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DOCUMENT CONTROL

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1. INTRODUCTION

- 1.1 The **Personnel File Archive Management Policy** is developed to ensure that personnel files of employees of the City of Johannesburg (CoJ) are properly managed and maintained within the requirement of legislation such as the National Archives Act, No 43 1996, as well as applicable Council resolutions, policies and procedures

2. THE DEFINITION OF TERMS

Term	Definition
Personnel file	A file cover, reflecting the name employee number and department in which the employee is employed, and in which all the documents relating to the employees employment with the CoJ are filed
SAP R/3 file	A SAP R/3 file is an electronic employment record of an employee

3. THE INTERPRETATION AND APPLICATION OF PERSONNEL ARCHIVE MANAGEMENT POLICY

- 3.1 Any dispute arising from the interpretation and application of this policy will be handled and resolved through the delegations and discretion of the Director: Human Resources Shared Services (HRSS)

4. THE RATIONALE AND OBJECTIVES OF PERSONNEL ARCHIVE MANAGEMENT POLICY

The rationale and purpose of the Policy is:

- 4.1 To provide guidelines on management and maintenance of personnel files
- 4.2 To upkeep confidentiality of personnel files

5. THE SCOPE OF APPLICATION

- 5.1 The Policy applies to City of Johannesburg Metropolitan Municipality administration and all its employees

6. THE ROLES AND RESPONSIBILITIES (THE ACCOUNTABILITY FRAMEWORK)

- 6.1 The *Mayoral Committee (Mayco)* approves the HR Policies
- 6.2 The *Executive Management Team (EMT)* engages on the HR policies and recommends the approval of the HR policies by Mayco
- 6.3 The *City Manager* is accountable as an Accounting Officer and oversees the development, implementation and maintenance of policies, procedures, processes and system, including those in HR
- 6.4 The *Executive Director: Corporate and Shared Services* is responsible for ensuring the HR Policies comply with the Council resolutions of City of Johannesburg, as well as applicable legislation, and in conjunction with the conditions of service and relevant bargaining council agreement

- 6.5 Other *Executive Director's* are accountable for ensuring strict adherence to prescriptions of HR policies within their Depts, as well contribute to the development, review and evaluation of impact of HR policies
- 6.6 The *Director: Human Resources Shared Services (HRSS)* is responsible for the overall policy implementation, management, monitoring and review, as well as ensuring that the HR Policies comply with the Council resolutions, applicable legislation, conditions of service and relevant bargaining council agreements
- 6.7 The nominated *Deputy Director in HRSS with a responsibility a for HR policies* ensure that the Policy is reviewed on ongoing-basis
- 6.8 Other *Deputy Directors [Business Process Owners (BPO)] in HRSS* are responsible for researching, recommending the development, maintenance, review and evaluation of their policies dealing with their respective areas and processes in the CoJ, as well as monitoring the implementation of the Policy within the requirements
- 6.9 The *Field HR and HR Transactions* are responsible for ensuring the adherence and compliance to the approved HR policies, as well as providing advise on HR policies
- 6.10 The *Line Manager* is responsible for implementation of and adherence to the approved HR policies
- 6.11 The *Organised Labour (Unions)* are responsible for playing an oversight role on management, implementation and compliance/adherence to approved HR policies, as well as contribute to the evaluation of impact of HR policies and their review
- 6.12 All *Staff* are responsible for complying/adhering to the approved HR Policies

7. THE POLICY AREAS

This section outlines the policy provisions on the management of personnel archives in the City of Johannesburg (CoJ)

7.1 THE UPKEEP OF CONFIDENTIALITY

- 7.1.1 It is important to note that employee information is **confidential** and should never be divulged to any person other than the employee concerned
- 7.1.2 Upon receipt of a salary related enquiry the person handling the enquiry should first ask the enquirer what salary information they have in possession (i.e. salary advice, identity document, certificate of service) to validate authenticity of the enquirer and should confirm the details given by the enquirer
- 7.1.3 On confirmation of authenticity of enquirer, and provided the salary information given by the enquirer correlates with the information on the City's database, the enquiry may be addressed
- 7.1.4 In instances where salary information provided by enquirer does not correlate with salary information on the system, the person handling the enquiry should not give any information
- 7.1.5 The provision of information is subject to the provisions of the *Promotion of Access to Information Act, No 2 of 2000* and amended Act

- 7.1.6 Where confirmation of employment is sought from a third party it is imperative that an HR Administrator follows the procedure in determining who requires the information:
- 7.1.6.1 If it is a spouse or relative, no information should be divulged, unless the request must be in writing and filed
 - 7.1.6.2 If it is to be furnished by law, obtain necessary documents as proof
 - 7.1.6.3 If it is a bank, or Human Resources (HR) services provider, need to establish status and legitimacy of the request
 - 7.1.6.4 In instances where you are unsure, obtain an instruction in writing from an employee

7.2 THE MAINTENANCE OF PERSONNEL FILES

- 7.2.1 Relevant HR shall maintain a file for each staff member and will be responsible for maintaining personnel records, for adding, correcting, and removing materials from those records
- 7.2.2 Permanent record consists of a paper file and a SAP R/3 file, together these records constitute a full service history and payroll details
- 7.2.3 The documents and data kept on file are private and confidential, and access is on a “need-to-know” basis
- 7.2.4 Relevant HR are not to release data to third parties (except, as for example with SARS, or as required by law to do so)
- 7.2.5 An employee's personnel file will be available to the employee for examination in the HR offices with reasonable written notice and during normal business hours
- 7.2.6 A Human Resources staff member will be present during the examination
- 7.2.7 Personal files may not be removed from the HR Office
The employee may elect to be accompanied by an advisor at the time of file examination
- 7.2.9 Upon the employee's written request, copies of the relevant information on the file may be made available to standing committees or other individuals of CoJ
- 7.2.10 An employee's personnel file will be available for inspection in the HR offices on written request to the employee's supervisor and others in the designated chain of command as well as the Line Manager
- 7.2.11 With permission of the employee or under court order, access to personnel files is available to authorized individuals or agencies outside CoJ with prior approval from the Director: HRSS
- 7.2.12 Copies of documents in the personnel file are available to the employee upon request, and with reasonable notice
- 7.2.13 Multiple copies of documents or a copy of the complete file is available upon request and at the employee's expense
- 7.2.14 Copies of reference letters furnished to CoJ at the time of initial employment are excluded from this provision Legal commented why can an employee not see this info
- 7.2.15 Personnel files must be maintained and stored in compliance with the provisions of the *National Archives Act No 46 of 1996* and amended Act
- 7.2.16 The retention period for personnel files of ex-employee's is five (5) years

8 THE APPROVAL

8.1 Policy changes are to be approved by the Mayoral Committee

9 THE AMENDMENTS

9.1 The Policy may be reviewed and amended at least every two (2) years or more frequently, as and required

9.2 Maintenance and implementation of the policy is the responsibility of the Director: Human Resources Shared Services (HRSS)

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