

## **Employee Files**

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**Purpose**                    *To outline the process, content, secure storage and access for employee files.*

**Policy Statement**        *ASC will retain required employee information in a consistent format in individual employee files.*

*All files will be held in a secured location, remain confidential, and will comply with legal requirements (Freedom of Information and Protection of Privacy Act and other legislation as applicable).*

*Direct access to employee files is limited to those ASC administrative employees that are responsible for maintenance and monitoring of files, and the Executive Director.*

*Access to information contained within employee files is limited to the employee, the employee's supervisor(s), and Area Program Directors.*

*Employees may access their file at any time by making a request through their Area Coordinator, who will forward the request through to administration for handling.*

*Disclosure of information related to employee files will require the written consent of the employee, except where legal requirements supersede policy.*

*Also refer to Human Resources Section - Confidentiality Policy for Legal Guidelines regarding the handling of personal information.*

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### **1. Main File Room**

1. Each employee will have a main file and it will be kept in the locked main file room at the Olds Services Support Building.
2. Accessibility to the main file room is limited to those administration employees who are responsible for file maintenance and monitoring and have been issued keys.
3. Accessibility to information contained in files in the main file room is limited to the employee, employee's supervisor(s) and Program Directors.
4. Employees wishing to access information contained in their main file can do so by making a request to their Service Area Coordinator, who will forward the request through to the Administration Coordinator for access.
5. Files will be reviewed in the presence of an authorized employee
6. Information may not be removed from the main file, but may be copied for the employee. This information will be subject to legislation (Freedom of Information and Protection of Privacy Act and other legislation as applicable).
7. Any copy of any information from an employee's main file being held by a Supervisor or Program Director must be held in a secure manner and destroyed once no longer required.
8. Any supervisory documentation pertaining to an employee occurring at an employee's worksite that constitutes part of the employee file must be held in a confidential and secure location and must be forwarded for permanent filing as soon as reasonably possible.

### **2. Administrative Records for Payroll Processes**

1. Additional information pertaining to an employee in regards to payroll processes may be held by Administration. This may include:
  - a) Payroll records
  - b) T 4's
  - c) Extended benefit billing information
  - d) Vacation information

2. This information is confidential and is held secure.

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3. Employees needing information related to payroll records can make a request through their Area Coordinator, who will forward the request to the Administration Coordinator for follow up.

### **3. Information Stored On Computers**

1. Information being produced on computers must follow the same guidelines for safe confidentiality and safe storage.
2. Employee payroll information stored on ASC hard drives or electronic devices is accessible only to payroll and accounting personnel and the Executive Director.
3. Completed documents will be filed as per ASC filing procedures.
4. All information completed or retained on computer is treated as per the Freedom of Information Act, other applicable legislation and ASC confidentiality policies.

### **4. Storage Of Sensitive Information**

1. Personal information of a sensitive nature will be placed in sealed envelopes on employee files, to be accessed only by the Executive Director/Program Directors. This includes but is not limited to:
  - a) Background checks
  - b) Sensitive performance related matters
  - c) Medical or other personal health and wellness information
  - d) A request from the employee that the information only be accessed by the Executive Director/Program Directors
2. Information/documents that would require a request through FOIP or other applicable acts may be stored separately in a storage area that is restricted to access only by the Executive Director/Administration Coordinator. The information placed in this file will:
  - a) Be placed in a separate envelope
  - b) Have the name(s) of who the information is about
  - c) Be dated
  - d) Have an identifying number on it
3. If an employee has information in this separate file, a cover sheet indicating the date and the number of the envelope will be placed on their main file.

### **Employee File Contents**

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1. Upon commencement, each employee will have a main file established by the designated administration employee(s).
2. The following is a general guideline for format and content of employee files:

COMMENCEMENT SECTION	SECTION MAY CONTAIN BUT IS NOT LIMITED TO
<b>Commencement</b>	<ul style="list-style-type: none"> <li>• ASC Health and Safety Commitment</li> <li>• Code of Ethics</li> <li>• Conflict of Interest Compliance Agreement</li> <li>• Direct Deposit Banking Form</li> <li>• Employee Commencement Checklist</li> <li>• Employee File Coversheet</li> <li>• Employment Application</li> <li>• Immigration/Work Permits</li> <li>• Interview Package</li> <li>• Non-Solicitation Agreement</li> <li>• Oath of Confidentiality</li> <li>• Payroll Information Sheet</li> <li>• Record of Employment</li> <li>• Reference Checks</li> <li>• Resume</li> <li>• TD1 &amp; TD1AB</li> </ul>
<b>Employment Status &amp; Wage</b>	<ul style="list-style-type: none"> <li>• Change of Status</li> <li>• Letter of Resignation</li> <li>• Offer of Employment</li> <li>• Offer of Employment Checklist</li> <li>• Performance Review Letters</li> <li>• Request for Verification of Employment Training</li> <li>• Wage Increments</li> </ul>
<b>Employee Benefits</b>	<ul style="list-style-type: none"> <li>• Benefit Plan Documentation</li> <li>• RRSP Documentation</li> </ul>
<b>Background Checks</b>	<ul style="list-style-type: none"> <li>• Criminal Record with Vulnerable Sector Check (CRC)</li> <li>• Child Intervention Record Check (CIRC)</li> <li>• CRC/CIRC Check Renewal</li> <li>• CRC/CIRC Tracking Sheet</li> <li>• Renewal Reminder Letters</li> </ul>
<b>Consents and Agreements</b>	<ul style="list-style-type: none"> <li>• Consents for Site Survey</li> <li>• ID card Agreement</li> </ul>

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	<ul style="list-style-type: none"> <li>• Intranet and E-mail Use Agreement</li> <li>• Paystub Email Consent</li> <li>• Security of Keys and Code Agreement</li> <li>• Telecommunications and Technology Devices Use Agreement</li> <li>• Specific consents for release of information</li> </ul>
<b>Driving</b>	<ul style="list-style-type: none"> <li>• Copy of Driver's License</li> <li>• Drivers Abstract</li> <li>• Orientation Checklist for Class 4</li> <li>• Personal Vehicle Insurance Requirements</li> <li>• Vehicle Insurance Waiver Letter</li> </ul>
<b>Medical Health and Safety</b>	<ul style="list-style-type: none"> <li>• Accident/Injury Reporting for Employees</li> <li>• Incident/Accident Investigation Report</li> <li>• Medical Notes</li> <li>• Physical Demands Documentation</li> </ul>
<b>PERSONNEL FILE SECTION</b>	<b>SECTION MAY CONTAIN BUT IS NOT LIMITED TO</b>
<b>Orientation &amp; Training</b>	<ul style="list-style-type: none"> <li>• Award certificates</li> <li>• Behaviour Support Plan &amp; Restrictive Practice Training Acknowledgment</li> <li>• Employee development certificates</li> <li>• First Aid and CPR</li> <li>• Food Handling Orientation</li> <li>• Med Orientation</li> <li>• Pre-existing certificates, diplomas, other credentials</li> <li>• Safe Water Temperature Orientation</li> <li>• Service Orientation/Re-orientation Checklist</li> <li>• Staff Proficiency Assessment/Quiz</li> <li>• Textured Modified Diet Reading List</li> <li>• Therapeutic Tub Orientation</li> </ul>
<b>Annual Reviews</b>	<ul style="list-style-type: none"> <li>• Performance Evaluations and Reviews</li> </ul>
<b>Correspondence</b>	<ul style="list-style-type: none"> <li>• CRA</li> <li>• Miscellaneous circulation</li> <li>• Recognition Letters</li> <li>• Updates and announcements on Employment Standards</li> <li>• Concern Resolution</li> </ul>
<b>Performance Related</b>	<ul style="list-style-type: none"> <li>• Contact Notes, Coaching Notes and Meeting Minutes</li> <li>• Medication Error Report for Employees</li> </ul>

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**Employee Files Procedure Continued...**

	<ul style="list-style-type: none"> <li>• Non-Performance Reports i.e. Personal Property Damage</li> </ul>
<b>Personal Safety Plan</b>	<ul style="list-style-type: none"> <li>• Work area safety</li> </ul>
<b>TIMESHEETS SECTION</b>	<b>SECTION MAY CONTAIN BUT IS NOT LIMITED TO</b>
<b>Timesheets</b>	<ul style="list-style-type: none"> <li>• Timesheets</li> </ul>
<b>Employee Stat Sheets</b>	<ul style="list-style-type: none"> <li>• Stat Sheets</li> </ul>
<b>Vacation Information</b>	<ul style="list-style-type: none"> <li>• Vacation Requests</li> </ul>
<b>LOA SECTION</b>	<b>SECTION MAY CONTAIN BUT IS NOT LIMITED TO</b>
<b>LOA</b>	<ul style="list-style-type: none"> <li>• LOA Employee and Employer Letters</li> <li>• Request for LOA – e.g. Maternity/Medical</li> </ul>
<b>WORKERS COMPENSATION SECTION</b>	<b>SECTION MAY CONTAIN BUT IS NOT LIMITED TO</b>
<b>WCB</b>	<ul style="list-style-type: none"> <li>• All WCB Documentation</li> </ul>

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