employee should be entered in the HCMIS to update the service particulars of the employee and make necessary changes to the payroll. If the transfer is between appointing authorities, the master personal file will need to be sent to the new employer when the processing of the transfer is complete and the records have been filed. Employers must also make sure that annual and sick leave records are up to date.

4.4 Promotions

All records related to promotion processes should be kept in the subject personnel file. The letter of promotion issued by the appointing authority, which sets out the terms and conditions of the promotion, should be kept in the master personal file. HR officers should update employees personal and payroll records in HCMIS accordingly.

4.5 Attendance and Leave

Attendance, annual leave and sick leave should be monitored by the HR department and, where necessary, used to promote improved performance in these areas. Continuing poor attendance may result in disciplinary action and excessive sick leave may require reference to a medical board. Systems are therefore required to record attendance and leave so that they can be monitored. Leave forms must always be signed and dated by the approving authority.

4.5.1 Attendance

HR officer is responsible for monitoring and maintaining attendance register. In case there is non-compliance with the requirement of the attendance register; (see disciplinary proceedings in 4.7).

4.5.2 Leave management

Effective system to manage absenteeism has to address categories of leave offered to public servants as indicated in the table below:

Types of leave	Type of record generated	File type	Effect on HCMIS
Annual leave	Leave form, letter, and payment vouchers.	Working	Update leave information in HCMIS
Compassionate leave	letter	working	Update HCMIS for number of days to be carried over
Study leave	Request permission to attend training, released latter	Working	Update HCMIS Update salary information for study leave without pay.
Leave without pay	Application letter Response letter from the competent authority	master	Update employee status in the payroll to termination
Sick/ convalescence leave	Sick sheet	Working	
Sick/convalescence leave	More than six months less than twelve months-notification of reduction of salary.	Master	Update salary to half pay
Sick/convalescence leave	More than 12 months - medical report.	Master	Update HCMIS
Maternity/Paternity leave	Standard forms	working	Update HCMIS
Leave pending retirement	Letter of application Leave form.	working	
Sabbatical leave	Application letter Letter of approval issued by PO-PSM.	master	Update HCMIS
Secondment	Application letter Letter of approval issued by PO-PSM.	master	Update HCMIS

4.6 Performance Appraisal

The Open Performance Review and Appraisal System (OPRAS) provide a means of ensuring that each employee's objectives and targets are aligned with the strategic and operational plans of the employer. The records of performance appraisal are important for monitoring the overall operational effectiveness and continuing development of the organisation, as well as documenting each individual's key performance targets for the coming year, any rewards resulting from good performance and any training or development requirements.

Records resulting from this review includes: OPRAS forms, Letters of Reward and sanctions. These records should be filed in the master personal file. HR officers are instructed to update OPRAS information in the HCMIS. Papers relating to performance appraisal procedures are kept on a subject file.

4.7 Disciplinary Proceedings

Management of disciplinary action is of two categories namely summary proceedings and formal proceedings. Summary proceeding is applied when the gravity of the offence does not warrant severe punishment or cannot amount to criminal offence. Therefore culmination of summary proceeding is a letter of warning or reprimand.

Likewise formal proceeding is applied when the disciplinary authority is of the opinion that the gravity of the offence can warrant to one of the following actions:

- i. Reduction of salary
- ii. Demotion
- iii. Dismissal.

All records of the events or alleged offence which resulted in proceedings should be kept in a master personal file. Records of the disciplinary process itself (charge sheets, proceedings in relation to committees of inquiry and reports of inquiries, records of interviews, etc) must be kept in a subject file. HR officers are instructed to update Disciplinary proceedings in the HCMIS.

4.8 Staff Development

A new member of staff requires induction and vetting to his or her job and to the organisation as a whole. Also appointing authorities will provide opportunities for further education, training in new skills and professional development. Education and training should be coordinated with the staff member's performance appraisal and forward job plan. The HR department should monitor the results.

Under staff development functions, the following records are generated: requests for training, approvals, abstracts of education, release letter, training

and development courses attended, and post-training reports should be filed into working personal file while records relating to vetting must be filed into a master personal file. HR officers are instructed to update staff development information in the HCMIS.

4.9 Termination of Service

Termination of an employee from the public service may be a result of a number of circumstances. The following table illustrates circumstances, types of records generated and where those records should be filled:

Types of circumstances	Type of record generated	File type
Resignation	• Letter of Resignation • Acceptance letter • Certificate of service • ERV Receipt (one month salary)	Master
Compulsory Retirement	• Notification for retirement (from the employer or employee) • Acceptance letter	Master
	• Leave form pending retirement	Working
Voluntary Retirement	• Notification for retirement (from the employee) • Acceptance letter	Master
Retirement on medical grounds	• Medical Report • Letter for Request to Retire (employee) • Medical Board Report • Approval letter	Master
Retrenchment (abolition of position/office)	• Letter of Retrenchment	Master
	• Payment records	Working
Termination of non-pensionable employee (end of fixed term)	• Notification letter	Master
	• Payment records	Working
Dismissal	• Warning letter(s) • Interdiction letter • Charge intention (notice) • Defence statement • Charge sheet • Dismissal letter	Master
Death	• Death certificate	Master

Types of circumstances	Type of record generated	File type
	- Records of probate proceedings - Letter of authorisation of administrator of deceased estate	Master Master
	Payment records	Working
Removal in public interest	Removal letter	Master
Termination on contesting constitutional leadership or elective political post	- Request letter from the employee - Acceptance letter	Master

HR officers are instructed to update information in the HCMIS in the event of termination of service of an employee.

4.10 Pensioners

Pensioners have statutory rights that must be observed. It is critical, therefore, that appropriate records be kept by the office responsible for pensions. On the other hand, appointing authorities have the responsibility to facilitate availability of records relating to pensioners.

LIST OF DOCUMENTS TO BE HELD ON THE MASTER FILE

Master file check list:

- i. Appointment letter(s)
- ii. Birth certificate/affidavit
- iii. Change of name
- iv. Copies of educational/professional certificates
- v. Copy of National ID
- vi. Disciplinary records
- vii. Leave without pay and secondment
- viii. Letters of confirmation
- ix. Letters of interdiction
- x. Letters of promotion
- xi. Letters of transfers/postings
- xii. Marital status record
- xiii. Medical Board reports
- xiv. Medical report on appointment
- xv. Next of Kin Card
- xvi. Notification of termination/resignation/retirement/death
- xvii. Pension certification
- xviii. Performance assessment forms
- xix. Personal Record Card/Form (including Social Security Number)
- xx. Personal service particulars
- xxi. Photograph
- xxii. Vetting documents

LIST OF SOME DOCUMENTS TO BE HELD ON THE WORKING FILE

Working File Checklist:

- i. Academic progress report
- ii. Acting appointments
- iii. Allowance applications etc
- iv. Complaints re promotion, training, allowances, leave,
- v. Correspondence relating to clearance to travel
- vi. Curriculum Vitae
- vii. Details of government loans
- viii. Details of retired imprests
- ix. Documents relating to training
- x. Driving Licence
- xi. Insurance policy / forms
- xii. Loan applications
- xiii. Loss reports
- xiv. National Service recruitment
- xv. On Job Reporting Letter
- xvi. Payment vouchers
- xvii. Payroll data sheets
- xviii. Records of leave (as prescribed by Standing Orders, 2009).
- xix. Refunds
- xx. Request to change job
- xxi. Salary advances
- xxii. Salary arrears
- xxiii. Salary slips / advice
- xxiv. Sports and games records
- xxv. Telegrams

PERSONAL RECORD FORM

Check No:

File No:

1	Surname Or Last Name	Particulars	Date	General Notice	
2	Other Names:	Fist Appointment		Date	Year
3	Date Of Birth:	Confirmation			
4	Sex:				
5	Religions Denomination:				
6	District Of Domicile:				

7. Nationality..... by *Birth/Registration. If acquired by registration, give Reg. No: Date place of issue

8. *Wife's/Husband's Full Name:

Address:

*Delete whichever is inapplicable

9. Children:

Name	Sex	Date Of Birth	Place Of Birth
.....			
.....			
.....			

10. Next of Kin: a) name Address
Relationship.....

b) Name Address
Relationship

11. First Appointment:
- Designation:
 - Terms of service:
 - Salary scale:
 - Salary in Tshs: p.a
 - Leave Terms: (state whether "local" or "overseas" terms)

12. Qualification:
- Academic:
 - Professional:

13. Training or Course attended or taken:

Name Of Training/Course	Institution	Duration	
		From	To
.....			
.....			
.....			

14. Public Service Examination Passed:

Examination	General Notice	
	No.	Date
.....		
.....		
.....		

15. Private examinations passed/correspondence course:

Examination/Course	Date	Qualification
.....		
.....		
.....		

16. Appointments/Promotion in the Public Service:

Post Held	Duration	
	From	To
.....		
.....		
.....		

17. Previous Service in Other Organizations:

Post Held	Organisation	Duration	
		From	To
.....			
.....			
.....			

18. Transfer within the Public Service:

Ministry/Department	Duration	
	From	To
.....		
.....		
.....		

19. Transfer/Secondments to Organizations Other than the Public Service:

Post Held	Organisation	Duration	
		From	To
.....			
.....			
.....			

20. Boards/committees to which appointed:

Position	Name of Board/Committee	Duration	
		From	To
.....			
.....			
.....			

21. End of service (give date, cause and short description leading to end of service):

APPENDIX 4

WORKING FILE COVER SPECIMEN

THE GOVERNMENT OF UNITED REPUBLIC OF TANZANIA

[illegible]

APPENDIX 5

MASTER FILE COVER SPECIMEN

THE GOVERNMENT OF UNITED REPUBLIC OF TANZANIA

[illegible]

APPENDIX 6

PERSONAL FILE DIARY

File Diary for Personal Files				
S/N	Name	PF. Number	Check Number	Date opened

FILE MOVEMENT REGISTER

File movement register for personal files.						
Date File Sent	Ref. No.	Subject	To Whom	Date File Returned	Signature of Receiving Officer	Signature of RMA

APPENDIX 7:

PERSONAL FILE INDEX CARD

Full name	
File No:	Check No.
Date of Birth:	Date of first Appointment