

## INDEX

### A

Access requests, 97-98

### B

Background check, 43-45

- consent, 44
- criminality, 44

### C

*Canadian Charter of Rights and Freedoms*, 22-23

Complaint policy and procedure, 67-68, 101

Confidentiality agreement, sample document, 126-129

Contracts, employment, 37

### D

Demotion, 56

Disciplinary file, 63-64

Dismissals

- for cause, 54
- probationary and new employees, 54-55
- • policy of probation, 54
- severance agreement and release, 53
- written notice of, 52-53
- • reasons for termination, 53

### E

Education, *see* Education and training of employees

Electronic communications policy, sample document, 130-134

Emergency contact information, 50, 108

Employee file contents, 37-72

- access requests, 97-98
- what should be kept in file, 111-112

Employee personal information, 3-5, 102, 104

Employment agreement/contract, 37-38

- changing terms, 41
- other separate agreements, 38-40

Employment equity, 32

Employment files

- access to, 86-87
- • define in records policy, 86-87
- • requests, 97-98
- central files, 80
- decentralized files, 81
- defined, 3-6
- digital files, other, 84-85
- • difficulty in control and access, 84
- documents at time of termination, 52

## Index

- Employment files — *cont'd*
- importance of, 1-3
  - paperless (digital), 81-82
  - records in, *see* Records in employment files
  - records policy, formulating, 80-86
  - scanned (paper) files, 85
  - security of, *see* Security of employment records
  - software systems to manage, 82-84
    - • cloud-based, 82
    - • considerations when implementing software system, 83-84
    - • mobile access, 82
    - types of, 5-6
- Employment Insurance Act* and regulations, 18-19
- record-keeping requirements, 18
  - social insurance number (SIN), 18-19
- Employment policies, 40-41
- Employment standards legislation, 13-17
- records collection required by jurisdiction, 15-16
- Employment status verification, 47-48
- work permits, 47-48
- F**
- File/records management, *see* Records management policy
- Finance/payroll, 74-75
- audit trails, 74
  - human resources/finance joint policy, 74-75
  - payroll controls, 74
- G**
- Guidelines vs. legislation, 32-36
- H**
- Hiring documents, 42-52
- Human Resources Information System (HRIS), 76, 78, 82
- Human Resources Management System (HRMS), 76, 78, 82
- Human rights investigations, 70-71
- case law, 70
  - disciplinary action, 71
  - investigation file contents, 70
  - prompt, diligent response, 70
- Human rights legislation, 22-25
- codes, 23-24
  - discrimination, 24
  - Tribunal, 23
- I**
- Immigration and Refugee Protection Act*, 19-21
- authorization to employ, 19-20
  - penalties, 20-21
- Income Tax Act* (federal and provincial), 19
- Information technology, 76-77
- input in policy planning, 76
- Investigations, 67-72
- access restricted to records, 71-72
  - legislated and sensitive, 67
  - human rights, *see* Human rights investigations
  - minor complaints, process and records, 67-68, 101
  - safety investigations, *see* Safety investigations

## Index

- Investigations — *cont'd*
- serious misconduct, *see* Serious misconduct investigations
  - types, 67
- J**
- Job description, 51-52, 111
- Job duties
- changes to, 56-57
  - constructive dismissal, 56
  - relocation or department transfer, 56
- L**
- Learning Management System (LMS), 66
- Legislation vs. guidelines, 32-36
- M**
- Managers/supervisors, 75-76
- needs of managers in policy, 75-76
- Medical file, 62-63
- personal health information, 62-63
  - privacy legislated, 62
  - separate file, 63
- Misconduct investigations, *see* Serious misconduct investigations
- O**
- Occupational health and safety legislation, 21-22
- accident reports, 22
  - incident (minor) reports, 107
  - investigations, *see* Safety investigations
  - policy acknowledgement records, 6-67
  - training records, 22, 66
- Learning Management System (LMS), 66
  - wage records, 22
- Occupational health information, 62-63
- Organization, nature of, 77-80
- assess current records system, 78
  - budget considerations, 79
  - culture, 79
  - management support for change, 79
  - proximity of departments to records, 78
  - security considerations, 78
  - size considerations, 78
- P**
- Payroll file, 64-66
- audit and internal control, 65-66
  - legislated, 64-65
  - payroll register records, 65
  - records authorizing payments and changes, 65
- Performance evaluations, 57-59
- 360 feedback, 57
  - balanced scorecard approach, 57
  - copies kept by manager, 103
  - proper procedure, 58-59, 109
  - personal health information, 62-63
- Personal information, 3-5, 48-50
- consent, 49
  - privacy policy, sample document, 118-126
  - safeguarding of, 49-50, 102, 104
  - sharing of, 49
- Personal Information and Electronics Documents Act (PIPEDA), 25-28, 91*

## Index

- Personal information protection laws, 25-30
- by jurisdiction, 29-30
  - *Personal Information and Electronics Documents Act* (PIPEDA), 25-28, 91
  - purpose and key points, 27-28
- Personnel files, *see* Employment files
- Privacy legislation, *see* Personal information protection laws
- Privacy of records, 89-92, 112-113
- table of factors to consider, 89-91
  - transfer of personal data across borders, 92, 111
- Privacy policy, sample document, 118-126
- R**
- Record of Employment (ROE), 53
- Records in employment files
- business history and documentation, 8-9
  - claims protection, 7-8
  - compliance, 7
  - contracts and agreements, 7
  - correspondence, 9
  - legislated, payroll files, 6
  - lost documents, 108-109
  - what not to keep, 9-11
- Records management experts, 73
- Records management policy, 10-11, 73-99
- access requests, 97-98
  - budget considerations, 79
  - checklist, 98-99
  - communication and training of policy, 98
  - employees, 76
  - employment files, organization, 80-87, *see also* Employment files
  - finance/payroll, *see* Finance/payroll
  - goals defined, 79-80
  - information technology, *see* Information technology
  - legal input/review, 77
  - managers/supervisors, *see* Managers/supervisors
  - organization nature, *see* Organization, nature of
  - privacy considerations, *see* Privacy of records
  - retention, *see* Retention schedule policy
  - stakeholders, 73-77
  - work from home, sample confidential information privacy policy, 115-118
- Reference check, 45-46, 105-106, 110
- Relocation or department transfer, 56
- Resignation letter, 55
- Resume/curriculum vitae, 42-43
- Retention schedule policy, 93-97
- legislative requirements, 93
  - table of factors to consider, 94-97
- S**
- Safety investigations, 68-69
- files separate from employee files, 68-69
  - mandated by law, 68
- Salary/grade adjustments, 59-60
- documentation of, 59, 104, 105

## Index

- Security of employment records, 87-89
- electronic communications policy, sample document, 130-134
  - electronic files, 88
  - physical files, 87-89
  - policy, 89
- Separation of files, 34-36
- Serious misconduct investigations, 69-70
- criminal, police report, 69
  - records on disposition of investigation, 69
  - retention schedule, 70
  - separate file, 69
- Social insurance number (SIN), 18-19, 107
- Social media background check, 46-47
- T**
- Termination documents, *see also* Dismissals
- documents at time of, 52
  - storage and access to, 55-56
- Training and education of employees, 60-61
- V**
- Vacation and time management, 61-62
- accurate records, 61
- W**
- Worker's compensation and insurance acts, 21-22
- Work permits, 47-48