BEST PRACTICE MODEL FOR KEEPING AND MANAGING PAPER-BASED EMPLOYEE RECORDS

PUBLIC SERVICE HANDBOOK
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Prepared by: Government Internal Consultancy Services  
Department of Public Service and Administration  
Pretoria

Related publications: Toolkit to audit leave prior to 1 July 2001  
Copies of this report are available from:  
http://www.dpsa.gov.za
Sound record management is of fundamental importance in governance and administration. It forms the basis for formulating and evaluating policy, managing finance and personnel, providing a basis for accountability and protecting the rights of individuals. Despite the fact that good record keeping is the backbone to a variety of aspects of public administration this aspect can be easily neglected.

The publication of this *Best Practice Model for Keeping and Managing Paper-based Employee Records* is, therefore, a very timely and valuable contribution in our quest to make our public service more efficient and effective. We trust that the Model will also assist in the optimal implementation and tracking of a range of human resource policies that we have introduced in recent years for the Public Service.

During 2001 the Department of Public Service and Administration (DPSA) and two of the provincial partners, namely the Office of the Premier in the Northern Province and the Department of Finance and Provincial Expenditure in the Eastern Cape, piloted projects aimed at restoring the integrity of paper-based employee records. These projects were implemented within the context of the Integrated Provincial Support Programme (IPSP).

This publication bears testimony to the positive work done within the context of the IPSP. It shows how “best practice” can be shared, thus increasing the benefits of these projects beyond those directly involved in the IPSP.

I trust that those who engage with this document and introduce some of its lessons in their work will benefit substantially. If this happens we should, over time, be able to notice the positive influence of this single intervention in the improved quality of our record keeping and management in the Public Service.

*Geraldine Fraser-Moleketi*
Minister for Public Service and Administration
The development of the model was made possible through the practical work exposure of the Government Internal Consultancy Services. The learning opportunity was facilitated through implementation of projects in the Northern Province and the Eastern Cape. The team is grateful to Ms MB Monama (Northern Province Director General) and Mr MMP Tom (Superintendent General of the Department of Finance and Expenditure Eastern Cape) for these opportunities.

The team would like to thank the following persons for inputs provided, directions given and acting overall as a reference team during the piloting of the model:

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National Archives

The outline of this publication, the structural configuration and design principles are based on the International Organisation Standard ISO 15489 (Records Management); the Australian Record Management Standard (AS 4390/1996); the Best Practice Publication of the International Records Management Trust (March 2001) and the South African National Archives Prescripts. Acknowledgement is herewith given to the aforementioned sources.

The team hopes that the model will empower managers to undertake diagnostic reviews of their paper based employee record keeping and management functions and that the model could provide guidance on how identified weaknesses could be addressed.
APPLICATION OF MODEL

Seven questions to answer

If the answer is 'Yes' to any of the following questions, the model may be of use to your Department.

1. Do the reports of the Auditor General frequently indicate that files of personnel are not available for audits or documents are not found in personnel files
2. Are there piles of loose personnel documents or forms visible in the human resources unit
3. Is it a problem to provide information related to the staff component in the department
4. Is it difficult to retrieve files of employees in the registry section
5. Do you suspect that documents and forms are removed from personnel files maliciously
6. Are there huge differences between data captured on transversal human resource systems and the paper records
7. Is it difficult to verify documents when new staff is appointed
The model is divided into three parts as outlined in Figure 1.

Part One of the report includes the following sections:

Section Two, which is descriptive in nature and unpacks the meaning of human resource record keeping and management, including an accountability framework.

Section Three, which analyses the broader and specific policy and institutional framework, which directs the performance of the human resource record keeping and management function.

Part Two of the report includes the following section:

Section Four, which outlines a best practice model for keeping and management of paper records, which includes requirements in terms of the following areas: Identification; Classification; Tracking, Maintenance & Audit Trail; Retention, Disposal & Custody; and Storage Facilities.

Part Three of the report includes the following section:

Section Five, which provides an assessment tool that can be used to undertake a diagnostic review of the existing performance in terms of the keeping of paper based human resources records.
FIGURE 1: Outline of Document

Section Two
Clarification of concepts

Section Three
Policy and institutional framework

Section Four
Model for keeping and management of paper based employee records

Section Five
Assessment tool to determine effective, efficient and accountable keeping and management of paper based employee records

Managing human resource records as a strategic resource

Best practice model for keeping and management of human resource records

Assessment Tool
The Best Practice Model promotes the importance of effective and efficient keeping and management of employee records in a Government Department. The integrity of human resource records cannot be over emphasized. It is a fundamental pillar in the promotion of transparent and open government. Strengthening and modernisation of basic office systems in Government has proved to be an important input in the delivery of effective and efficient services to citizens.

The model is designed for implementation within a provincial context. Thus, the design took into account the institutional environment, and the capacity and ability to implement and sustain. However, National Government Departments could also use the model and the assessment tool. The establishment of Provincial Governments implied a fundamental structuring and transformation of new Provincial Departments in 1994. When departments were restructured, there were limited (if any) clear guidelines for dealing with paper based employee records, thus resulting in a situation where staff have been transferred but the employee records remained in the previous department or regional office. This had a huge impact on human resource records as outlined in Table 1.

**TABLE 1: Impact of restructuring and transformation on human resource records**

- The continuous movement of employee files between different locations resulted in the build-up of backlogs in the processing of information and maintenance of records.
- Provincial departments inherited backlogs in terms of forms and documents not filed.
- The tendency of not updating leave record cards, thus limiting the institutional memory of the provincial departments when PERSAL was introduced.
- Various projects, inter alia, aimed at removing “ghost workers” from payrolls, resulted in situations where paper files were left in disarray or documents were removed from files.
- Limited (if any) guidance was given in terms of linkages between paper records and computerised records when PERSAL was introduced.
Following the integration process and the introduction of PERSAL, there has been an increasing tendency not to keep a proper audit trail of paper based human resource records. Various reports of the Auditor General highlight the absence of proper record keeping of paper based human resource records. Often, there is a huge gap between models developed and the ability to implement and sustain such models.

This model aims to:

1. Define a good practice for paper based human resource record keeping. This model is based on current policy and institutional requirements, but taking into account capacity and ability to implement and sustain. Thus, it entails practical and feasible solutions in line with the policy and institutional requirements pertaining to the management of human resources in the Public Service.

2. Provide a diagnostic assessment tool that provincial departments could use to review the effectiveness and efficiency of existing performance in terms of keeping and managing paper based employee records; and design appropriate interventions.

The model deals only with employee records and excludes other human resources paper records that should also be kept and managed, for example circulars. The formulation of the best practice model and the assessment tools were based on:

1. An understanding of the existing situation in various Provincial Departments.

2. Practical experiences and exposure of projects implemented in the Northern- and Eastern Cape Provinces.

3. An analysis of the legal, regulatory and professional requirements.

The model is not prescribing a 'one size fits all' approach which is usually associated with best practices guides. The model defines and elaborates on 'what' should be in place to facilitate the keeping and management of employee records to comply, inter alia, with the National Minimum Information Requirements (NMIR). Proper keeping of paper based employee records is the foundation and first step in order to adhere to the NMIR and sound human resource management¹.

¹ There is a legal expression that "exceptional cases make poor precedent". This was clearly not the case in terms of the problems being experienced with human resource record keeping and management in different provincial departments. There were tremendous similarities in the nature and scope of constraints and problems.
The model was developed following an extensive analysis of the following:

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<th><strong>Existing challenges and demands facing the Provincial Governments in terms of restoring the integrity of human resource data in line with policy requirements.</strong></th>
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<td><strong>Financial, staff and physical constraints in terms of manual paper record systems and practices. For example, there are very old human resource records that are taking up considerable storage space in different departments.</strong></td>
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BEST PRACTICE MODEL TO KEEP AND MANAGE PAPER BASED EMPLOYEE RECORDS
**Part One: Management of human resource records as a strategic resource**

**Section Two: Concept clarification**

**Introduction**

This section provides clarification for the meaning attached to human resource paper records as it is referred to in this model. Following this definition, emphasis is placed on the meaning of human resource record keeping and management functions as being performed within a Provincial Government Department.

The latter includes a description of the roles of the two functions and the accountability framework within which these functions are being performed.

**Defining human resource records**

A human resource record is defined as recorded information of employees in service of a Department. Human resource records arise from transactions or events to meet legislative and regulatory obligations.

The records form part of and/or provide evidence for transactions. There are mainly two types of human resource records in the Public Service, namely paper records and electronic records.

A paper record refers to any document that can be created, received, maintained or used by management or individual employees.

An electronic record refers to any document that is processed; transmitted or manipulated by a computer and is stored by means of computer technology2.

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2The impact of technology on how public servants perform their work is nothing new. For example, the introduction of personal computers which replaced electric typewriters have has totally changed the way in which reports are produced and the role of typists in Government.
This model refers to paper based human resource documents, which are identified in TABLE 2 - Annexure One.

Defining human resource record keeping

Human Resource record keeping is the maintenance of complete, accurate and reliable evidence of all transactions related to human resource records as it provides what was discussed, what decision was taken and by whom.

Human Resource records keeping should be regarded as a key performance area. The responsibility for human resource record keeping should be viewed as the joint and collective responsibility of the respective Human Resource units and line managers. Individual employees have an obligation to provide the record inputs, for example to complete a leave form or to inform the employer if, for example when the physical home address or postal address has changed. Very often, individual employees neglect to fulfil these obligations.

The following are the key advantages of effective human resource record keeping:

1. An effective system enables a department to find information easily. Correctly filed and stored records are easily accessible, and this facilitates to facilitate transparency and improved accountability.

2. The orderly and efficient flow of information enables a department to make informed decisions.

3. Authoritative and reliable records that are created and maintained in an accessible, intelligent and usable manner support the operational and strategic accountability requirements of a department.

4. Efficiency and economy of scale is promoted through the elimination of unnecessary duplication of records.

5. A retention and disposal programme ensures that departments maintain only relevant records.

6. Audits trails over use and movement of files promote accountability.
Defining Human Resource Record Management

Human Resource record Management is a process of ensuring the proper creation, maintenance, use and disposal of human resource records to achieve efficient, transparent and accountable governance.

Sound human resource records management implies that records are managed in terms of a departmental record management programme governed by a departmental record management policy.

Human resource records go through different phases of management namely; existing records (records that are being regularly used); semi-existing records (records that are still required but only at certain time intervals) and archival records (records that are no longer required).

It happens frequently, during external audits of the Office of the Auditor General, that the Office is looking for existing documents which are already filed as semi-existing or archival documents, thus resulting in negative audit results.

Role of human resource record keeping and management

There is no question that policy changes in the Public Service impact profoundly impacts on the keeping and management of human resource records. There have been significant changes over the last decade with respect to methods being used to keep and manage human resource records; the time frame (speed) that line managers expect to receive information; the quality of information that line managers expect and the problems associated with electronic media.

The keeping and management of human resource records in the Public Service has not disappeared but has rather changed to become a dynamic discipline with a very high profile in departments. The creation, management and maintenance of human resource records serve the following key purposes in any democratic Government:

1. It provides durable evidence of employer/employee activities and decisions. Evidence of government decisions and activities enhances accountability and efficiency as it enables government to keep track of what has been done, it forms the basis of a full and accurate knowledge of what had occurred and what has been decided in the past.
It provides an audit trail that is necessary for democratic accountability and transparency.

It protects the legal, financial and other interests of the employer/employee.

It saves the Government money, which could be utilised for delivery of service to poor citizens.

It provides the output data and documents necessary for accountability in terms of the Public Finance Management Act.

Accountability framework of human resource records

The accountability framework for the keeping and management of human resource records is illustrated in Figure 2.

**FIGURE 2 : Accountability framework**
Introduction

The policy framework for employee records refers to legislation, regulations, policies and procedures that provide guidance and assurance to ensure that records are created, managed, used and maintained in support of accountability in the Public Service. Human resource records are subjected to legislative and regulatory control.

The policy framework is on different levels, starting with broader constitutional and related archival legislatory obligations to more specific and narrowly defined human resource management policies, legislation and regulations.

Broader policy framework

The Constitution of the Republic of South Africa (Act 108 of 1996) provides the foundation for effective and efficient public service delivery. Figure 3 illustrates the impact areas of the Constitution on employee record keeping and management (Sections 195(1) and 32(1)(2)).

FIGURE 3: Impact of the Constitution on human resource records

- Governs public administration by democratic values & principles
- Access to information
- Ensure accurate public administration
  - Foster transparency; through timely, accessible and accurate information
  - Everyone has the right of access to any information held by the State
The **Promotion of Access to Information Act** (Act 2 of 2000) gave effect to the constitutional rights, as it obliges government institutions to provide information to citizens on request, whilst protecting personal privacy. It provides access to:

- **Any information held by the State.**
- **Any information that is held by another person and that is required for the exercise or protection of any rights.**

Part 2 (Chapter 4: Section 34) stipulates provisions regarding the protection of privacy.

The Act deals specifically with the following areas:

- **Promote transparency, accountability and effective governance of all public and private bodies.**
- **Promote a human rights culture and social justice, allowing public bodies access to information from private bodies.**
- **Empower & educate everyone to effectively scrutinise & participate in decision-making by public bodies affecting their rights.**
- **Aim to reasonably protect privacy & commercial confidentiality.**

The National Archives of South Africa has been established in terms of the **National Archives of South Africa Act** (Act 43 of 1996) which promotes efficient and effective record management practices in the Public Service. It provides the legal framework according to which record management practices of all government institutions are regulated.

A National Archivist heads the National Archives of South Africa.

Figure 4 illustrates the main areas provided for in the Act.
The National Archive Regulations regulates all matters, which are necessary or expedient to achieve or promote the objectives of the above Act. It deals, inter alia, with the following:

- Rules pertaining to the transfer of records.
- Access control to archive repositories.
- Management of records, including the physical care, loss and destruction of records.

In terms of Section 13 (4) of the National Archives of South Africa Act, the National Archivist issues National Archive Instructions. These instructions (applicable to National Departments and Provincial Government Departments) facilitate the operationalisation of the Act and deals with the following:

- Appointment of records managers.
- Control over records based upon physical possession (safe custody, transferral of records, disposal, etc).
- Storage of records.
Regulate access to records by adhering to conditions e.g. permission is needed to access records for official purposes.

Disposal of records.

Strategies for the appropriate management of electronic records.

Conditions subject to which records may be microfilmed.

Approval and amendment of filing systems for conventional paper records and electronic classification systems.

Requirements for records control schedules.

The National Archives of South Africa Act, 1996 contains two specific provisions regarding electronic record systems, namely that the National Archivist shall determine conditions subject to which electronic systems shall be managed and reproduced (Section 13 (2)(b)(ii) and (iii)). The National Archivist, through the Guide on the Management of Electronic Records in Government, 2000, provides guidance to Government Departments with compliance to the legislative requirements regarding electronic records.

The Department of Public Service and Administration issued an E-Government Policy in 2000 to provide the overall policy framework for intergovernmental electronic interactions (e.g. paperless system & electronic document management; collaborate & support various government spheres to ensure optimal information gathering); on-line services (e.g. pertains to general info on education, culture, health, benefits, tax, etc; creates opportunity for people to have a say in any policy being developed; provide public with opportunity to cite examples of fraud & corruption); as well as electronic business transactions (e.g. manage procurement of goods and services from electronic tender to electronic payment).

Specific legislative and regulatory framework for human resource records

Fundamental policy changes were introduced by the White Paper on Human Resource Management in the Public Service, 1997. The radical policy thrust introduced a fundamental shift from personnel administration to human resource management. This shift is in line with other policy initiatives that changed the Public Service from a process-driven service to one that is focused on service delivery.

Under the former-style personnel administration, resources were managed in terms of compliance with centrally determined rules and
regulations. Senior managers were not taking any responsibility and were not held accountable for human resource management. Personnel components were administrative units that provided no professional guidance to managers. With the transformation, personnel components must take on a professional role of advising and providing guidance with line managers taking responsibility for managing and developing their human resources. As a basis for the shift, the values as described in the Constitution, underpin human resource management, for example accessibility, transparency and accountability, to name but a few.

The **Public Service Act** (Act 103 of 1994 - various Sections), and Chapter 1 Part VII of the **Public Service Regulations**, 2001 define and direct the functional areas that govern human resource management in the Public Service, including employment practices.

The Public Service Act provides for the organisation and administration of the Public Service, the regulation of the conditions of employment, terms of office, discipline, retirement and discharge of members of the Public Service, and matters connected therewith. The Public Service Regulations, 2001 (Chapter 1 Part VII: H), specifically indicates that Heads of Departments must keep a record of each employee and of each post on the approved establishment in accordance with the **National Minimum Information Requirements** (NMIR) issued by the Minister for Public Service and Administration.

In addition, to enable managerial review and oversight, the Regulations (Chapter I/III/J) require that Executing Authorities must publish information annually in a report to the legislature, the media and the public.

The Public Service adapted a **new Management Framework** in July 1999. A key success factor of this framework is the availability of quality of human resource information for purposes of human resource planning, policy development and improved accountability. In order to promote the availability of quality employee information required by managers to give effect to the Management framework, two key policy guidelines with compliance measures were issued in 2000 by the Minister for Public Service and Administration (MPSA), namely:

- **Restoring the integrity of the appointment process.**
- **National Minimum Information Requirements (NMIR).**

The compliance measures in terms of restoring the integrity of the appointment process involved that the following minimum tasks haves to be performed by all human resource units for all appointments; promotions and transfers as from 1 July 2000:
Verification of education certificates through validation of the original certificate as well as validation with the institution that has issued the certificate.

Evaluation of internationally obtained qualifications by the South African Qualification Authority.

Verification that the correct information is supplied regarding the last employer.

Comparison between biological information supplied by the employee and the certified identify document.

Verification of registration to professional bodies if this is a requirement for appointment.

Validation of the level of security clearance in line with the security policy of the department.

Ensure that there is a completed financial disclosure form (only senior managers).

Ensure that there is a completed performance agreement.

The NMIR prescribes the exact human resource information that each Head of Department should keep. This information is required for all employees in the Public Service on or after 1 January 2001. It further prescribes which of the information could be paper based only, and which must be paper based and captured on the PERSAL system.

Thus, compliance to NMIR requires the following three systems to be in place in each provincial department for the performance of human resource planning, management and development functions:

Supportive and appropriate paper based human resource filing system.

Credible and reliable information on the paper documents.

Accurate and up to date capturing on PERSAL.

Section 16 of the Labour Relations Act (Act 42 of 1995) gives Labour Unions the right to access information regarding employees. This emphasis the importance of keeping updated paper based employee records. Section 31 of the Basic Conditions of Employment Act (Act 75 of 1997) requires from the
employer to, inter alia, maintain the following information of employees:

- The employee's name and occupation.
- The time worked by the employee.
- The remuneration paid to an employee. (Section 33 of the abovementioned Act lists the detailed information).
- The date of birth of any employee under 18 years of age.

With regard to the keeping of information related to remuneration of employees, Resolutions of the Public Service Bargaining Council (Numbers 3 of 1999 and 7 of 2000) are applicable.

**Institutional framework**

**National Archives**

The National Archives, headed by the National Archivist, ensures the preservation of public and non-public records for use by the State or citizens. As such, it plays a key role in the approval of record keeping procedure manuals, provision of training in the management of records, setting of standards and formulation of instructions for archive services, prescribing filing systems and promotion of an awareness of archives and records management.

**Department of Public Service and Administration**

The Department ensures the formulation of policy, enactment of legislation and regulations related to the implementation of effective and efficient human resource management in the Public Service and provides assistance to departments on the implementation of these policies.

**National Treasury**

National Treasury oversees the design and maintenance of the transversal computerised systems, including the human resource management system, namely PERSAL. There is a large dependence on outside consultants to fulfil this function. National Treasury is also responsible for the formulation of policy.

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3 In terms of the Act, remuneration is defined as any payment in money or in kind, or both money and in kind, made or owing to any person, including the State. According to this definition remuneration encompasses all benefits and allowances, except allowances enabling an employee to work (for example a subsistence allowance) or any discretionary payments not related to the employee's hours of work or work performance.
and enactment of legislation pertaining to accountability and responsibility in terms of any financial expenditure in departments.

**National and Provincial Departments**

Departments are responsible for the management of human resources, which include the keeping, and management of paper based human resource records in line with the policy and legislative framework. Within each department the following responsibilities are allocated to key role players:

**Human Resource Units**

Human Resource Units are key service providers to managers and supervisors and should operate as professional institutions of excellence in the field of human resource management. The role of a Human Resource Unit is to as follows:

1. **Ensure that human resource systems and procedures are focussed on the strategic objectives of the Department.**

2. **Provide professional advice and guidance to managers on human resource management issues in a pro-active manner in line with the policy frameworks.**

3. **Provide accurate, reliable statistics and information timeously in good time to managers. Managers would use the information for the effective management of human resources in the Department, for example, to undertake human resource planning or to target training and development activities.**

4. **Produce timeously, accurate and up-to-date operational information regarding employees to enable management to make efficient decisions (for example, leave credits).**

5. **Ensure that staff details and movements are changed, appropriately filed and captured without time delays.**

6. **On, at least an annual basis, Validate the correctness of the information on PERSAL annually. The information on PERSAL should be compared with the paper based human resource records. Any deviations must be addressed immediately.**

7. **Ensure that the paper-based records are in line with the requirements of the NMIR.**
Ensure adherence to the measures applicable when new employees are appointed.

Ensure that there is a policy with supportive guidelines and processes in place to keep and manage employee paper records.

**Line Managers**

Line managers should:

1. Take full responsibility for the management of human resources. This includes the management of performance, the development of staff; the taking of disciplinary action; and the management of leave of absence. The abovementioned should be done in such a way that supportive documents are accurately completed and submitted to the Human Resource Unit for record keeping, capturing and establishment of open audit trails.

2. Ensure that all the required authority regarding paper based human resource records have been delegated to relevant managers. This includes clarification between the roles of head offices versus district or institutional offices.

3. Inform new employees of their obligations in terms of submitting accurate paper records and ensure that the Human Resource Unit is informed of any changes (e.g. change of address).

**Employees**

Employees are responsible for the following:

4. Pro-active submission of all required documents in line with the NMIR to the Human Resource Units.

4. Completion of appropriate forms as and when required (e.g. leave forms).

4. Inform the Human Resource Units of any changes in status, for example (for example a change of physical address).

4. Ensure that the designated person within the Department / Administration certifies documents as true copies of the originals.

**Auditing institutions**

Internal Audit Units should undertake regular internal audits to appraise, evaluate and monitor the internal control systems, which include human resource record systems.
The scope of internal audits should also include a verification of information on paper based documents to data captured on transversal systems. In the private sector, such audits are usually undertaken on an annual basis.

The audit should include a validation between the transactions captured on PERSAL against the paper documents on the files of employees.

The Office of the Auditor General undertakes external audits (financial and performance audits)\(^4\) of human resource record keeping and management to determine compliance to the legislative and regulatory framework.

\(^4\)Efficiency, economy and effectiveness
Part Two: Best Practice Model for Human Resource Record Keeping and Management

Section Four: Model for Human Resource Record Keeping and Management

Introduction

The best practice model focuses on the following:

- **Responsibility to adhere to policy requirements.**
- **Characteristics to be included in the policy and record keeping system.**
- **Monitoring, evaluation and compliance.**

Responsibility for Policy Requirements

It is a legal requirement that each Department should have a record management policy and a registry procedure manual (Refer to the Archives Instructions issued in terms of the *National Archives of South Africa Act, 1996* (Act 43 of 1996). This best practice model proposes that:

Each Department has a separate section or chapter in their record management policy and registry procedure manual that deals specifically with the keeping and management of paper based human resource records and ensures that the Records Manager takes full responsibility for the overall record keeping.

Two sub-Sub-Records Managers are appointed: one for general registry and one that takes specific responsibility for the keeping and management of paper based employee records. The latter will report to the Head of the Human Resource Unit in terms of adherence to the human resources institutional and control environment and to the Records Manager of the Department in terms of the archival institutional and control environment.
The following key performance areas should be included in the performance contract of the Sub-Records Manager responsible for employee paper based records:

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<td>Ensure that delegations are in place to promote effective and efficient keeping and management of paper based employee records.</td>
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<td>Oversee compliance of paper based records to NMIR.</td>
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<td>Oversee that information captured on PERSAL CV's are validated against paper based records.</td>
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<td>Overall control of all the activities of the paper based human resource records and the personnel responsible for keeping and maintaining the files.</td>
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<td>Stipulate how human resource records must be classified and stored so that they are easily accessible thereby facilitating accountability.</td>
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<td>Management of service level agreement between human resource record keeping division and the line managers in the Department.</td>
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<tr>
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<td>Provision of training to staff responsible for keeping paper based employee records.</td>
</tr>
</tbody>
</table>

Given the nature of employee records, these records should not be kept in a General Registry, but in separate registry under control of the Sub-Records Manager. The Sub-Records Manager should be on a more senior level than a Registry clerk.
Characteristics to be included in the record keeping system

It is evident that there is and always will be a need for keeping and maintaining paper based human resource records. The questions most frequently asked by human resource professionals are:

"How many files should we keep? For how long? How can we make it easier to retrieve files or place documents on files?"

The following main characteristics were identified for human resource paper records.

- Identification
- Classification
- Track and maintain an audit trail
- Retention disposal & custody
- Storage facilities

Each of the above is defined in terms of the specific objective to be achieved, the proposed system requirements to achieve the stated objective and an indication of minimum service delivery standards\(^5\).

\(^5\)Given the nature of the last characteristic, namely storage facilities, service delivery standards are not applicable.
Identification

Objective
To ensure that the correct files are opened & maintained and that correct documents are kept on these files.

Proposed System Requirements for Information

Human Resources Files - Nature, types and location

- In terms of function 2.1.11 (01) on PERSAL, the following type of different files could exist in respect of a single employee: Personal; Leave; Housing; Merits; Financial; Injury on Duty; Motor Finance; Bursary; Debt; State guarantee and Grievances & Misconduct.

- The type of different files to be opened per employee was assessed against the following criteria:

  - *Is there a different retention period for different documents?*
  - *Who needs to know or see what kind of documents (the so-called "need to know principle")?*
  - *Files can get lost - thus if there is an "one all-inclusive file" it could mean that all records of an employee are lost when such a file goes missing.*
  - *Legal and regulatory requirements.*

- Based on the above criteria, it is recommended that a minimum of four files are opened for each employee on assumption of duty in the relevant department, namely:

  - Personal File • Leave file • Development File • Remuneration File

- Additional files should be opened as and when required, for example for disciplinary matters, bursary; injury on duty matters, etc.
### TABLE 3: Minimum documents that must be kept on files whilst employee is in service

#### Personal file
- Comprehensive appointment documents, namely: the formal, original approval of the appointment by the executing authority or delegated authority; application for employment form; certified proof of previous employment; letter of appointment; letter of acceptance of employment, and the completed employment contract.
- Letter of promotion, secondment or transfer indicating the event type, CORE/Rank, occupational classification, salary code and level, Department, date of entry and of departure.
- Certified copy of identity document / certified copy of passport and work permits (non SA citizens).
- Pay as you earn (PAYE) directive.
- Former staff record card (if still available).
- Union membership documents.
- Letter of service termination indicating the termination type and date.
- Package structuring form (Senior Management only).
- Print out of CV from PERSAL (annually).
- All performance contracts.
- Grievances.

#### Development File
- Certified copies of all formal qualifications. If applicable; approval of the South African Qualifications Authority (international qualifications).
- Certified copies of certificates indicating the type of courses attended.
- Letter of promotion, secondment or transfer indicating the event type, CORE/Rank, occupational classification, salary code and level, Department, date of entry and of departure.
- Letter of performance rewards granted indicating the nature and value of the award as well as the date granted.
- Documents related to the award of bursaries (if a separate bursary file does not exist).
- Competency profile.
- Certified proof of registration to professional bodies if required in terms of employment.

#### Leave file
- Former leave record cards (if they exist).
- Proof of written claims and accompanying proof in respect of leave payouts.
- The form on which the employee has nominated his / her beneficiaries of leave pay outs in the event of death.
- Normal sick leave: Medical certificate from registered medical practitioner in respect of each period of three days or more.
- **Temporary disability leave:**
  Medical certificate from the registered medical practitioner for each period of absence regardless of the duration of the incapacity/illness
  The original report of the medical practitioner in the event where the Head of Department has requested a second opinion
  The memorandum/submission in which the Head of Department has decided on the granting of temporary disability leave
  Record of the findings of the investigation by the Department into the extent and nature of the illness/incapacity

- **Permanent disability leave:**
  A medical certificate from the registered medical practitioner for each period of absence regardless of the duration of the incapacity/illness
  The original report of the medical practitioner in the event where the Head of Department has requested a second opinion
  The memorandum/submission in which the Head of Department has decided on the granting of temporary permanent disability leave
  Record of the findings of the investigation by the Department into the extent and nature of the illness/incapacity

- **Maternity leave:**
  A medical certificate from the medical practitioner
  A medical certificate from the attending practitioner to certify that an employee is fit to return to work prior to the compulsory six weeks maternity leave
  Proof of miscarriage, stillbirth or termination of pregnancy during the third trimester of pregnancy.

- **Adoption leave:**
  Proof of adoption

- **Family responsibility leave:**
  Proof of illness, birth or death. Head of Department must determine the type of proof required for example for example affidavit, an account of the attending doctor, a birth certificate, a funeral letter

- **Special leave:**
  Departments must develop own policy and therefore the kind of documents required will depend on the respective policies for example for example e.g. a copy of an examination roster

**Leave for office bearers/shop stewards:**
- Supporting documents (e.g. letters from the unions)

---

**Remuneration file**

Service bonus; Leave payment advice (in terms of PSCBC Resolution 7 of 2000); Medical Assistance; Home-owner allowance; Motor finance scheme (MFS) for senior employees (*Replaced by car allowance in SMS Flexible remuneration package*); Voluntary severance package; Overtime; Standby allowance; Danger allowances; Transport between residence and work; Official journeys; Accommodation while on official journeys; Camping; Separation allowance; Resettlement; State and other Housing; Clothing for work; Assistance with boarding school and lodging fees; Allowances for personnel serving executing authorities; Sessional assistance; Special recruitment allowance for selected health personnel; Allowance for secretaries to a head of department; Allowance for full-time secretaries to selected judges; Supervision of school hostels; Cryptographic allowance; First-Aid Box allowance; The Antarctic and Gough and Marion Islands; Recognition of long service; Members of the part-time component of the South African National Defence Force; Personal shift allowance; Night shift allowance; Robben Island allowance for Correctional Services; Cash payment for additional qualifications; Employer-initiated retrenchments; Awards and bonuses for performance, innovations or achievement; Grading and remuneration. Documents regarding debt, Documents regarding state guarantee.
**Injury on duty file**

- Documents related to injury on duty indicating the date and nature of the injury.
- Documents related to agreements in terms of compensation for injury on duty.

**Disciplinary file**

- Disciplinary warnings.
- Documents related to misconduct, appeals, grievances (if not on the Personal File) and disputes arising after an appeal and suspensions.

**Human Resource Files - Central filing points**

- The human resource units keep and update files. As human resource files are generally of a confidential nature, they should preferably not be kept in a general registry, but rather in a separate room.

- Remuneration files are usually kept in the finance/salary sections. If the capacity to develop and sustain a proper record keeping system were limited, it would be advisable to consider the keeping of remuneration files together with other employee files. Usually the following role-players exist for the capturing and approval of data on PERSAL:
  
  - **Users who are responsible for the day-to-day processing of transactions on the system.**
  - **Revisers who are responsible for the checking of the correctness of transactions processed by users, as well as the approval thereof on the electronic medium.**
  - **Authorisers who are responsible for the authorising of transactions with financial implications.**

- The majority of transactions on the PERSAL system originate in the human resource unit of a department. As soon as a user (human resource practitioner) has finalised the processing of a transaction on the system, the transaction programmatically writes to the electronic suspense file from where the reviser (supervisor of the user) checks and approves the transaction on the system. The capturing of transactions onto PERSAL by users and the verification thereof by supervisors are done directly from the human resource files. After authorising the transaction from the suspense file, the electronic transaction and salary record will be updated and if, e.g. a payment is to be made, the employee will receive the payment, either by means of her or his normal monthly salary payment or a supplementary payment.
In the majority of the departments the processing of transactions are stopped at the point of approval. The human resource functionary now instructs the salary division of the department, by means of a hand mandate/advice/instruction to make e.g. the payment to an employee. This procedure represents an in-house arrangement and PERSAL cannot interfere. The paperwork generated in this regard can be eliminated if the approval and authorisation functions are allocated to the respective human resource practitioner and salary functionary.

To effectively utilise the functionality referred to, it is advisable that the human resource and salary components integrate and that this integrated unit be established where it is most applicable. Remuneration files can then be kept in the same registry as the other employee records and authorisers of transactions will no longer complain that they are not in possession of any documentation to enable them to authorise transactions.

Such integration will not only promote sound record keeping, it will also improve the effectiveness of the operation of the PERSAL system and it will ease record keeping and reduce the maintenance of manual registers. If departments adopt the functionality that is available, the overall control and management functions of PERSAL can be accommodated in the same component and can even further promote the effectiveness of the PERSAL system. Currently approximately 10% of all Government Departments make use of this functionality.

Human Resource Files - Covers and Volumes

- Titles should be printed in indelible ink. The dates of the first and last correspondence as well as applicable disposal instructions, when available, should be indicated on the file cover.
- Worn covers should be replaced regularly.
- Files should not exceed 3 cm in thickness (approximately 150 folios). On reaching this thickness a file must be closed and a new cover, marked for e.g. Volume 2” should be opened. A sheet of paper with the wording “Closed, see Volume…” should be filed as the last item on the closed volume.
- Closed volumes should be filed at one central point and not in different locations.
Different files of each employee and different volumes should be filed together at one central location. Closed files should not be moved to another building / floor but should be kept close to the current files as they contain documents which can be required for managerial or operational reasons or for internal and external audit purposes.

A standard file cover that is obtainable from the Government Printer should be used (Z20).

Inscriptions and numbers on file covers should be neat and clearly legible. Broad drawing pens and stencils can be used for this or the particulars can be typed on the cover.

A backing card with a paper fastener and a washer is placed in the cover to hold correspondence firmly in place. A self-piercing type of paper-fastener of about 5 cm in length is pushed through the top left-hand corner of the backing card some 4 cm from the top and side. The paper fastener is pushed through the backing card only and not through the cover since this will cause files to stick together, damaging them.

Minimum Service Delivery Standards

Each employee must have at least the minimum of the four files, namely Personal File, Leave file; Development File; Remuneration File.

Each personal file must contain comprehensive employment documents.

There should never be any documents filed incorrectly either in terms of the particular individual to which the documents refer or the type of file.
Classification

Objective
To facilitate the systematic keeping of files.

Proposed System Requirements for Classification

Logical order of placement of files

1. The following criterion has been applied:

   Ease of Retrieval and Ease of Use are equally important.

2. Files should be kept either alphabetically according to surnames, or numerically according to the PERSAL number. The latter is preferred based on experiences when the model was piloted. For example, there are many cases where employees did not change their surnames when their marital status changed.

3. If an office keeps the files for different institutions e.g. schools or hospitals (decentralised departments - mainly Education, Health, Welfare, Agriculture and Public Works), the files of each institution should be kept separately.

Numbering of filing cabinets

1. Shelves where records are kept should be numbered labelled alphabetically for example i.e. A, B, C. In cases where the shelves exceed 26 rows, the shelves should be numbered labelled firstly alphabetically, and then numerically i.e. for example A1, A2, A3.
Tracking the removal of files from registry and folio's

- A Human Resources (HR) Document Control Register should be used. Table 4 provides an example of the proposed Human Resources (HR) Document Control Register.

- Directly, from PERSAL, an EXCEL spreadsheet could be extracted containing the following columns and information:
  - Former salary number (important - as many of the backlog forms only contain the former salary numbers)
  - Existing PERSAL number
  - Surname of employee
  - Initials of employee

- Load Excel spreadsheets on PC in registry: Go to File: Open: A/File save as: My documents: HR Document Control Register (The spreadsheet will be known as the HR Document Control Register)

- Sort the HR Document Control Register as follows:
  - Select (highlight) all columns with data (not headings)
  - Click on “data” icon
  - Click on “sort” icon
  - Select column A to sort numerically per PERSAL number
  - Select “Ascending” order
  - Click on “OK”

- Indicate the number of the shelves where files are kept on the HR Document Control Register.

---

Although the tracking of files is a function which could be performed on PERSAL, given the number of times that PERSAL is not on line and the number of PERSAL workstations available in decentralised offices, the HR Document Control Register designed on EXCEL is proposed. Using the HR Document Control Register on EXCEL will also mean that registry clerks do not need any PERSAL training or PERSAL workstations.
TABLE 4 : Example of Human Resource Document Control Register

<table>
<thead>
<tr>
<th>PERSAL</th>
<th>Former SALARY Number</th>
<th>Surname</th>
<th>Init</th>
<th>Shelf No.</th>
<th>Type, Volume and Folios</th>
<th>Person</th>
<th>Date out/ transferred</th>
<th>Date in</th>
</tr>
</thead>
<tbody>
<tr>
<td>80011564</td>
<td>512361</td>
<td>Petje</td>
<td>AP</td>
<td>A8</td>
<td>200 folios Leave File Volume 1</td>
<td>Modipa</td>
<td>12/01/01</td>
<td></td>
</tr>
</tbody>
</table>

① Typical organisational configurations in the Public Service are as follows:

- **Remote Offices e.g. a clinic often with no executing powers and inadequate infrastructure.**
- **District offices / sub regional offices often with limited executing powers and inadequate infrastructure.**
- **Regional offices / Hospitals that often only execute minor delegations with an improved infrastructure (in certain cases regional offices and hospitals are responsible for all aspects pertaining to human resource management).** Head offices responsible for all aspects pertaining to human resource management and the execution of all departmental delegations and usually provided with an adequate infrastructure.

① In components where human resources functionaries are empowered to fully execute delegations, the finalising of human resource functions are dependent on a number of role players, which means that human resource files flow from the clerk to the supervisor and again to the person responsible for exercising the delegation. In such a case it is advisable that each employee in the hierarchy takes full responsibility for completion of the audit trail form.

① The HR Document Control Register should be loaded on a personal computer in the human resource record keeping registry and updated in this registry. It is advisable that backup is also made and where possible it should be saved on a server.

**Numbering of folios**

① Each folio (not documents but folios), must be allocated a control number before the document is filed - start with 1, using a red pen on the top right hand corner of the page.

① Table 5 indicates the authorised persons/institutions that could request employee files.
### TABLE 5: Access to Human Resource files

<table>
<thead>
<tr>
<th>Type of file</th>
<th>Authorised persons/institutions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Personal file</strong></td>
<td>Relevant line manager</td>
</tr>
<tr>
<td></td>
<td>Employees in the human resource unit</td>
</tr>
<tr>
<td></td>
<td>Employees in the internal audit unit</td>
</tr>
<tr>
<td></td>
<td>Employees of external audit institutions</td>
</tr>
<tr>
<td><strong>Leave file</strong></td>
<td>Relevant line manager</td>
</tr>
<tr>
<td></td>
<td>Human resource unit</td>
</tr>
<tr>
<td></td>
<td>Internal audit unit</td>
</tr>
<tr>
<td></td>
<td>External audit unit</td>
</tr>
<tr>
<td><strong>Development file</strong></td>
<td>Relevant line manager</td>
</tr>
<tr>
<td></td>
<td>Human resource management and/or development unit</td>
</tr>
<tr>
<td><strong>Remuneration File</strong></td>
<td>Relevant line manager</td>
</tr>
<tr>
<td></td>
<td>Salary section (if mandate is not located within human resource unit)</td>
</tr>
<tr>
<td></td>
<td>Human resource unit</td>
</tr>
<tr>
<td></td>
<td>Internal audit unit</td>
</tr>
<tr>
<td></td>
<td>External audit institutions</td>
</tr>
<tr>
<td><strong>Disciplinary file</strong></td>
<td>Relevant line manager</td>
</tr>
<tr>
<td></td>
<td>Labour relations unit or persons dealing with misconduct</td>
</tr>
<tr>
<td></td>
<td>Human resource unit</td>
</tr>
<tr>
<td><strong>Injury on duty file</strong></td>
<td>Relevant line manager</td>
</tr>
<tr>
<td></td>
<td>Human resource unit</td>
</tr>
<tr>
<td><strong>Other files e.g. Bursary files</strong></td>
<td>Relevant line manager</td>
</tr>
<tr>
<td></td>
<td>Human resource unit</td>
</tr>
<tr>
<td></td>
<td>Salary section (if mandate is not located within human resource unit)</td>
</tr>
</tbody>
</table>
**Minimum Service Delivery Standards**

1. Files for new employees (from outside the Public Service) must be opened on the first day of assumption of duty.

2. Files of employees transferred within the Public Service must be available in the human resource records registry within one calendar month after the new employee joined the new Department.

3. The Human Resource Document Control register must be updated on a daily basis.

4. Each and every folio, before being filed, must be assigned a sequential number.

5. All loose forms submitted must be filed within one working day that the forms were received in registry (this is obviously after, and not before the capturing onto PERSAL has been completed).
Tracking and maintenance of an audit trail

Objective
To ensure strict, but efficient access and retrieval of human resource records for operational, managerial and audit purposes, prevention of removal of documents and audit trail of the use of records.

Proposed System Requirements for Tracking and Maintenance of an Audit Trail

Tracking of files and folios

- The following columns should always be updated on the HR Document Control Register:
  - **Files opened (e.g. Personal file)**
    - Number of volumes
    - Number of folios on each volume
  - **Movement of Files** (every always delete this information when both transactions were completed and a new person is requesting the files)
    - Surname and initials of person requesting file
    - Date taken and date received
  - **Transfer of files**
    - Reason for transfer
    - Name of Department to which files were transferred
    - Date and authority reference for transfer of files

Files: New employees

- As soon as a new employee joins a department and files have been opened the details should be added on the HR Document Control Register. Thus the HR Document Control Register serve the following purposes:
  - Inventory of all master files
  - Tracing of files (Edit, Find, Insert any details for example for example e.g. PERSAL number)
Movement of files to other locations, for example to another Department

**Movement of files**

1. Before files are given to a person and when a file is returned the following should be verified:

   **Number of folios on files vis-à-vis the HR Document Control Register**

   1. Missing and lost files should be reported in writing to the Accounting Officer immediately when discovered, in writing and temporary files should be opened two working days after noticing that the file is missing. If a missing file is located, the documentation on the temporary file must be placed on the original file and the temporary file must be destroyed.

**Audit trail on access to files**

1. Inside each file an the following audit trail form must be placed. Table 6 provides an example of an audit trail form.

   **TABLE 6 : Example of an Audit Trail Form**

<table>
<thead>
<tr>
<th>Surname and Designation</th>
<th>PERSAL number</th>
<th>Reason</th>
<th>Date taken</th>
<th>Date forwarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initials</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

   1. The purpose of the audit trail form is to establish an institutional memory on who consulted the file of an employee. Each and every employee in the hierarchy using the file must complete the form.

   1. The same procedure should be applicable to external and internal auditors.

   1. Registry staff should draw and hand over files to officials instead of the latter helping themselves.

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7Again this is a function that could be performed on PERSAL. However, given the limited time on line, limited number of workstations and training of registry staff, it is recommended that the paper-based practice be followed. The majority of departments make use of a card system.
How to find a file or file a folio on a file

1. Go to HR Document Control Register.
2. Select Edit : Find : enter any data, for example for example e.g. PERSAL number.
3. HR Document Control Register will indicate where the file is kept - you can either immediately retrieve the file or write the cabinet drawer-number on top of the folio if retrieval will take place at a later stage.
4. Remove file and file document or make file available on request.

Minimum Service Delivery Standards

1. Human resource registry section must at all times be able to account for any file, document or folio.
2. It must not take longer than 5 five minutes to trace a file following the use of the Human Resources Document Control Register.
3. The Human Resources Document Control Register must be updated immediately when an individual requests a file and /or return a file.
4. The physical placement of files must correspond to the indication on the Human Resources Document Control Register.
5. Action must be taken to follow up if a file is not returned within five workdays. If an employee fails with no bona fide reason to return a file within five workdays, such an employee must be reported to the Accounting Officer of the Department.
6. All employees in the hierarchy consulting or using a file must complete audit trail forms.
Retention;, disposal and custody

Objective
To demonstrate that records that are no longer required for operational, managerial or audit purposes are destroyed according to agreed procedure within the legal and regulatory environment requirements.

Proposed System Requirements for Retention; Disposal and Custody

Removal of documents or folios

1. No document or folio on the file of an existing employee may be permanently removed or destroyed, except for written warnings that must be destroyed after a specific period.

2. When an employee resigns, the files are closed and kept separately. Thereafter, with the written approval of the Accounting Officer of the Department, and in line with the National Archives Circular (1/87 Directive D); ), the personal files can be destroyed provided that staff records on PERSAL are fully updated. In respect of other employee files (other than the personal files), disposal authority should be requested from National Archives in line with the procedures set out in the Archive Instructions.
Minimum Service Delivery Standards

1. Files of employees that retired or resigned (and there are no state guarantees; bursaries or any compensation in terms of injury on duty applicable) should be closed and sealed within one calendar month after retirement or resignation date.

2. Files of employees that retire or resigned (and there are state guarantees; bursaries or any compensation in terms of injury on duty applicable) should be closed and sealed within three months after retirement or resignation date.

3. Injury on duty files of any employee where compensation was agreed on, should not be closed or destroyed.

4. Files of employees who resigned or retired from the Public Service should be retained for a minimum period of one year. The HR Document Control Register must be updated on a daily basis.

5. The Records Manager should report missing and lost files to the Accounting Officer of the Department immediately when discovered; and temporary files should be opened two working days after notification of a missing file.
Storage facilities

Objective
To ensure appropriate storage conditions for the protection, accessibility and management of files in a cost-effective but secure manner

Proposed System Requirements for Storage Facilities

Separate human resource records registry

- Each Department has a separate registry where human resource records are kept. Allocate a single spacious room - a registry should not be spread out into various offices.

- There must be two different filing sections, namely:
  - Files of existing employees (open and closed files)
  - Files of former employees

Storage systems

- There must be sufficient number of shelves or cabinets:
  - **Movable Shelving:** Considered as the most space efficient system as it limits the need for aisles.
  - **Vertical Carousel:** Considered as the most efficient if ceiling space is limited.
  - **Horizontal Carousel:** Considered as the most cost effective for a high activity filing room.
  - **Open faced Shelving:** Considered as the most cost effective of all systems. The open design makes it easy to find and retrieve records.

- If open shelves are used, files should be kept in a Versal-file box. PERSAL numbers of employees shall be indicated on the outside of Versal-file box.

- If drawer cabinets are used, files should be placed in folders. PERSAL numbers of employees shall be indicated on the outside of each folder.
Infrastructure and equipment

- The registry work area must be separated from the entrance by a counter to prevent the entry of unauthorised visitors but also to use for serving of clients (this can also be a desk that is used as a serving counter).
- There must be a door that can be locked.
- Ideally there must not be windows but if there are windows, there should be security bars for increased security.
- There must be a Personal Computer with EXCEL software.

Fire and floods

- Fire safety measures must include a fire protection system; strictly no lighting of matches, and fire extinguishers must be in the room where the files are kept.
- Storage of inflammable material or cleaning solutions in registries must be is strictly forbidden.
- Ensure that roof leaks, leaks in water pipes, etc. are traced in time and repaired before damage can be done to the records.
- Ensure that the registry is free of pests and plagues - officials who notice fish moths, cockroaches', etc. in any area in the registry, must immediately report the matter to the Records Manager.
- Lights must be switched off whenever nobody is present in the area. The lights between the shelves must similarly be switched off whenever files are not being filed or withdrawn.
- If records are stored in a basement, the potential of flood damage must be assessed and appropriate preventative measures taken.
- Environmental controls must be in place to regulate temperature, humidity and lighting.
Monitoring, evaluation and compliance

Objective
The keeping and management of human resource records in line with the proposed requirements should be monitored on a regular basis.

- There should be an annual agreed programme for monitoring. The focus should be on systematic inspections by the Sub-Records Manager against the system requirements agreed to.

- Outcome of monitoring should be documented to provide evidence of compliance with the policy and institutional framework adopted by the Department.

- Monitoring should not be confused with audits or inspections of the internal or external auditors.

The following areas of monitoring are recommended, selecting a sample of at least 35% of the files:

- Compliance of paper based records in line with characteristics included in record management policy.

- Validation between paper-based records and data captured on the PERSAL CV's.

- Validation of HR Document Control Register to location of files on shelves, number of files and folios on files.

- Inspection of security requirements and an annual fire inspection and drill should take place.

- Adherence to service level standards and service level agreement.
Part Three: Assessment Tool
Section Five: Assessment to Determine Effective, Efficient and Accountable Keeping and Management of Human Resource Records in the Department

Introduction

The assessment tool focuses on measurement in terms of the following:

- Keeping of paper based records in line with characteristics outlined in the model.
- Adherence to policy and institutional framework.

The following key performance areas are being measured, namely:

- Policy and institutional framework.
- Integrity of human resource data and information.
- Record keeping system.
- Storage requirements.
Assessment tool

Application of the assessment tool

Steps to follow when using the tool

Process Requirements

1. Follow an open and transparent process.
2. Try to involve all the staff in the human resource unit and line managers.
3. Be objective and use a sample of files - it will not be possible to verify every file (in bigger Departments use at least a sample of 5% of the total files).
4. Where answers cannot be objectively measured, validate your answer in the following ways:
   a. Compare the outcome of recent external audit reports.
   b. Ask the opinion of line managers in the Department.

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“...The term intervention has traditionally been used by professional counsellors, to mean a purposeful confrontation intended to get individuals to accept responsibility for their actions and change their behaviour. The term was first adopted by training and development professionals after Barry Booth and Odin Westgaard used it at a national conference in 1979. The term soon began appearing in professional journals in reference to solutions other than training (specifically, job aids) that were aimed at improving performance.” (Hale, J. 1998. The Performance Consultant's Field book : Tools and Techniques for Improving Organisations and People. San Francisco: Jossey-Bass Pheiffer).
<table>
<thead>
<tr>
<th>Ref</th>
<th>Assessment Criteria</th>
<th>Yes</th>
<th>No</th>
<th>Limited</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1</td>
<td>Do you have specific written policy for the keeping and management of all employee paper based records?</td>
<td>0</td>
<td>2</td>
<td>NA</td>
<td></td>
</tr>
<tr>
<td>A2</td>
<td>Is the policy referred to in A1, in line with and / or does it make provision for indicators as included in the following legislation; regulations and policies:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A2/1</td>
<td>Constitution of the Republic</td>
<td>0</td>
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<tr>
<td>A2/2</td>
<td>Promotion of Access to Information</td>
<td>0</td>
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<td>A2/3</td>
<td>National Archives of South Africa</td>
<td>0</td>
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<td>NA</td>
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<td>A2/4</td>
<td>National Archives Instructions</td>
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<td>A2/5</td>
<td>White Paper on Human Resource Management</td>
<td>0</td>
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<td>A2/6</td>
<td>Public Service Act</td>
<td>0</td>
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<td>A2/7</td>
<td>Public Service Regulations</td>
<td>0</td>
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<td>A2/8</td>
<td>National Minimum Information Requirements</td>
<td>0</td>
<td>2</td>
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<tr>
<td>A2/9</td>
<td>Integrity of the appointment Process</td>
<td>0</td>
<td>2</td>
<td>NA</td>
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<td>A2/10</td>
<td>Labour Relations Act</td>
<td>0</td>
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<td>A2/11</td>
<td>Basic Conditions of Employment Act</td>
<td>0</td>
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<td>A2/12</td>
<td>Resolutions of the Public Service Bargaining Council</td>
<td>0</td>
<td>2</td>
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<tr>
<td>A3</td>
<td>Is there a dedicated Records Manager (sub record manager) that takes specific responsibility for the keeping and management of paper based employee records?</td>
<td>0</td>
<td>2</td>
<td>NA</td>
<td></td>
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<tr>
<td>A4</td>
<td>Do you have a written procedure manual for the keeping and management of all employee paper based records?</td>
<td>0</td>
<td>2</td>
<td>NA</td>
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<tr>
<td>A5</td>
<td>Is the policy clear on the roles of the following role-players :</td>
<td></td>
<td></td>
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<tr>
<td>A5/1</td>
<td>National Departments (Archives; DPSA, National Treasury)</td>
<td>0</td>
<td>2</td>
<td>NA</td>
<td></td>
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<tr>
<td>A5/2</td>
<td>Provincial Treasury</td>
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<td>NA</td>
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<td>A5/3</td>
<td>Office of the Premier</td>
<td>0</td>
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<tr>
<td>A5/4</td>
<td>Human resource units in the Department</td>
<td>0</td>
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<td>NA</td>
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<tr>
<td>A5/5</td>
<td>Line managers in the Department</td>
<td>0</td>
<td>2</td>
<td>NA</td>
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<td>A5/6</td>
<td>Employees</td>
<td>0</td>
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<td>NA</td>
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<td>A5/7</td>
<td>Internal Audit units</td>
<td>0</td>
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<td>NA</td>
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<tr>
<td>A6</td>
<td>Are delegations in place to support sound keeping and management of employee paper based records?</td>
<td>0</td>
<td>2</td>
<td>NA</td>
<td></td>
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<tr>
<td>A7</td>
<td>Do the procedures for paper based employee records include clarity on the flow of</td>
<td>0</td>
<td>2</td>
<td>NA</td>
<td></td>
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<tr>
<td>Ref</td>
<td>Assessment Criteria</td>
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<td>No</td>
<td>Limited</td>
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<tr>
<td>A8</td>
<td>Are line managers fully aware of the human resource paper based record keeping policy and procedures?</td>
<td>0</td>
<td>2</td>
<td>NA</td>
<td></td>
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<tr>
<td>A9</td>
<td>Do you, on a regular basis, inform line managers and employees of their roles and share the policy document with them?</td>
<td>0</td>
<td>2</td>
<td>NA</td>
<td></td>
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<tr>
<td>A10</td>
<td>Do line managers fulfil their responsibilities in terms of orientating employees to their obligations regarding paper based human resource records?</td>
<td>0</td>
<td>2</td>
<td>1</td>
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<tr>
<td>A11</td>
<td>Are employees keeping to their obligations in terms of completion and submission of paper based human resource records?</td>
<td>0</td>
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<tr>
<td>A12</td>
<td>Do the policy statement and supportive processes include information on appointment of staff is validated?</td>
<td>0</td>
<td>2</td>
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<tr>
<td>A13</td>
<td>Do you have guidelines in the policy on the kind of information / documents to be kept on each file?</td>
<td>0</td>
<td>2</td>
<td>NA</td>
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<tr>
<td>A14</td>
<td>If yes, are these in line with the NMIR?</td>
<td>0</td>
<td>2</td>
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<tr>
<td>A15</td>
<td>Are there any service standards for the keeping and management of paper based employee records?</td>
<td>0</td>
<td>2</td>
<td>NA</td>
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</tr>
<tr>
<td>A16</td>
<td>If yes in A15, are the service standards monitored?</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td></td>
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<tr>
<td>A17</td>
<td>If yes in A16, do you take corrective actions if standards are not adhered to?</td>
<td>0</td>
<td>2</td>
<td>1</td>
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<tr>
<td>A18</td>
<td>If yes in A17, do the corrective actions include training?</td>
<td>0</td>
<td>2</td>
<td>1</td>
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<tr>
<td>A19</td>
<td>If yes in A18, do the corrective actions include disciplinary actions?</td>
<td>0</td>
<td>2</td>
<td>1</td>
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<tr>
<td>A20</td>
<td>Is there a service level agreement between line managers and the human resource unit in terms of roles and responsibilities for the keeping and management of paper based employee records?</td>
<td>0</td>
<td>2</td>
<td>NA</td>
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**Total score**
<table>
<thead>
<tr>
<th>Ref</th>
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<th>Number</th>
<th>% of total number of employees</th>
<th>Score</th>
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<tbody>
<tr>
<td>B1</td>
<td>Adherence of Personal files to NMIR?</td>
<td></td>
<td></td>
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<tr>
<td>B1/1</td>
<td>How many have Application Forms (Z83)?</td>
<td></td>
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<tr>
<td>B1/2</td>
<td>How many have certified copies of Identity Documents?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>B1/3</td>
<td>How many have information regarding union membership?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B1/4</td>
<td>How many have appointment letters?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B1/5</td>
<td>For how many of the staff do the details on the appointment letter correspond with the details captured on PERSAL?</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>B2</td>
<td>Adherence to training and development requirements? (this could be on Personal Files or Development Files)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B2/1</td>
<td>How many have certified copies of formal qualifications?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>B2/2</td>
<td>How many have certified copies of courses attended in the last five years?</td>
<td></td>
<td></td>
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<tr>
<td>B2/3</td>
<td>How many of the qualifications have been verified?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B3</td>
<td>Adherence to leave :</td>
<td></td>
<td></td>
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<tr>
<td>B3/1</td>
<td>How many leave files have certificates and/or documents validating the calculated capped leave?</td>
<td></td>
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<tr>
<td>B3/2</td>
<td>How many of the staff who have been employed in the Public Service for at least 5 years have less than 10 leave forms filed on the file?</td>
<td></td>
<td></td>
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<tr>
<td>B4</td>
<td>How many employees have personal files (temporary files cannot be regarded as a personal file)?</td>
<td></td>
<td></td>
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<tr>
<td>B5</td>
<td>How many employees have leave files (temporary files cannot be regarded as a leave file)?</td>
<td></td>
<td></td>
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<tr>
<td>B6</td>
<td>How many personal files have the comprehensive appointment documents?</td>
<td></td>
<td></td>
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<tr>
<td>B7</td>
<td>How many personal files have certified copies of Identify Documents?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ref</td>
<td>Assessment Criteria</td>
<td>Yes</td>
<td>No</td>
<td>Limited</td>
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<td>---------------------------------------------------------------</td>
<td>-----</td>
<td>----</td>
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<tr>
<td>B10</td>
<td>Do you undertake regular monitoring to ensure compliance to the NMIR?</td>
<td>0</td>
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**Sub total: Integrity of Human Resource paper records**

**Total score**

**Rating scale to apply**

- 0% = 6 points
- 01% - 20% = 5 points
- 21% - 40% = 4 points
- 41% - 60% = 3 points
- 61% - 80% = 2 points
- 81% - 100% = 1 points
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<th>Ref</th>
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<th>Seldom</th>
<th>Often</th>
<th>No</th>
<th>Total</th>
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<tbody>
<tr>
<td>C1</td>
<td>Are there proper arrangements in place regarding who is authorised to request employee files?</td>
<td>0</td>
<td>NA</td>
<td>NA</td>
<td>3</td>
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<tr>
<td>C2</td>
<td>Does the record filing system makes it easy to find a file?</td>
<td>0</td>
<td>NA</td>
<td>NA</td>
<td>3</td>
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<tr>
<td>C3</td>
<td>Is it easy to retrieve records?</td>
<td>0</td>
<td>NA</td>
<td>NA</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>C4</td>
<td>Are shelves visibly numbered?</td>
<td>0</td>
<td>NA</td>
<td>NA</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>C5</td>
<td>Are all loose folios on files numbered?</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>C6</td>
<td>Do you keep records of the number of folios on a file?</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
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<tr>
<td>C7</td>
<td>Are all loose forms filed on a daily basis?</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
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<tr>
<td>C8</td>
<td>Are there piles of loose forms (backlogs) not filed?</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>0</td>
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<tr>
<td>C9</td>
<td>Do you have negative external audit findings indicating that all the relevant documents were on the file of an employee?</td>
<td>0</td>
<td>NA</td>
<td>NA</td>
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<tr>
<td>C10</td>
<td>Does the record keeping system effectively track when documents are removed from a file?</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
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<tr>
<td>C11</td>
<td>Does the record keeping system effectively track when files are taken from registry?</td>
<td>0</td>
<td>1</td>
<td>2</td>
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<tr>
<td>C12</td>
<td>Does the record keeping system effectively track the number of folios on the file?</td>
<td>0</td>
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<tr>
<td>C13</td>
<td>Does the record keeping system effectively track the filing of new documents on files?</td>
<td>0</td>
<td>1</td>
<td>2</td>
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<tr>
<td>C14</td>
<td>Does the record keeping system effectively maintain tracking aids to locate files?</td>
<td>0</td>
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<td>2</td>
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<tr>
<td>C15</td>
<td>Does the record keeping system effectively maintain tracking aids to retrieve records?</td>
<td>0</td>
<td>1</td>
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<td>3</td>
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<tr>
<td>C16</td>
<td>Is there protection against unauthorised viewing or destruction of records?</td>
<td>0</td>
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<tr>
<td>C17</td>
<td>Are appropriate access controls assigned to users of</td>
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<td>Often</td>
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<tr>
<td>C18</td>
<td>Does the record system regulate who is permitted access to records and under what circumstance?</td>
<td>0</td>
<td>1</td>
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<tr>
<td>C19</td>
<td>Does the record keeping system track when records are transferred to intermediate storage in the department?</td>
<td>0</td>
<td>1</td>
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<tr>
<td>C20</td>
<td>Does the record system provide audit trails?</td>
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<tr>
<td>C21</td>
<td>Does the record system provide clear links to the files?</td>
<td>0</td>
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<tr>
<td>C22</td>
<td>Does the record keeping system track when documents are removed for destruction?</td>
<td>0</td>
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<td>2</td>
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<td>C23</td>
<td>Does the system record what records have been transferred, when and how?</td>
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<tr>
<td>C24</td>
<td>Do you report missing files?</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
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<tr>
<td>C25</td>
<td>Do you report missing folios?</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
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<tr>
<td>C26</td>
<td>Is there compliance to the archive instructions?</td>
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<tr>
<td>C27</td>
<td>Can records be transferred without authorised written approval?</td>
<td>0</td>
<td>1</td>
<td>2</td>
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<tr>
<td>C28</td>
<td>Is there any monitoring system to ensure that the record keeping system complies with legislation and regulations related to disposal?</td>
<td>0</td>
<td>1</td>
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<tr>
<td>C29</td>
<td>Is the staff aware of transfer requirements?</td>
<td>0</td>
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<tr>
<td>C30</td>
<td>Can the record system easily identify records that are eligible for transfer?</td>
<td>0</td>
<td>NA</td>
<td>NA</td>
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<tr>
<td>C31</td>
<td>Can the record keeping system easily identify records that are eligible for destruction?</td>
<td>0</td>
<td>NA</td>
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<tr>
<td>C32</td>
<td>Is there a systematic disposal programme?</td>
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<tr>
<td>C33</td>
<td>Is there a record of files or documents that were destroyed?</td>
<td>0</td>
<td>NA</td>
<td>NA</td>
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<tr>
<td>C34</td>
<td>Can records be destroyed without the approval in writing of an authorised person</td>
<td>0</td>
<td>NA</td>
<td>NA</td>
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<tr>
<td>C35</td>
<td>Are there many closed files of staff whose services were terminated more than three years ago in the registry?</td>
<td>0</td>
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**Total score**
<table>
<thead>
<tr>
<th>Ref</th>
<th>Assessment Criteria</th>
<th>Yes</th>
<th>No</th>
<th>Score</th>
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</thead>
<tbody>
<tr>
<td>D1</td>
<td>Is there adequate (large enough) storage facility for files?</td>
<td>0</td>
<td>1</td>
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<tr>
<td>D2</td>
<td>Does the storage facility comply to the following minimum standards:</td>
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<td></td>
<td></td>
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<tr>
<td>D2/1</td>
<td>Adequate shelving</td>
<td>0</td>
<td>1</td>
<td></td>
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<tr>
<td>D2/2</td>
<td>Adequate work space</td>
<td>0</td>
<td>1</td>
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<tr>
<td>D2/3</td>
<td>Lock up facilities</td>
<td>0</td>
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<tr>
<td>D2/4</td>
<td>Smoke detector</td>
<td>0</td>
<td>1</td>
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<tr>
<td>D2/5</td>
<td>Fire extinguisher</td>
<td>0</td>
<td>1</td>
<td></td>
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<tr>
<td>D2/6</td>
<td>Locks on main door</td>
<td>0</td>
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<tr>
<td>D2/7</td>
<td>Air conditioner</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>D2/8</td>
<td>Clean and tidy</td>
<td>0</td>
<td>1</td>
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</tr>
<tr>
<td>D2/9</td>
<td>Pest free</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>D2/10</td>
<td>Adequate file cabinets</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>D2/11</td>
<td>Bars on windows</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>D2/12</td>
<td>Is there a separating counter to prevent the entry of unauthorised visitors?</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>D2/13</td>
<td>Are there suitable storage facilities for closed files?</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>D2/14</td>
<td>Are there suitable storage facilities for archive files?</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>D2/15</td>
<td>Are paper records identified and protected against disaster?</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>D2/16</td>
<td>In the event of fire, floods or other natural disasters, are there procedures for safeguarding records storage areas in the building?</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>D2/17</td>
<td>Are there regular inspections of the security requirements?</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>D2/18</td>
<td>Are there regular fire inspections and drill exercises?</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>D2/19</td>
<td>Is there sufficient stationery in the registry?</td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

**Total score**
## Assessment outcomes

Completion of Score card

<table>
<thead>
<tr>
<th>Measurement in terms of areas that require interventions</th>
<th>Scores</th>
<th>Compliance</th>
<th>Non compliance</th>
<th>Partial compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy</td>
<td>0</td>
<td>8 +</td>
<td>2 - 7</td>
<td></td>
</tr>
<tr>
<td>Integrity of data</td>
<td>16</td>
<td>32+</td>
<td>16 - 32</td>
<td></td>
</tr>
<tr>
<td>Effective and efficient registry system</td>
<td>0</td>
<td>24+</td>
<td>1 - 24</td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>0</td>
<td>1+</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Annexure One : TABLE 2 : Human resource documents per main category

<table>
<thead>
<tr>
<th>Biographical information of all employees in service on the Personal File:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Application for employment form (Z83).</td>
</tr>
<tr>
<td>• Certified copy of Identity Document or Passport to indicate the surname, initials, first names, date of birth and Identity Number of employee.</td>
</tr>
<tr>
<td>• Information related to Union membership.</td>
</tr>
<tr>
<td>• Workplace information.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Occupational and salary information on the Personal File:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Letter of appointment to indicate the date of appointment to current post, nature of appointment, salary code and level, Code of Remuneration (CORE), post on the approved establishment, occupational group and appropriate Appointment Act.</td>
</tr>
<tr>
<td>• Appointment contract.</td>
</tr>
<tr>
<td>• Acceptance of employment offer</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Education, Training and Development Information on the Development File:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Certified copies of all formal qualifications.</td>
</tr>
<tr>
<td>• If applicable; approval of the South African Qualifications Authority (SAQA).</td>
</tr>
<tr>
<td>• Certified copies of certificates indicating the type of courses attended.</td>
</tr>
<tr>
<td>• Certified copies of registration to professional bodies.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Education, Training and Development Information on the Development File:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Any documents pertaining to movement of staff (i.e. promotion, secondment or transfer).</td>
</tr>
<tr>
<td>• Letter of service termination indicating the termination type and date.</td>
</tr>
<tr>
<td>• Documents related to performance rewards granted indicating the nature and value of the award as well as the date granted.</td>
</tr>
</tbody>
</table>
Injuries on duty on the Injuries on Duty File:

Documents related to an injury on duty indicating the date and nature of the injury and compensation provided, if any.

Disciplinary matters on the Disciplinary File:

All documentation related to misconduct, appeals, and disputes arising after an appeal and suspensions.

Leave on the Leave File:

Leave form (Z1) for any type of leave.
Proof of written claims and accompanying proof in respect of leave pay-outs.
The form on which the employee has nominated his/her beneficiaries of leave pay-outs in the event of death.
Normal sick leave: Medical certificate from registered medical practitioner in respect of each period of three days or more.

Temporary disability leave:
- Medical certificate from the registered medical practitioner for each period of absence regardless the duration of the incapacity/illness.
- The original report of the medical practitioner in the event where the Head of Department has requested a second opinion.
- The memorandum/submission in which the Head of Department has decided on the granting of temporary disability leave.
- Record of the findings of the investigation by the Department into the extent and nature of the illness/incapacity.

Permanent disability leave:
- A medical certificate from the registered medical practitioner for each period of absence regardless of the duration of the incapacity/illness.
- The original report of the medical practitioner in the event where the Head of Department has requested a second opinion.
- The memorandum/submission in which the Head of Department has decided on the granting of temporary disability leave.
- Record of the findings of the investigation by the Department into the extent and nature of the illness/incapacity.

Maternity leave:
- A medical certificate from the medical practitioner.
- A medical certificate from the attending practitioner to certify that an employee is fit to return to work prior to the compulsory six weeks maternity leave.
- Proof of miscarriage, stillbirth or termination of pregnancy during the third trimester of pregnancy.
Adoption leave:
- Proof of adoption.

Family responsibility leave:
- Proof of illness, birth or death. Head of Department must determine the type of proof required for example for example e.g., affidavit, an account of the attending doctor, a birth certificate, a funeral letter.

Special leave:
- Departments must develop their own policy and therefore the kind of documents required will depend on the respective policies, for example e.g. a for example a copy of an examination roster.

Leave for office bearers/shop stewards:
- Supporting documents from respective unions.

Salary and Benefits on the Remuneration File:

Service bonus; Leave payment advice (in terms of PSCBC Resolution 7 of 2000); Medical Assistance; Home-owner allowance; Motor finance scheme (MFS) for senior employees (Replaced by car allowance in SMS Flexible Flexible remuneration package); Voluntary severance package; Overtime; Standby allowance; Danger allowances; Transport between residence and work; Official journeys; Accommodation while on official journeys; Camping; Separation allowance; Resettlement; State and Other Housing; Clothing for work; Assistance with boarding school and lodging fees; Allowances for personnel serving executing authorities; Sessional assistance; Special recruitment allowance for selected health personnel; Allowance for secretaries to a head of department; Allowance for full-time secretaries to selected judges; Supervision of school hostels; Cryptographic allowance; First-Aid Box Allowance; The Antarctic and Gough and Marion Islands; Recognition of long service; Members of The part-time Component of The South African National Defence Force; Personal shift allowance; Night shift allowance; Robben Island allowance for Correctional Services; Cash payment for additional qualifications; Employer-initiated retrenchments; Awards and bonuses for performance, innovations or achievement; Grading and remuneration. Documents regarding debt, Documents regarding state guarantee.
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The Government Internal Consultancy Services (GICS) provides consultancy services to National- and Provincial Government Departments. The Unit strives to provide advice and make recommendations that are feasible, workable and in alignment with the operational capacity of clients to implement and sustain. The Unit also provides technical assistance with the management and implementation of projects. A performance consulting methodology is followed, aiming at improving institutional and individual performance, in order to promote service delivery.

**Products of GICS include inter alia:**
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- Best practice models and/or Guides
- Learning network reports
- Improved capacity to deliver integrated services in the Public Service
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  - Professional fees are not charged
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- Implementation of projects is based on the principles of flexibility, simplicity and partnerships