**EMPLOYEE FILE CHECKLIST & GUIDELINES**

# Employee File Checklist: ADMINISTRATIVE

Information contained in this file is strictly confidential. Access is restricted to the Employee, Human Resources Manager, and Executive Director. The Employee’s direct supervisor may request information through HR.

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| **OVERVIEW** |

Position:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Work Location: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Start Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Manager:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

End Date of Probationary Period: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Performance Review (3m-date): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

□ COMPLETED □ DOCUMENTATION RECEIVED

Performance Review (6m-date): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

□ COMPLETED □ DOCUMENTATION RECEIVED

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| **EMPLOYMENT INFORMATION** |

□ Job Description □ Vaccination Record (if applicable)

□ Employment Application: Cover Letter & Resume □ Onboarding Checklist

□ Employee Agreement □ Signed Acknowledgement of Employee Handbook

□ Emergency Contact Information □ Signed Conflict of Interest & Confidentiality Forms

□ Staff Appointment Form □ Health & Safety Orientation Checklist

□ Photocopies of any certification and/or training records (if applicable)

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| **PERFORMANCE APPRAISALS/EMPLOYEE RELATIONS** |

□ Performance Review Forms □ WorkSafe Documentation and Records

□ Demotion/Promotion Documentation □ Investigation Documentation

□ Disciplinary Action Reports

□ Employee written warning notice (disciplinary notices, letters, documents, memos)

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| **TRAINING/DEVELOPMENT** |

□ Training Application/Requests □ Training History Records

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| **VACATION** |

□ Vacation Approval Requests □ Vacation Carry-Over Requests

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| **LEAVES** |

□ Short-term Sick Leave Request □ Compassionate Care Leave Request

□ Long-term Disability Request □ Critical Illness or Injury Leave Request

□ Maternity & Parental Leave Request □ Family Responsibility Leave Request

□ Adoptive Leave Request □ Domestic or Sexual Violence Leave Request

□ Bereavement Leave Request □ General Leave Without Pay Request

□ Leave Respecting the Disappearance of a Child Request □ Leave Respecting the Death of a Child Request

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| **EMPLOYEE SEPERATIONS** |

□ Resignation Statement □ Exit Interview Documentation

# Employee File Checklist: CONFIDENTIAL

Information contained in this file is strictly confidential and is kept separate from the employee’s personnel file. Contained in this file is information that must remain confidential to protect the medical privacy of the employee and/or the identity of references and investigative sources.

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| **EMPLOYMENT INFORMATION** |

□ Notes from Hiring Interview

□ Notes from Reference/Background Checks

□ Criminal Record Check and Vulnerable Sector Screening

□ Direct Deposit Form

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| **MEDICAL RECORDS & INFORMATION** |

□ Record of request(s) for sick leave by the employee

□ Accommodation request(s)

□ A copy of any notice and a copy of any medical certificate submitted by the employee in respect to a leave or interruption

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| **INVESTIGATION RECORDS** |

□ Background documents and notes

# Employee File Checklist: GUIDELINES

**STORAGE**

* Maintaining the privacy of employees is extremely important. All files must be kept in a locked location with strict access controls.
* Payroll and other employment records must be kept for at least 36 months after the date the employment relationship has terminated[[1]](#footnote-1).

**EMPLOYEE RESUME AND COVER LETTER**

* A clean copy of the employee’s resume and cover letter are to be kept in the personnel file.

**REFERENCE CHECKS**

* To protect the identify of employee reference checks, all documentation related to an employee’s hiring references must be kept separate, or, if the employee submits a request to access their personnel file, this document shall be anonymized.

**EMPLOYEE MEDICAL INFORMATION**

* It is best practice to store all documentation related to an employee’s health in a file that is kept physically separate from the general employee file.[[2]](#footnote-2) This is to protect the medical privacy of the employee and to limit the number of employees who have access to that information. For example, even if the human resource department is given an employee’s health information, it may not be necessary to provide that information to their manager, who may only need to know the specific information about an employee’s return to work date. All communication and documentation related to a potential medical leave, etc. can be kept in the employee’s administrative file as long as no medical details are revealed. At minimum, the start and end dates of any medical leave(s) must be documented in an employee’s general personnel file.

**INVESTIGATION OR DISCIPLINARY DOCUMENTATION**

* All background documentation related to an employee investigation or disciplinary case must be kept separate from the general employee file. Only the final, formal written report sent to the employee shall be kept in the general employee file. This is to protect the privacy of any potential sources involved in the employee investigation.
1. Source : Canada Labour Standards Regulations, Section 24, <https://www.canada.ca/en/employment-social-development/services/labour-standards/reports/records.html> [↑](#footnote-ref-1)
2. Source: BC Civil Liberties Association, <https://bccla.org/privacy-handbook/main-menu/privacy5contents/privacy5-8.html> [↑](#footnote-ref-2)