

EMPLOYEE RECORDS POLICY			
Effective Date	June 4, 2019	Policy Type	Administrative
Responsibility	Director, Human Resources	Cross-Reference	1. Freedom of Information and Protection of Privacy Act (FOIP) 2. Records Management Policy 3. Performance Management Policy 4. Progressive Discipline Policy
Approver	Executive Council	Appendices	
Review Schedule	Every 5 years		

1. Policy Statement

1.1 Employee Records are kept in the strictest confidence and contain the information and documents on the individual employment relationship with Northwestern Polytechnic (“NWP”). This policy outlines the procedure for keeping and accessing Employee Files.

2. Background

2.1 To ensure Employee Records are confidential and are held and maintained in a manner that respects the privacy of employee information and meets the requirements of the Freedom of Information and Protection of Privacy Act (“FOIP”).

3. Policy Objective

3.1 The Human Resources Department located on Grande Prairie and Fairview Campuses will maintain an Employee File. These files are property of NWP and contain relevant information with respect to each employee.

3.2 The purpose of Employee Records is to maintain current employee data and information for business and employment related purposes, or where authorized or required by law.

3.3 To ensure that access to employee information is adhered to, any requests related to the Employee File must be directed to the Human Resources Department.

4. Scope

4.1 This policy applies to all current and former employees (as required by the applicable legislations).

5. Definitions

5.1 **“Employee File”** is a collection of records and facts about the employee and related employment status changes. It also contains a record of events (i.e. including promotions, transfers, absenteeism, performance appraisals and letters of discipline).

- 5.2 **"Employee Record"** refers to any form, report, original, microfilmed or electronic record, notes or documentation relating to or impacting the selection, status, salary, performance, benefits, disciplinary action, training, etc. of an employee, prospectively employed or separated person.

6. Guiding Principles

6.1 Internal Request to access Employee Files

6.1.1. Access to Employee Files is restricted to authorized personnel where it is necessary for the performance of their duties, including but not limited to Human Resources, Payroll, Legal advisors, internal auditors, and the employee's supervisor, the applicable Dean/Director, the applicable Vice-President and the President. All information placed in the Employee Files is confidential in nature and it will only be divulged to individuals who have been authorized to receive such information. The right of every staff member to privacy shall be recognized and protected, consistent with NWP policy guidelines, applicable legislation and collective agreement provisions.

6.1.2. Employee's files may be viewed under the following conditions:

6.1.2.1. Employee

Upon employee's written request with at least 24 hours advance notice. Employees are allowed access to their own Employee File under the guidance and supervision of Human Resources staff.

6.1.2.2. Supervisor, Dean/Director, Vice-President, President

For confidential use where it is necessary for the performance of their duties.

6.1.2.3. Human Resources

In the day to day carrying out of responsibilities.

6.1.3. No employee may alter or remove any document from his or her Employee File.

6.1.4. Access to Employee Files for reasons other than those listed above must make written application with at least 24 hours notice to the Director, Human Resources.

6.1.5. Employee Files must remain in the Human Resources Department.

6.2 External Requests to Access/Share Employee Information

6.2.1. Personal information will only be released in compliance with FOIP.

6.2.2. The Human Resources Department will verify employment as required by applicable legislation or with the employee's consent (written or verbal) to release the information to any external party.

6.3 Information/Records Retained

6.3.1. To ensure accuracy in our records, any changes to an employee's personal information (i.e. address, marital status) must be provided in writing to Human Resources in a timely fashion. Requests to amend or remove documents from an Employee File must also be made in writing to Human Resources.

6.3.1.1. The following information and records will be placed in the employee file:

- 6.3.1.1.1. Hiring documentation (i.e. recommendation form, resume);
- 6.3.1.1.2. Leave approvals (notification and acceptance);
- 6.3.1.1.3. Tenure documentation;
- 6.3.1.1.4. Documentation related to performance evaluations;
- 6.3.1.1.5. Faculty workload statements;
- 6.3.1.1.6. Faculty Spring and Summer Activities;
- 6.3.1.1.7. Benefits documentation;
- 6.3.1.1.8. Personal information, including birth date, marital status, address, phone number, and emergency notification;
- 6.3.1.1.9. Performance Evaluations;
- 6.3.1.1.10. Written disciplinary action and related materials;
- 6.3.1.1.11. Letters of resignation and documentation of termination;
- 6.3.1.1.12. Pension information; and
- 6.3.1.1.13. Other relevant information regarding the employee's employment with NWP.

6.3.1.2. The following documents will be reviewed on a regular basis and outdated material will be removed. This includes the following:

- 6.3.1.2.1. Absence reports older than five years;
- 6.3.1.2.2. Disciplinary action, subject to Collective Agreement requirements and Progressive Discipline Policy; and/or
- 6.3.1.2.3. Other information as determined by the Director, Human Resources.

6.4 Retention of Employee Records

Employee Records of former employees of NWP may be transferred to microfiche/electronic storage one year following the employee leaving the Polytechnic's employ. Microfiche files/electronic records will be retained for a minimum of seven years.

7. Roles and Responsibilities

STAKEHOLDER	RESPONSIBILITIES
Executive Council	<ul style="list-style-type: none"> • Approve and formally support this policy
Director, Human Resources	<ul style="list-style-type: none"> • Develop and maintain this policy • Manage the effective implementation and operation of this policy • Ensure that confidentiality is maintained with respect to Employee Files
Human Resources	<ul style="list-style-type: none"> • Ensure that Employees Files are complete • Restricts access to Employee Files
Immediate Supervisor	<ul style="list-style-type: none"> • Will have access to Employee File for employees that reports directly to them
Employee	<ul style="list-style-type: none"> • Review and ensure that the information held within their file is accurate

8. Exceptions to the Policy

- 8.1 Exceptions to the guiding principles in this policy must be documented and formally approved by the President and CEO.
- 8.2 Policy exceptions must describe:
 - 8.2.1. the nature of the exception;
 - 8.2.2. a reasonable explanation for why the policy exception is required.
 - 8.2.3. any risks created by the policy exception and
 - 8.2.4. evidence of approval by the President and CEO

9. Inquiries

- 9.1 Inquiries regarding this Policy can be directed to the Director, Human Resources.

10. Amendments (Revision History)

- 10.1 Amendments to this Policy will be published from time to time and circulated to the NWP Community.