

ADMINISTRATIVE MANUAL

Policy & Procedure

TITLE:	Employee Records	NUMBER:	861.0
Sponsor:	Director, People & Organization Development	Page:	1 of 7
Approved by:	VP, People & Organization Development	Approval Date:	Feb 14 2019
		Effective Date:	Feb 15 2019
Applies To:	IWK Health Centre All Employees		

POLICY STATEMENTS

- The IWK Health Centre (the Employer) establishes and maintains an employee record on each employee, ensuring a confidential record of employment history. Employment information is maintained and stored on paper and electronically. Please note that personal health information is confidentially maintained separately from the employee record described here within, by the Occupational Health, Safety & Wellness Department.
- Information gathered for employment purposes is not to be released to any outside party without the written consent of the employee with the following exceptions only:
 - Benefit purposes;
 - To process payroll;
 - As required by law.
- Employees are responsible to ensure that the Employer is kept current with regards to any change in address, telephone number, marital status or dependents, etc. to ensure integrity of the employee, payroll and benefit records.
- Disclosure, misuse, or failure to safeguard confidential employment information is subject to discipline. Documentation and data generated by the Employer or which comes into its possession are the property of the Employer and are only to be released in accordance with the procedure as outlined below.
- Paper employee records will be retained on current employees for the length of their employment with the Employer and on former employees for a period of seven years, after which time the records will be shredded. Electronic employee records will be retained on current and former employees as long as the Employer has ownership of the Human Resources Information System.

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Note: Refer to Appendix A for definition of Employee Record and details as to what is and is not to be retained in an Employee Record.

PROCEDURE/GUIDELINES

Storage of Employee Records:

- Human Resources maintains paper employee records in a secure location with restricted access by authorized personnel only. Paper employee records may only be removed from the secure location in the possession of authorized personnel.
- Human Resources also maintains all employment related events on each employee electronically via our Human Resources Information System.

Changes to Employee Records:

- It is the employee's responsibility to notify Human Resources of any personal data changes such as marital status, address, banking information, beneficiary updates, etc.
- To initiate a change in name, address or telephone number, the employee must complete a "*Change of Personal Information Form*", found under Human Resources on Pulse, and forward it to Human Resources. Name changes should be done for both the Employer's records and the group benefit providers. Forms to notify group benefit providers of changes can be accessed through Human Resources or found on Pulse.
- With changes in marital or dependent status, the employee may choose to include/exclude family members with their group benefits or may wish to change beneficiaries with their pension or group life plans. The appropriate benefit provider forms can be accessed under Human Resources on Pulse. To include/exclude family members with their group benefits, employees must notify Human Resources within thirty (30) days of a marital and/or dependent status change.
- To initiate a change in Income Tax exemptions/deductions, employees must complete a revised "*TD 1 Form*", which can be accessed under Payroll and Benefits on Pulse. Completed forms can be submitted directly to Payroll and Benefits.
- Changes in banking information must be directed to Payroll and Benefits, by providing a void cheque or direct deposit slip from the updated account.
- Changes to employment related events for employees (i.e. internal transfers, promotions, etc.) are initiated by the applicable Manager/designate, and entered electronically into the Human Resources Information System and copied to their paper employee record by Human Resources.

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Access to and Release of Employee Records:

- Authorized personnel may access employee records, on paper or electronically, strictly on a limited, need to know basis in the course of the job duties, in accordance with established procedure.
- Management may view/review employment documentation on the employee record with a Human Resources representative when:
 - The employee is an applicant for a position within the Manager's department or program;
 - The employee is a member of the Manager's current staff.
- Employees wanting access to their paper employee record can do so by contacting Human Resources and completing an "*Employee Request Form*" (provided by Human Resources) and making an appointment to view their employee record with a Human Resources representative.
- Any outside agency requesting information regarding information on an employee's record (i.e. salary) shall be directed to Human Resources in writing with the written consent of the employee by way of a "*Release of Information Form*" (provided by Human Resources) or the outside agency's release document.
- Human Resources may apply charges based on the request for information as follows:
 - Cost of photocopying (no charge for current employees);
 - Retrieval costs of off-site records for terminated employees;
 - Cost of authorized third party requests.

Retention of Employee Records:

- Paper employee records will be retained, on site, in a secure location for the duration of employment. Electronic employee records are maintained in the Employer's Human Resources Information System.
- Upon termination or resignation, Human Resources will continue to retain paper employee records securely on site, separate from active employee records, for a period of two years. After two years, Human Resources will securely transfer employee records to an offsite storage location for another five years, after which time the records will be destroyed. Electronic employee records are not removed from the Employer's Human Resources Information System following termination or resignation.
- Human Resources will ensure that all employee records, whether on or offsite, are easily accessible for periodic reviews and audits as required by governing authorities and applicable legislation.

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REFERENCES

Province of Nova Scotia. (2016). *Freedom of Information and Protection of Privacy*, Chapter 5 of the Acts of 1993.

Government of Canada. (2017). Personal Information Protection and Electronic Documents Act, SC 2000, c. 5.

RELATED DOCUMENTS

Policies

Confidentiality Policy for the Employee Health Record #1054.2

Discipline Policy #116.0

Confidentiality Policy #320.1

Appendices

Appendix A – Employee Record Definition and Documentation

APPENDIX A – EMPLOYEE RECORD

Definition: The individual Personnel File maintained by the Employer containing all of the relevant employment history for each employee.

An Employee Record (paper and electronic) consist of, but not limited to, the following:

General Employment Information

- Initial application and/or resume
- Initial signed letter of offer
- Signed confidentiality statement
- Tax form (TDI) completed and any employee deduction agreements (i.e. additional tax amount)
- Completed application for direct pay deposit
- Education certificates and initial proof of professional registration/certification/licensure
- Completed criminal record check
- Completed venerable sector search check (if applicable)
- All employment transactions

Identifying Information

- Legal name
- Address
- Social Insurance Number
- Proof of birth date and/or identification (i.e. birth certificate, driver's license)
- Emergency contact information

All other employment information, such as:

- Attendance records
- Pension information
- Benefit enrollment and change forms other than Group Benefits which are maintained separately in the Benefits Department
- Job share information
- Employee status changes and dates of same, such as: new appointments, job transfers, salary changes, termination and retirement
- All Record of Employment (ROE) records
- Letters of commendation, awards or recognition
- Any legal documents, i.e. garnishment order requirement
- Leave of absence documentation, exclusive of medical information
- Documentation of education course sponsored/completed/achieved, i.e. certification achieved, return of service & secondment agreements
- Completed performance development reviews

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- Documentation of the Attendance Support Program (other than step 1), records of performance management, discipline and suspension of license or decision of professional misconduct
- Ongoing education certifications and proof of professional registration/recertification
- Deferred leave completed and approved forms
- Return of Service Agreements
- Any other employment related documentation, with the exception of those indicated in the following section as to what the employee record does not contain

An Employee Record does not contain any of the following:

- Request for Hire Forms and related position management documents
- Safety Improvement & Management Systems (SIMS) forms and information
- Grievance documents, although any decision that impacts employment status is recorded on the employee record
- Human rights complaint documentation which is maintained by the Human Resources Team
- Documentation pertaining to an investigation regarding harassment or bullying requested by the employee or naming the employee as a respondent, unless there is a finding of wrongdoing
- Personal or confidential information which is not work related (i.e. medical information)
- The employee occupational health file. This document is maintained separately and confidentially in Occupational Health, Safety and Wellness.
- Worker's Compensation Board (WCB) correspondence and reports

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District Health Authority/IWK Policies Being Replaced

Version History

(To Be Completed by the Policy Office)

Major Revisions (e.g. Standard 4 year review)	Minor Revisions (e.g. spelling correction, wording changes, etc.)

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