



Organization for Security and Co-operation in Europe

Director for Human Resources
Vienna, 1 January 2012

Staff Instruction No. 6/2003 Rev.1

Subject: Personnel Files

1. Reference

Staff Rule 3.07.3, Staff Rule 3.10.1 (b)

2. Purpose

In accordance with Staff Rule 3.07.3, the purpose of this Staff Instruction is to provide information regarding the establishment procedure, content and maintenance of an OSCE personnel file and to specify the conditions under which (i) a personnel file may be consulted (ii) copies of documents may be provided and (iii) correction, addition or deletion of certain items of information may be requested.

3. Applicability

This Staff Instruction applies to all OSCE officials.

4. Effective Date

This Staff Instruction shall take effect 1 January 2012 and cancels and supersedes Staff Instruction No. 6/2003 issued on 27 November 2003. Administrative guidelines issued by the Institutions and Field Operations on the same subject shall be adjusted in accordance with this revised instruction. In the meantime, in case of inconsistency between this revised staff instruction and any administrative guidance in the Institution or Field Operations, this Staff Instruction shall prevail.

5. Establishment of Personnel Files

5.1 The OSCE establishes and maintains a personnel file for each OSCE official. The personnel files will be formally established as of the date of the start of the contract and will be continuously maintained and updated as required by the respective Personnel/Administration Office.

5.2 Each personnel file shall contain the following documentation:

- (a) **Personal Data** i.e. the personal information required for the management and administration of the OSCE official, such as: the application form, copy of passport, driving licence (*if required*), relevant certificates and/or diplomas,

designation of beneficiaries, annual dependency/beneficiary status report(s), emergency contact details, bank account information, marriage/divorce certificates, and child birth certificates.

- (b) **Employment Agreement(s)** i.e. the documents relating to the recruitment and assignment/appointment of the OSCE official, such as: the Letter(s) of Appointment/Assignment, confirmation of seconding authorities (*if applicable*), job description(s), emails relating to step increment(s), as well as Personnel Action Forms (*if in use*) in chronological order.
- (c) **Job Performance/Correspondence** i.e. the official documents and performance appraisal reports and any documentation relating to advancement, transfer, promotions, extensions, resignation, disciplinary measures, etc.
- (d) **Entitlements** i.e. the official documents related to the OSCE official's entitlements upon appointment (appointment travel, installation grant, removal of household goods), child and spouse allowances; education grant (split by child); home leave; rental subsidy; entitlements upon separation (separation travel, repatriation grant, removal of household goods).
- (e) **Social Security** i.e. the official documents relating to the OSCE official's registration/participation in either the OSCE Vanbreda medical insurance scheme or national scheme, life and accident scheme on duty and 24-hour coverage (*if applicable*), OSCE Provident Fund or pension enrolment, medical evacuation (MedEvac).
- (f) **Leave Management** i.e. any document related to all types of leave.
- (g) **Miscellaneous** i.e. other documents concerning any official measures taken with regard to the OSCE official including, but not limited to, copies of Certificates of Employment issued, requests for and evidence of salary/BLA advance, any recovery action, etc.

5.3 Upon transfer to another OSCE duty station (Secretariat, Institution, or Field Operation), an OSCE official's entire file shall be sent by the appropriate Personnel/Administration Office in a sealed envelope, labelled 'confidential', to the respective Personnel/Administration Office.

5.4 Upon separation from the OSCE, the personnel file of all international fixed-term OSCE officials will be transferred to the Secretariat, Department of Human Resources, Personnel Section, and will be stored by the OSCE for a period not less than 72 years from the date of birth of the OSCE official or 10 years following the date of separation from service or from the date the file was last consulted, whichever is greater. Any personnel file that is to be disposed must be destroyed.

5.5 The personnel files of local OSCE officials shall remain in the respective Secretariat/Institution/Field Operation archive, except when the separation occurs as a result of discontinuation of the OSCE field operation in the corresponding location, in which case the personnel file of the local OSCE official shall be sent to the Secretariat, Department of Human Resources, Personnel Section.

6. Access to the Personnel Files

6.1 The relevant Appointing Authority, Director for Human Resources and relevant Personnel/Administration Office may access any OSCE official's personnel file. Further, an OSCE official's personnel file may be consulted under the following conditions:

(a) the OSCE official may consult his/her own file at any time;

(b) the first and second level supervisor shall have access to the following documents: *Employment Agreement(s), and Job Performance and Correspondence*. Any information regarding leave requested by a supervisor shall be given through the Oracle Leave Balances report;

(c) an Internal/External Auditor may access the file for audit purposes;

(d) an appointed member of a Disciplinary Committee, Investigative Panel or Appeals Board shall request copies of relevant to the case documents from the file of the relevant OSCE official.

6.2 The file shall be consulted for those listed above in 6.1 (a), (b), (c), (d) in the presence of a representative of the Personnel/Administration Office. At no time may the actual file be removed from the Personnel/Administration Office.

6.3 The Personnel/Administration Office shall provide performance appraisal report(s) that will be consulted during recruitment processes in accordance with the relevant OSCE policy on standard recruitment procedures¹.

6.4 The OSCE official may request copies of documents contained in their personnel file by submitting a written request to the respective Personnel/Administration Office,

6.5 The Personnel/Administration Office shall keep a record of the copies of documents requested by those that meet the conditions outlined above in 6.1 (a), (b), (d) and 6.3, in an access/copy log kept in the personnel file (Annex 1). The recipients of copied document(s) are not allowed to make additional copies, including electronic copies, or further circulate the document(s) and must shred the document when it is no longer needed. For the purpose of internal/external audit any copies shall be considered working papers and retained as per the respective audit procedure.

7. Correction, Addition or Deletion of Documents contained in a Personnel File

7.1 OSCE officials are responsible for adding, correcting and updating any information that was given during the application process and subsequently required throughout their employment for the purpose of determining their status under the Staff Regulations and Staff Rules.

¹ See Staff Instruction 17/2004 Revision 1 (forthcoming) for the relevant procedure [Footnote to be deleted following the promulgation of the revised Staff Instruction 17/2004].

7.2 OSCE officials shall be held accountable for the accuracy, validity, authenticity, timeliness and completeness of the information they provide.

7.3 OSCE officials are responsible for promptly notifying their respective Personnel/Administration Office, in writing, of the following:

- a) the intention to acquire permanent residence status in any country other than that of his/her nationality and once acquired to provide the relevant documentation;
- b) the intention to change nationality and once changed to provide the relevant documentation;
- c) change in dependency status;
- d) incident of arrest or conviction, other than for minor traffic violation or summoned before a court as a defendant in a criminal proceeding.

7.4 An OSCE official may submit a request in writing with supporting documentation to the Personnel/Administration Office to make additions or corrections to his/her personnel file.

7.5 An OSCE official may submit a request in writing to the Director for Human Resources in the Secretariat or to the relevant Chief of Fund Administration and/or Personnel/Administration Office in the Institutions or Field Operations, to remove a document or delete information from his/her personnel file.

8. Confidentiality of Personnel files

Personnel files are strictly confidential and must be kept locked in a secure location. All authorized OSCE officials who have access to personnel files shall be aware of their obligation to respect and ensure the confidentiality of the files.

Annex

Annex 1 – Access/Copy Log

ACCESS/COPY LOG

[illegible]

