

## Personnel Files

Original Implementation Date	April 1, 1996		
Date of Last Revision	April 12, 2012	Approved by	CAO & Senior Management Team
Effective Date of Last Revision	April 12, 2012	Approved by	

### 1 - Business Practice Name

Personnel Files

### 2 - Purpose

HRM maintains personnel files for each employee which contain documents relevant to the employment of that individual. In accordance with the MGA, Part XX, Freedom of Information and Protection of Privacy (FOIPOP), HRM is required to ensure appropriate controls on the collection, use, disclosure and disposal of personal information.

Every employee who must access the Personnel Files must be fully aware of the reasons why HRM can collect personal information, how this personal information can be used and the reasons why this personal information can be disclosed.

Specific responsibility for the day to day maintenance of employee personnel files will be assigned to individuals designated by the business unit holding the files. The position description for these individuals should reflect this responsibility. The business unit holding personnel files is responsible to ensure the secure handling and storage of files.

Employees have the right to view their file and to have copies of any document contained in the file. Access is during normal business hours and may require advance notice.

### 3 - Scope

This applies to all HRM employees.

### 4 - Definitions

In the context of this document, **Personal information** means: "recorded information about an identifiable individual," including name, address or telephone number; race, national or ethnic origin, color, or religious or political beliefs or associations; age, sex, sexual orientation, marital status or family status; an identifying number, symbol or other particular assigned to the individual; fingerprints, blood type or inheritable characteristics;

health-care history, including a physical or mental disability; educational, financial, criminal or employment history; anyone else's opinions about the individual; and the individual's personal views or opinions, except if they are about someone else.

## **5 - Personnel File Management System Procedures:**

Personnel File Management System procedures are designed to:

- provide for the systematic collection, retention and retrieval of employment information
- ensure proper handling and confidentiality of this information
- ensure that employees are aware of, and provided adequate access to, the appropriate files, records and documents
- provide management with information to make decisions related to human resource management

While these procedures are applied to personnel files for unionized and non-union employees, the procedures established herein do not supersede requirements in collective agreements and unit-specific business practices.

## **6 - Roles and Responsibilities**

**Hiring Supervisor/Manager (or their designate) will:**

1. **Establish and maintain a personnel file for each employee in the business unit.** Files will include originals where possible of all forms, reports, letters and any other records dealing with the employment of each individual. Files should include, but not be limited to, the following:
  - original application for employment with HRM
  - criminal records checks, child abuse registry forms, etc. if required for the position
  - driver's abstracts
  - copies of certifications, credentials, etc. as required for the position
  - offer letter (signed original with signature of acceptance)
  - performance development plan (PDP) for probationary period
  - notice/letter of permanent employment
  - status change forms
  - performance development plans (PDPs)
  - awards of recognition
  - record of any corrective/disciplinary action
  - record of any training & education courses recommended, applied for, or completed, including any relevant applications for reimbursement
  - record of leaves of absence (e.g. unpaid leave of absence, etc.)
  - record of any promotion, demotion, transfer, change in compensation level, or position re-evaluation affecting the employee
  - correspondence sent or received regarding the employee

2. **Confidentiality - Ensure that confidentiality is maintained**

There should be no reference to medical information or social insurance number contained

in personnel files. All medical records should be forwarded to Workplace Health Services.

Confidentiality is maintained by limiting access to personnel files. Only those employees who must deal with this information in the performance of their duties (e.g. Directors, Managers/Supervisors, Human Resources employees, etc.) should have access to personal information.

Individual salaries are personal information which cannot be disclosed generally without the person's consent unless it is for reasons clearly in the public interest. This applies to both officers and employees of the municipality. However, in response to a formal FOIPOP application, information about the remuneration of an HRM employee is subject to disclosure.

#### File removed - procedure

In the event that a file is removed for official use, a sign-out procedure must be in place to provide proper tracking. In the event a file is required, please consult with the Business Unit designate responsible for personnel files.

#### Security protection

Provide security protection for information contained in the files (e.g. lock and key for hard copies and passwords for computer files).

#### Information to external organizations

Upon the **written** request of the employee, information pertaining to salary, date of hire, etc. may be provided to external organizations (e.g. banks for the purpose of credit application) from the Payroll/Costing Coordinator.

### **3. Compensation and group insurance benefit records, etc. and responsibility of Payroll/Costing Coordinators**

Submit all compensation and benefits records, forms, and documents (e.g. Employee Data Change Forms, benefit enrollment forms, WCB forms, etc.) to Payroll/Costing Coordinators for processing. The Payroll/Costing Coordinators are then responsible to forward the documents to HR Shared Services for filing in Central HR files.

### **4. Medical records**

Medical records (e.g. functional capacity evaluations, medical assessments, etc.) will be sent to Workplace Health Services for filing in central Health Services files. If Workplace Health uses an outside health services provider (e.g. Health Serve Atlantic, etc.) copies of medical files would be sent directly to them.

### **5. Employee's access to their personnel file**

Upon request, provide employees access to their own personnel file as per the requirement of the applicable collective agreement or non-union policy. The business unit designate responsible for personnel files will keep the personnel file in their possession at all times, including attendance at the employee's review of the file, and return the file to its appropriate, secure location at the conclusion of the employee's review. If copies of items are requested, the business unit designate shall make the copies and return all originals to the file.

## **6. Employee transfers to another business unit or section**

When an employee transfers to another section or business unit, the personnel file is to be sent to the Hiring Supervisor/ Manager or their designate, and the file tracking register is to be updated.

## **7. Removal of items from the file**

Documents are to be removed (e.g. discipline) from the personnel file only as per the requirements of the collective agreement, grievance settlement, or arbitration decision, etc.

## **8. Archiving upon termination or retirement**

Upon an employee's employment termination or retirement, the Business Unit Designate is to review and purge the file and send it to central HR for archiving in records. The Tracking register must be updated.

## **9. Tracking the location of personnel files**

The personnel files are tracked through a central database by the respective designate updating the database when a new employee is hired, transferred to another section or business unit, terminated employment, or retired.

### **Senior Human Resource Consultants role:**

#### **1. Auditing - annual basis**

The HR Business Partner will audit a sample number of personnel files in their respective business units on an annual basis to ensure file management is consistent with the practices outlined herein and provide support to the business unit in rectifying any inconsistencies.

#### **2. Advice and support**

Provide advice and support to the hiring Manager/Supervisor or their designate in establishing and maintaining personnel files.

### **7 - Contact**

HR Business Partners

### **8 - Related Policies and Practices**

*Municipal Government Act (see section XX):*

<http://nslegislature.ca/legc/statutes/municipal%20government.pdf>