



LAC LA BICHE COUNTY PROCEDURE

TITLE: Employee Files Management Standard Operating Procedure	PROCEDURE NO: CS-03-014-11
SPECIAL NOTES/CROSS REFERENCE: POLICY CS-03-014 AMENDMENT DATE:	

1.0 General Guidelines

Employee files will contain all documentation regarding employment activity and employee information. Employee files are the property of the County and may be reviewed upon request by the employee.

2.0 Procedures

- 2.1 The organization shall maintain two (2) separate files for each employee. One which will include personal information and be considered the Personnel File, the other will contain payroll information and be considered the Payroll File. Both files will be kept confidential using appropriate safeguards, and only authorized personnel shall have access to these files. Authorized personnel will be determined by the manager of the department(s) responsible for such files.

At no point will any information contained within any of the employees' files be communicated publicly without the prior written consent of the employee, unless required by law or as permitted under the Freedom of Information and Protection of Privacy Act.

- 2.2 Employees shall be allowed to review their files with the exception of any documentation that would violate the confidentiality of another employee. Employees may challenge the accuracy of documentation in their personnel file(s), request that corrections be made, and request that a written note of their comments be added as an annotation to the documentation. The County may refuse any such challenge or request. Employees may request copies of documentation included in their personnel file(s). The County may refuse to provide the employee with the requested information, if it relates to the confidentiality of another employee or individual. Employees who wish to review their files must submit a request to view the files a minimum of two (2) business days prior to the date of review (to ensure adequate time is available for Human Resources to facilitate the review). Employees must be accompanied by a Human Resources representative while viewing their file(s).
- 2.3 Any former employee of the organization who requests access to their personnel file(s) must do so through the Manager of Human Resources and provide photo identification. Personnel files are the property of the County and the organization reserves the right to deny any former employee access to the information.

- 2.4 Any third party that requests access to any personnel file(s) must provide photo identification and written authorization stating that they are permitted by the employee to review their file(s). The organization will also need direct approval from the employee in order to comply with privacy regulations.
- 2.5 All information maintained in personnel files is the sole property of Lac La Biche County. The removal of any documentation or information from personnel files by employees or third parties is strictly prohibited.

3.0 Management Responsibilities

Any documentation that must be placed in an employee file must be forwarded to the Human Resources department, and the Employee should be notified that the documentation is being placed in his/her file, and the nature of the documentation.

4.0 File Maintenance

In maintaining personnel files, the following guidelines apply:

- Information regarding employment status shall be kept on file.
- Information placed in the file will be accurate.
- All information placed in the employee Personnel Files will be maintained for a minimum period of three (3) years after the employee's last date of employment with Lac La Biche County.
- All information placed in employee Payroll Files will be maintained for a minimum period of seven (7) years after the employee's last date of employment with Lac La Biche County.

4.1 Personnel File Content

Documents stored in personnel files shall include (but not be limited to):

- Resume;
- References;
- Current personal information, including address, phone number, etc.;
- Employment agreement or offer letter;
- Family emergency contact form;
- Human Resources Policy and Procedure manuals signed Acknowledgement and Agreement Form;
- Documented disciplinary actions;
- Documentation of grievances filed by the Employee;
- Performance reviews;
- Performance improvement plans;
- Career planning documentation;
- Attendance records;
- Accident / incident report forms involving the employee;
- Records of recognition / commendation;

- Medical documentation for any required absence(s);
- Worker's Compensation Insurance claim forms;
- Accident / incident forms resulting in an injury to the employee;
- Functional abilities forms required in any Return to Work (RTW) process;
- Documentation regarding forms of reasonable accommodation required as part of any RTW process;
- RTW plans, including documentation of any updates or dialogue during this period.

4.2 Payroll Files Content

Documents stored in payroll files shall include (but not be limited to):

- Employment history, citing dates of positions held and levels of compensation;
- Employment agreement or offer letter;
- Tax forms;
- Records of taxable benefits;
- Records of contractual bonuses, incentives, or salary increases;
- Records of accrued sick leave, vacation, and overtime;
- Documentation of rewards / bonuses;
- Compensation records;
- Commission records (where appropriate);
- Records of any loans / advances granted with appropriate repayment information.

5.0 Employment Verifications from outside Organizations

The Manager of Human Resources, or a designated representative thereof, will provide, to *bona fide* agencies responsible for extending credit, verification of the following information provided the Employee has provided prior authorization to disclose this information:

- Employment (past or present) and dates thereof;
- Status of employment (permanent, term, seasonal, probationary, casual, contract, full-time, part-time);
- Position title;
- Basic salary.

In all cases, however, prior to the release of this information, the Manager of Human Resources, or a designated representative thereof, will verify that the request originates with a *bona fide* agency. The procedure to be followed is:

- Human Resources staff will accept requests for information but will not immediately release the information;
- Human Resources staff will re-contact the requesting agency and, in so doing, will verify the source of the request;
- Information will be supplied only on satisfactory identification of the agency as a *bona fide* credit-extending agency.

6.0 Professional and Academic Records

Employment information may be provided by the responsible General Manager, the Manager of Human Resources, or by the Chief Administrative Officer, to a professional or academic organization, provided the employee authorizes the release of such information.

This information should be for the purpose of:

- Verification of employment;
- Confirmation of professional status;
- Registration in a professional organization.

“Original Signed”
Chief Administrative Officer

November 8, 2013
Date