

TABLE OF CONTENTS

<i>About the Authors</i>	iii
<i>Preface</i>	v
1 What is So Important About Employment Files?.....	1
1.1 What is an Employment File?.....	3
1.2 What Records Form Part of a File?	6
1.2.1 Legislated Records.....	6
1.2.2 Compliance Records.....	7
1.2.3 Contracts and Agreements.....	7
1.2.4 Claims Protection.....	7
1.2.5 Business History and Documentation	8
1.2.6 Correspondence.....	9
1.2.7 What Not to Keep.....	9
2 Legislation Affecting Employee Files.....	13
2.1 Employment Standards Legislation.....	13
2.2 Employment Insurance Act and Regulations	18
2.3 The Tax Act	19
2.4 The Immigration and Refugee Protection Act	19
2.5 Occupational Health & Safety/Worker's Compensation	21
2.6 Human Rights Legislation	22
2.7 Personal Information Protection Laws	25
2.8 Employment Equity	32
2.9 Legislation vs. Guidelines.....	32
3 Elements of an Employee File	37
3.1 Contracts	37
3.1.1 Written Employment Agreement	37
3.1.2 Separate Agreements	38
3.1.3 Employment Policies.....	40
3.1.4 Changing Contractual Terms.....	41
3.2 Hiring documents.....	42

Table of Contents

3.2.1	Resume/Curriculum Vitae	42
3.2.2	Background Check.....	43
3.2.3	Reference Check.....	45
3.2.4	Social Media Background Check	46
3.2.5	Employment Status Verification.....	47
3.2.6	Personal Information	48
3.2.7	Emergency Contact Information	50
3.2.8	Job Description	51
3.3	Termination Documents.....	52
3.3.1	Dismissals	52
3.3.2	Resignation Letter.....	55
3.3.3	Storage and Access to Termination Documents	55
3.4	Employee Management	56
3.4.1	Changes to Job Duties	56
3.4.2	Performance Evaluations.....	57
3.4.3	Grade/salary Adjustments	59
3.4.4	Employee Education and Training.....	60
3.4.5	Vacation and Time Management	61
3.5	Special Files.....	62
3.5.1	Medical File.....	62
3.5.2	Disciplinary File.....	63
3.5.3	Payroll File	64
3.5.4	Occupational Health and Safety	66
3.5.5	Investigations.....	67
4	File Management and Policy	73
4.1	Stakeholders	73
4.1.1	Finance/Payroll	74
4.1.2	Managers/Supervisors.....	75
4.1.3	Employees.....	76
4.1.4	Information Technology.....	76
4.1.5	Legal	77
4.2	Understand the Organization.....	77
4.2.1	Size of the Organization	78
4.2.2	Type of Records System in Place	78
4.2.3	Management Support for Making Change.....	79
4.2.4	Culture of the Organization	79
4.2.5	Budget.....	79
4.2.6	What are the Goals?	79
4.3	Organization of Employment Files	80
4.3.1	Central Files	80
4.3.2	Decentralized Files.....	81
4.3.3	Going Paperless.....	81

Table of Contents

4.3.4	Access to Files.....	86
4.4	Security	87
4.4.1	Physical Security	87
4.4.2	Data Security.....	88
4.4.3	Security Policy.....	89
4.5	Privacy Considerations	89
4.6	Retention	93
4.7	Access Requests	97
4.8	Adherence and Maintenance.....	98
4.8.1	Checklist for Employment Records Policy	98
5	Questions and Answers	101
6	Appendix	115
6.1	Working with Confidential and/or Sensitive Information at Home.....	115
6.2	Sample Privacy Policy	118
6.3	Confidentiality Agreements.....	126
6.4	Sample Electronic Communications Policy	130
	<i>Table of Cases.....</i>	135
	<i>Table of Legislation.....</i>	137
	<i>Bibliography.....</i>	141
	<i>Online Resources.....</i>	147
	<i>Index.....</i>	149