Challenges and Countermeasures of Personnel Archives Management in Universities Under the Background of Endowment Insurance Reform

Huifang Ding

Personnel Office, Wuhan University of Technology, Wuhan, China
Email: dinghuifang@whut.edu.cn

ABSTRACT
Through participating in the reform of the endowment insurance, the author finds that the management of personnel archives with many deficiencies is disjointed from the personnel system in universities. According to the requirements of endowment insurance reform in government offices and public institutions, this paper takes Wuhan University of Technology as an example to analyze the current situation of personnel archives management in universities and explore the improvement methods so as to better perform the function of personnel archives and ensure the smooth and steady progress of the reform.

Keywords: Endowment insurance reform, Personnel archives, Universities, Management improvement.

1. INTRODUCTION

Since publishing the Decision of the State Council on the Reform of Endowment Insurance System for Employees of Government Offices and Public Institutions (No.2 [2015]), the reform of endowment insurance was officially launched nationwide, which is a major decision and plan made by the CPC Central Committee and the State Council. The reform covers the important information of personnel archives such as the date of birth, working and retirement time, years of payment, title and position, and salary. Personnel archives can provide accurate information for the reform of endowment insurance and guarantee its implementation. However, the complexity and inefficiency of current personnel archives management result in many problems for further improvement. The reform will tremendously increase the utilization of personnel archives, and put forward higher requirements for its integrity, accuracy and authenticity. How to effectively cooperate with the reform of the endowment insurance system, comply with the new requirements of the reform of the endowment insurance system, and give full play to the data supporting role of the personnel archives is an important topic facing the personnel archives management.

Domestic scholars has carried out a lot of researches on personnel archives, a management method with Chinese characteristic. For example, Su Yan studies the personnel archives management in hospital and lays emphasis on the informatization of archives [1]. Yuan Jianming analyzes the existing problems in personnel archives management of universities including low focus of leaders, inadequate fund and weak working quality of staff [2]. Liu Ying analyzes the relationship between endowment insurance reform and personnel archives and points out how to perform its data supporting function effectively [3]. From the four aspects of promoting system construction, standardizing the introduction of talents, building service networks, and improving evaluation standards, Li Jing proposed corresponding strategies for personnel archives management under the new situation, aiming to build a complete personnel archives management system, and then improve the management of personnel archives in colleges and universities [4]. Gao Huan analyzed the connotation, extension and characteristics of personnel archives, and emphasized that under the Background of Endowment Insurance Reform, personnel archives are

irreplaceable, non-negligible, and operable [5]. Therefore, personnel archives should be given full attention to promote the smooth and efficient progress of the reform.

2. THE CONCEPTS OF ENDOWMENT INSURANCE REFORM AND PERSONNEL ARCHIVES

2.1. Senior Staff, Middle Staff and New Staff

According to the time of October 1 in 2014, the reform divides the staff of government offices and public institutions into senior staff (retirees before October 1, 2014), middle staff (employees who started work before October 2014) and new staff (employees who started work after October 2014). These 3 kinds of people have different implementation method on the payment obligation and the treatment. Therefore, the accuracy of personnel archives information, including staff's identity verification, date of birth, working time, retirement time and so on, is particularly important.

2.2. Period Regarded as Payment and Actual Payment Period

Period Regarded as Payment and Actual Payment Period are two important concepts closely related to the approval of endowment insurance benefits after retirement. Personnel archives can provide practical basis for the institutions to determine the specific time. In particular, the years of Period Regarded as Payment is closely relevant to work experience and length of service recorded in personnel archives.

2.3. Salary Base

The staff of institutions pay monthly according to certain salary base, which decides basic annuity. The staff relevant endowment insurance treatment is based on the contents such as the title position and salary treatment in personnel archives.

3. THE MAIN PROBLEMS EXISTING IN THE CURRENT PERSONNEL ARCHIVES MANAGEMENT

3.1. The Weak Consciousness of Standardized Management of Personnel Archives

On the one hand, the central work of colleges and universities is usually subject development, talent training, team construction and scientific research capacity enhancement [6]. Therefore, in terms of personnel archives management, colleges and universities with little attention have a weak sense of

standardization and launch rare systematic, standardized and comprehensive training activities [7]. At present, archives management personnel are mainly talents' spouses with weak and unprofessional work capacity, easily causing the postponement and inaccuracy of archival materials. When consulting archives, the slow progress often wastes efforts because of the ambiguous collected information and uncertain material.

On the other hand, personnel archives management has insufficient allocation of full-time staff. According to the Article 16 of the Regulations on the Work of Cadre and Personnel Archives (implemented from January 20, 2018), it is necessary to define the organization responsible for the personnel archives work of cadres. Generally, one full-time staff should be assigned for every 1000 volumes of archives. According to the survey of seven famous universities in Wuhan, it is found that each university has one full-time staff for every 3700 personnel files, and even for 9900 files, which is far below the requirements of the regulations.

3.2. The Poor Integrity and Accuracy of Personnel Archives

The contents recorded in personnel archives are often faced with the problems including mutual inconsistency, randomness, filing postponement and overlaps [8].

Some personnel archives are not strictly reviewed by the relevant department when filed, causing that some files with incomplete procedures are collected, and it is even found that in some personal resumes filled in the same personnel archives, the information including the date of birth, working time and working experience is not consistent. Taking Wuhan university of Technology as an example, when reviewing the archives of retirees in the reform of endowment insurance（3898 files were reviewed）, it was found that there were many inconsistencies in the records of birth date, working time, working experience, etc. in the personnel archives. In addition, the wage materials recorded in the archives are inconsistent with the actual income of the individual, and even the wage recorded in the archives is far lower than the actual income. The main problems are shown in Table 1. What's more, a large number of employment documents of professional and technical post, promotion materials, retirement reports and other filing materials are missing. The main missing of materials is shown in Table 2. Therefore, it is impossible to effectively use personnel archives to verify the pension benefits after retirement. The incompleteness and inaccuracy of personnel archives have greatly delayed the reform of endowment insurance in institutions.

Table 1. The Main Inconsistencies In The Records In The Personnel Archives

Inconsistencies in the records	Birth date	Working time	Working experience	Retirement time	Professional title	Wage	Remark: Proportion= Quantity/3898
Quantity	298	352	323	130	542	624	
Proportion	7.64%	9.03%	8.29%	3.34%	13.90%	16.01%	

Table 2. The Main Missing Of Materials In The Personnel Archives

Missing materials	Retirement reports	Employment materials	Documents of professional and technical post	Staff promotion materials	Retirement reports	Worker promotion materials	Remark: Proportion= Quantity/3898
Quantity	3656	1510	1538	669	788	468	
Proportion	93.79%	38.74%	39.46%	17.16%	20.22%	12.01%	

3.3. Backward Personnel Archives Management

At present, colleges and universities mainly use the way of paper filing to manage archives [9]. The files are updated frequently, and new materials will be added every year, such as the annual assessment form of public institutions, the approval form for normal changes in the salaries of staff in government agencies and public institutions, and the review form for professional and technical positions. Due to this heavy workload, the archives management personnel are prone to be lazy, even binding once a few years, which seriously affects the timeliness of material filing.

In addition, the supplement of archives catalogue is still in the stage of manual filling. Because manual filling is tedious and time-consuming, many archives catalogue can not be updated in time, the difficulty of file access is increased, and the utilization efficiency of personnel archives is reduced. Taking Wuhan university of Technology as an example, since 2012，the personnel archives materials have not been bound and archived with all scattered in the file box, and the catalog has not been updated. According to the reform policy of endowment insurance in Hubei Province, it is necessary to send the retirees' files to the Social Security Bureau of Hubei Province for review every month. The backward management of personnel files is likely to cause the irregularity of personnel file materials, inaccuracy of information, and even affect the retirement treatment of teaching staff [10].

3.4. Information Construction of Personnel Archives Lags Behind

Today's society is the information age, which means that the traditional entity file management is changing to virtual management of information. However, the management of personnel archives in our country is still based on manual operation, which makes it difficult to retrieve. At the same time, paper is easy to be damaged and difficult to be preserved for a long time. Therefore, the traditional manual management of personnel files is not conducive to the standardization and systematization, which leads to the lag of personnel file management.

4. COUNTERMEASURES AND SUGGESTIONS ON THE REFORM OF ENDOWMENT INSURANCE EFFECTIVELY ASSISTED BY PERSONNEL ARCHIVES

4.1. Enhance the Consciousness of Standardized Management of Personnel Archives

First of all, with full attention, college administrators should actively organize the study of archival laws and regulations within a certain scope, make efforts to publicize the significance of strengthening the management of personnel archives, and ensure adequate allocation of personnel and funds. Simultaneously, regular training should be carried out for archivists to comprehensively improve the quality of archivists especially to constantly enhance their political and professional qualities [11].

In addition, archivists require good political and professional quality, which means that they are supposed to get familiar with the relevant laws, regulations and policies, master basic knowledge and the archives work process, and have a good command of the job requirements and specifics, etc.

4.2. Standardize the System pf Personnel Archives

In order to realize the management of personnel archives with high quality, it is necessary to establish a standardized management system, strictly supervise these steps including collection, identification and filing of relevant materials of personnel archives, and most importantly, timely collect and supplement personnel archives. In the process may exist some problems; for example, some archival materials may be scattered in the hands of apartments or individuals such as the newly

acquired academic degree materials, the registration forms of the qualification tests and social practice activities, and a variety of commendation materials [12]. Therefore, staff should be encouraged, even forced to take an initiative to hand in their own personnel archives in time in order to mostly reduce the difference between archives information and staff's actual situation [13]. It will enable archives to reflect the real and comprehensive circumstance of all teaching staff meticulously.

What's more, it is necessary to further broaden and refine the contents of personnel archives to explore the value of information. Taking the archiving materials of the personnel department of Wuhan University of Technology as an example, they detail the archiving materials needed for the personnel archives to each department, define the scope, and assign a special worker to collect and file them while setting up a list of the archiving materials and archiving them annually.

At the same time, they implement the examination system in the filing of personnel archives materials to check the authenticity and accuracy. Through this system, if some materials need to be classified into personnel archives, the business department should fill in the application form of personnel archive materials, and then hand in it to the head of the department for examination and stamping with the official seal. Any doubtful or important matters should be submitted to the director for examination. In short, they collect, sort out and file personnel archives in a timely manner and build a thorough system to ensure the integrity, accuracy, security and confidentiality of personnel archives. (The details are shown in table 3)

Table 3. A Detailed List of the Personnel Archives Archived in the Personnel Department

Office		Archived Materials
Office of Employment and Appraisal Management	Investigation, examination and political review	Annual examination form, employment period examination form, unit or organization appraisal material, political examination material, etc
	Staff promotion	Staff post promotion and appointment application form
Personnel Services Office	Employment contract	Employment contract for new employees (except high-level talents)
	Work experience	Cadre (worker) resume, labor contract of former unit, certificate of termination of labor relationship, graduate dispatch card, physical and mental examination form, retirement report (examination and approval) form, etc.
	Student status, further study	Undergraduate student file, master (PhD) student file, overseas academic degree file, overseas research and study experience, etc.
	Rewards and punishments	Superior departments to evaluate the first materials, advanced workers in the school, excellent party member materials, administrative disciplinary documents, etc.
	The CPC and the CCYL	The letter of consent of the league, the letter of consent of the party, the examination form of the training of active members of the party, etc.
Office of Talents and Experts	Employment contract and assessment materials	New staff working agreement, employment contract (high-level talents), assessment materials, etc.
Professional Title Office	Professional and technical position promotion	Professional and technical job qualification declaration form or evaluation form, professional and technical personnel post promotion materials, professional and technical job appointment documents, etc.
	Workers skills levels promotion	Provincial office and public institution staff technical grade assessment form, workers technical grade employment documents.
Teachers' Office	Teacher certificate	University teacher qualification application form, on-the-job education degree promotion of graduation materials.
Postdoctoral and Talent Exchange Management Office	Materials of entering and leaving the station	Post-doctoral application form, post-doctoral researcher's inbound audit form, hubei province's application for inbound post-doctoral examination form, proposal report, post-doctoral researcher's mid-term examination form, hubei province's post-doctoral researcher's outbound examination form, etc.
Salary Management Office	In-service staff	The starting salary bill, the grading table, the salary change report form of the staff of the public institution, etc.
	retirees	The audit table of retirement benefits for employees of public institutions, and the audit table of the change of retirement benefits for employees of public institutions.

4.3. Carefully Perform the Duties of Archives Check.

At present, the university personnel flow frequently. For new and transferred personnel, the completeness and accuracy of their personnel archives should be strictly checked before they go through the procedures of entering and leaving the school, so as to ensure the accuracy and credibility of the information recorded in the personnel archives [14]. Taking Wuhan University of Technology as an example, the university carries out a strict audit system for the personnel archives of new and transferred personnel, and rectifies the problems found in the audit process timely.

4.3.1. Check the Archives of New Personnel

After the new personnel check in, the personnel office will be responsible for reviewing their personal

personnel archives. Based on the list of personnel archived materials, the *following* contents are mainly checked. First, these files of fresh graduates need to be reviewed including their enrollment status files since the high school, personal materials about the CPC and the CCYL, and registration cards. Second, all the transferred staff should be asked to hand in their enrollment status files since the high school, personal materials about the CPC and the CCYL, and their title and job materials. For one thing, employees who have worked in the enterprise should also review the employment contract signed with the original company, materials for termination of the contract, and details of social security payment. For another thing, employees with work experience in government offices and public institutions should review their resumes, annual assessment materials over the years and report changes in salary.

Personnel staff is responsible for determining whether all personnel archives are authentic and complete before employees come to the school. If there is any doubt about the identification of personnel archive materials, it should be determined according to the relevant personnel archive management measures. If the file material is found missing, the staff of the relevant business department will inform the new staff to supplement the material. Starting salary will be available upon completion of material supplement. (the specific identification process is shown in figure 1.)
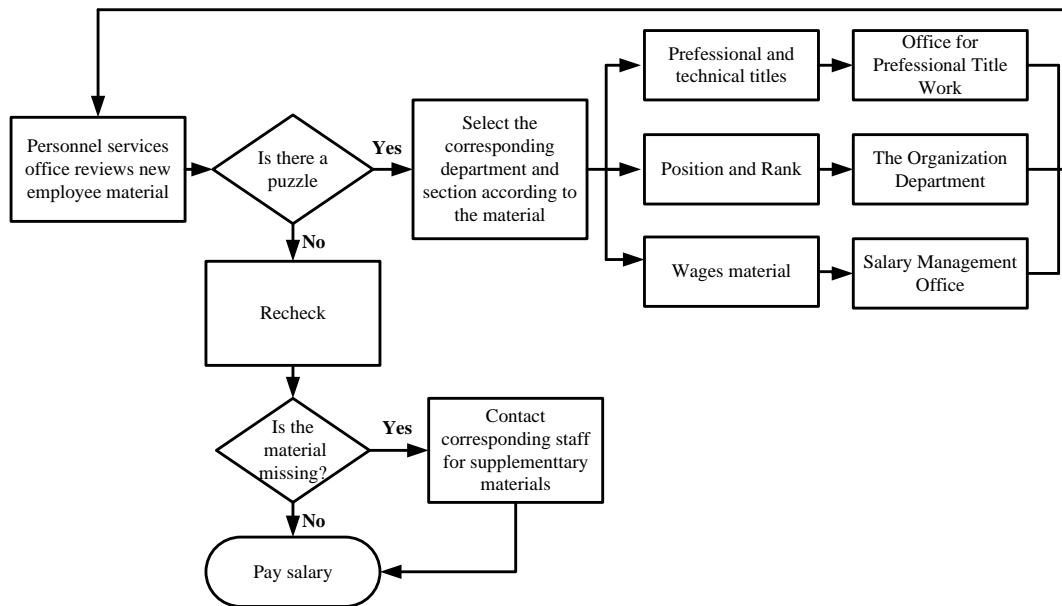

Figure 1 Flowchart of personnel archive audit for new employees

4.3.2. Check the Archives of the Transferred Staff

Personnel staff should review the transferred personnel archives according to the list of archiving materials (Table 1). If materials are missing, the relevant departments should be contacted to supplement the archives. Under the condition of ensuring the integrity of the personnel archives, contact the archives office to issue files. See figure 2 for the specific work steps.
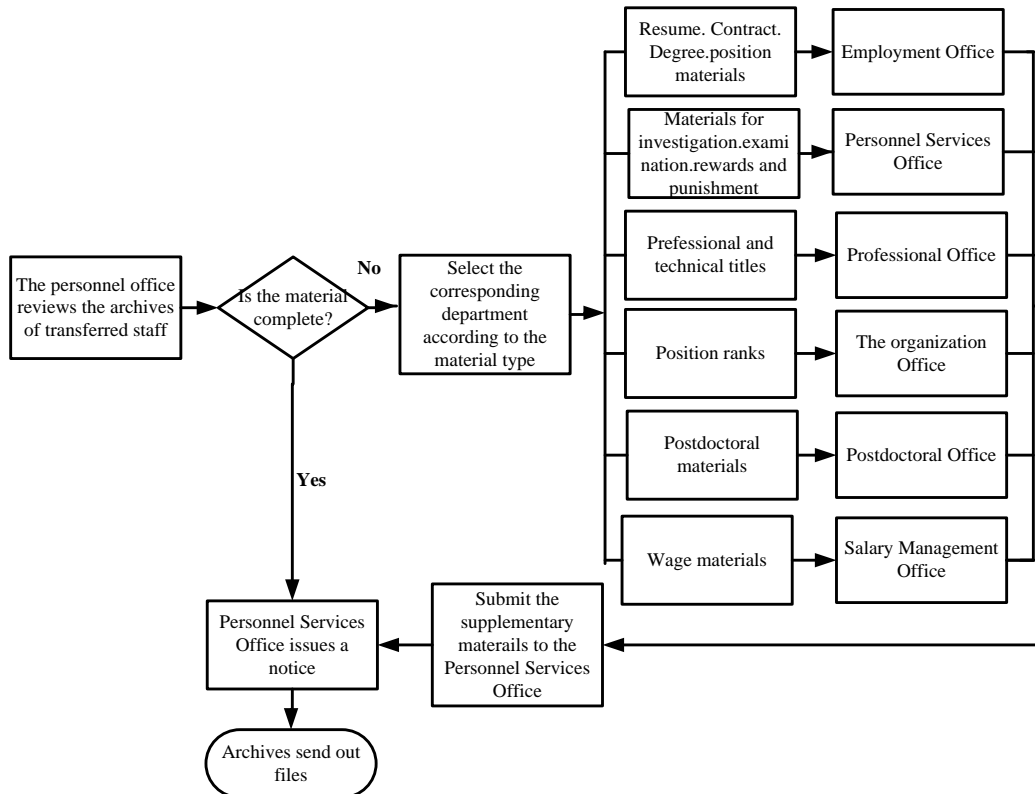
Figure 2 Flowchart of checking personnel archives of the transferred staff

4.4. Develop Information System Personnel Archives Management

In the future, the personnel department can promote the construction of digital archives resources such as digitization of traditional paper carrier archives and collection of important information, so as to realize the networked management of personnel archives. The establishment of electronic personnel archives is able to effectively prevent and solve the problems of natural aging, artificial modification, accidental damage and inconvenient management and use of archives [15]. On the premise of ensuring the security of network information and the encryption of authority division, connecting the personnel archive information to the university data platform is tremendously conducive to the realization of the data sharing of personnel information on campus. Informatization of personnel archives management is inevitable in government and public institutions, which is capable of facilitating the high efficiency and comprehensive development in personnel archives management.

5. CONCLUSION

The reform of the endowment insurance system in government offices and public institutions is an important part of the national security system. The work of personnel archive need to comply with the time request and perform the function of data. After carefully

analyzing the current situation and with constantly improving knowledge consciousness, university staff of personnel archive management have responsibility to standardize the system, strengthen the archives information collection, and enrich the content of the personnel archives. By completing basic affairs, personnel archives management will provide better service for the administration of universities, further encouraging positively the institution endowment insurance system reform. However, the current informatization development of personnel archives is still in the advocacy and proposal stage, and there is still a big gap between the actual implementation. In addition, how to establish a long-term scientific and standardized, smooth-running long-term mechanism that runs through the entire process of personnel archives management, from file creation, filing, to review, and utilization, remains to be further thought and studied.

REFERENCES

[1] Su Yan, Zhang Huan. Hospital Personnel File Management under the Situation of Endowment Insurance Reform[J]. Jiangsu Health Management, 2018, 29(11): 1244-1245. (in Chinese)

[2] Yuan Jianmin. New problems in the Management of Personnel Files in Colleges and Universities[J]. Organizational Behavior, 2018, 33 (12): 49. (in Chinese)

[3] Liu Ying. On the New Requirements of the Reform of the Endowment Insurance System of Government Institutions on Personnel Files[J]. Modern Communication, 2017, 30 (4): 121-122. (in Chinese)

[4] Li Jing. Research On the Management of University Personnel Files under the New Situation from the Perspective of Cadre File Review[J]. Management Practice, 2019(06): 13-15. (in Chinese)

[5] Gao Huan. An Analysis of the Characteristics of Personnel Files in the Reform of Endowment Insurance in Government Institutions[J]. Lantai world, 2016, 30(4): 39-40. (in Chinese)

[6] Indu Purnahayu, Puspa Eosina, Budi Susetyo, Immas Nurhayati. Indonesian Universities Readiness in Providing Professional HR in Geospatial Information[J]. International Journal of Modern Education and Computer Science, 2020, 06(08): 26-32. DOI: 10.5815/ijmecs.2020.03.04

[7] Arnold A. OJUGO, Andrew O. EBOKA. Assessing Users Satisfaction and Experience on Academic Websites: A Case of Selected Nigerian Universities Websites[J]. International Journal of Modern Education and Computer Science, 2018, 10(08): 53-61. DOI: 10.5815/ijitcs.2018.10.07

[8] Deogratius M Lashayo, Md Gapar Md Johar. Preliminary Study on Multi-Factors Affecting Adoption of E-Learning Systems in Universities: A Case of Open University of Tanzania (OUT)[J]. International Journal of Modern Education and Computer Science, 2018, 03(08). DOI: 10.5815/ijmecs.2018.03.04

[9] Dewah Peterson，Heather Ndlovu. The Management of Personnel Records for Accountability, Good Governance and Protection of Human Rights at the National University of Science and Technology in Zimbabwe[J]. Journal of the Society of South African Archivists, 2013, (46): 64-73.

[10] Reagan L.Grimsley. One small step? Collection Strategies for Libraries, Archives, and Museums In the Space Age[J]. Ecological Informatics, 2020, (59): 101-105.

[11] Chen Jinling. Talking about the Problems and Countermeasures in the Current Archives Management of CDC [J]. Archives Management, 2018, (03): 90-91. (In Chinese)

[12] Katuu, Shadrack. Managing Digital Heritage: an Analysis of the Education and Training Curriculum for Africa's Archives and Records Professionals[J] Digital Heritage International Congress, 2015: 191-194.

[13] Miller, A. Innovative Management Strategies for Building aAnd Sustaining a Digital Initiatives Department with Limited Resources[J] Digital Library Perspectives, 2018, 34(2): 117-136.

[14] Calogero Guccio, Marco Martorana. An Assessment of the Performance of Italian Public Historical Archives: Preservation Vs Utilization[J]. Journal of Policy Modeling, 2020, (7): 58-60.

[15] Burr, Gordon. Academic Archives: Managing the Next Generation of College and University Archives, Records and Special Collections[J]. Felicit-er, 2013, 59(3): 33-37.