



Information, Privacy and Archives Division


Government of Ontario Function-Based Common Records Series: Employee Management

December 2014

AUTHORIZATION

**Government of Ontario Function-Based Common Records Series:
Employee Management (EMP)**

Approval under authority of the *Archives and Recordkeeping Act, 2006*:


James G. Hamilton, Archivist of Ontario

Date:

2014.12.17

Employee Management

Function Acronym: EMP

Description

The function of managing all employees in the ministry. Employees include employees of a Minister's office, regular and fixed term employees, people working under scholarships, internships and similar relationships. Also includes unpaid personnel such as student placements, co-op placements and volunteers. Includes the management of individual salaries, pensions and benefits, and working hours as related to employees.

Activities Performed Under This Function

Acronym	Name
AUT	Authorization
ESH	Employee Service History
PRO	Procedures
REC	Recruitment

For information about the function-based common records series and their use, please visit the [Function-Based Common Records Series](#) page on iNetwork.

Summary of Series

Series Number	Series Name	Retention Period	Closure Criteria	Final Disposition
Authorization (AUT)				
EMP-AUT-001	Employee Requests	CCY + 2 years	After actions are completed	Destroy
Employee Service History (ESH)				
EMP-ESH-001	Establishment	CCY + 2 years	After separation / end of assignment	Destroy
EMP-ESH-002	Health and Wellness	CCY + 2 years	After separation / end of assignment	Destroy
EMP-ESH-003	Pay, Benefits, and Pension	CCY + 2 years	After separation / end of assignment	Destroy
EMP-ESH-004	Leaves of Absence	CCY + 2 years	After separation / end of assignment	Destroy
EMP-ESH-005	Performance Management	CCY + 2 years	After separation / end of assignment	Destroy
EMP-ESH-006	Separations	CCY + 2 years	After separation / end of assignment	Destroy
EMP-ESH-007	Employment Transition	CCY + 6 years	After end of job security entitlements	Destroy
Procedures (PRO)				
EMP-PRO-001	Operating Procedures	CCY + 5 years	After procedures are superseded or obsolete	Destroy
Recruitment (REC)				
EMP-REC-001	Selection and Hiring	CCY + 2 years	After positions are filled	Destroy

Activity: Authorization (AUT)

Description: The process of seeking and granting permission to undertake a requested action.

Series #: EMP-AUT-001	
Series Title: Employee Management – Authorization – Employee Requests	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-7100 (Conferences, Meetings and Symposia) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in seeking approval for employee accommodation initiatives, flexible work arrangements, and leaves of absence. Approvals are also sought for employee attendance at conferences, meetings, symposia, etc., as well as for arrangements and bookings related to travel and accommodation at these events.	
Contents:	
Records may include but are not limited to business cases, approvals, correspondence, conference / event program outlines, expenditure forms, completed registration forms, confirmations, and refused applications.	
Notes:	
Cross References:	

Activity: Employee Service History (ESH)

Description: The activities associated with managing the appointment and service of employees.

Series #: EMP-ESH-001	
Series Title: Employee Management – Employee Service History – Establishment	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1000-10 (Individual Employee Files – Program Area Copy) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After separation / end of assignment
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of hiring and on-boarding of employees.	
Contents:	
Records may include but are not limited to <u>ministry copies</u> of the following:	
<p>New hires records: Signed offer letter; New Hire Checklist; Induction Interview Package; Continuous Service Date calculation / re-calculation sheets and letter to employee; Oath of Office / Oath of Allegiance, certified true copy of Birth Certificate / Canadian Citizenship / Passport / Work Permit; Hiring WEAR form; Application for Direct Deposit Form and Void Cheque; Initial WIN Employee Contact Data Form; TD 1 and TD1 ON; Appointment to Provincial Schools Authority Contract; Letter of Standing; proof of required licences or memberships; credentials and certificates mandatory for job; FLS certificates; typing tests results; security clearance certificate / confirmation letter.</p> <p>Group insurance records: Group Insurance Application or Change Form All Groups EXCEPT Judges and PSAT; Group Insurance Application or Change Form Judges and Provincial Schools Authority Teachers (PSAT); Confirmation / Status Letters from carrier; confirmation of estate disbursements; Application / Change of Coverage Form; confirmation of executor; death certificate; supplemental beneficiary documents (i.e. irrevocable contingency).</p> <p>WEAR forms and offer letters: Authorization for changes to the employee's position,</p>	

status, pay or WIN information (e.g. reporting relationship change, reclassification – promotion / demotion, fixed-term contract extensions, temporary assignment, extensions, merit deferrals, extension of probation. etc.), notification letters; temporary assignment agreements / extensions.

Notes:

This series pertains only to ministry (manager or program area) copies. Authoritative records are maintained by HROntario.

Cross References:

Series #: EMP-ESH-002	
Series Title: Employee Management – Employee Service History – Health and Wellness	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1000-10 (Individual Employee Files – Program Area Copy) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After separation / end of assignment
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose:	
<p>Information is created and/or received and used in documenting arrangements regarding employment accommodation, health reassignment and return to work due to illnesses, injuries or disabilities, as well as those pertaining to flexible work arrangements (e.g. compressed work week arrangements, telework arrangements, part-time work, job sharing, pre-retirement part-time work, etc.).</p>	
Contents:	
<p>Records may include but are not limited to <u>ministry copies</u> of the following:</p> <p>Medical Notes; Employment Accommodation plans and records; Return to Work plans and records; modified work schedule requirements; Attendance Management Policy and Programs records; Long-term Income Protection (LTIP) records (Application letters, Approval / Denial letters, Terminations, Appeals, Rehabilitation, STSP release of information, Job Demands Analysis, Request for additional information from carrier, Notification of Employee Absence for longer than three months, Employers Statement, request for remaining credits not to be paid out).</p> <p>Also includes flexible work arrangement agreements, approvals, correspondence, plans and evaluation criteria.</p>	
Notes:	
<p>This series pertains only to ministry (manager or program area) copies. Authoritative records are maintained by HROntario.</p>	
Cross References:	
<p>See Series OHS-CLA-001 (Occupational Health and Safety – Claims - WSIB Case Files) for Workplace Safety and Insurance Board (WSIB) claims.</p>	

Series #: EMP-ESH-003	
Series Title: Employee Management – Employee Service History – Pay, Benefits, and Pension	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1000-10 (Individual Employee Files – Program Area Copy) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After separation / end of assignment
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used for employee pay, benefits and pension matters.	
Contents:	
Records may include but are not limited to <u>program area copies</u> of the following:	
<ul style="list-style-type: none"> • Pay Records (Notice of overpayment / underpayment, Confirmation of overpayment/ underpayment, Pay implication letters); • Benefits records (Confirmation of Student Status Form); • Pension records (Enrolment form / checklist, Buy Back records [Application for Past Service Credit], Transfer / Termination forms [e.g. RRSP Transfer – Financial Institution Letter]). 	
Notes:	
This series pertains only to ministry (manager or program area) copies. Authoritative records are maintained by HROntario.	
Cross References:	
See Series FIN-SAL-001 (Financial Management – Salaries – Payroll) regarding the process of managing the payment of salaries, wages and benefits to employees of the OPS.	

Series #: EMP-ESH-004	
Series Title: Employee Management – Employee Service History – Leaves of Absence	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1000-10 (Individual Employee Files – Program Area Copy) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After separation / end of assignment
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of arranging for leaves of absence, including pregnancy / parental, unpaid, self-funded and special leaves.	
Contents:	
Records relating to the arrangement of employee leaves of absence, including pregnancy / parental, unpaid, self-funded and special leaves.	
Records may include but are not limited to <u>program area copies</u> of the following:	
Approval letter or email; Leave Without Pay Greater Than 30 Days Information Package; Application to Contribute During an Unpaid Leave of Absence; Leaves of Absence Without Pay for More Than One Month Form; Self-Funded Leave Plan; Self-Funded Leave Plan Application / Amendment; Self-Funded Leave Plan Withdrawal; Self-Funded Leave Commencement.	
Also may include Pregnancy / Parental / Adoption Leave of Absence records (Pregnancy / Parental / Adoption Leave of Absence Information Package)	
Notes:	
This series pertains only to ministry (manager or program area) copies. Authoritative records are maintained by HROntario.	
Cross References:	

Series #: EMP-ESH-005	
Series Title: Employee Management – Employee Service History – Performance Management	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1000-10 (Individual Employee Files – Program Area Copy) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After separation / end of assignment
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose:	
<p>Information is created and/or received and used for identifying, evaluating, and developing employee work performance through periodic performance reviews, including the development and review of individual learning plans.</p> <p>Information is also used to demonstrate employee fulfilment of required ministry or OPS training related to employee obligations under applicable legislation, directives, policies etc. (e.g. regarding Accessibility, Diversity, Conflict of Interest, etc.).</p> <p>Information may also pertain to disciplinary matters regarding misconduct on the part of an employee.</p>	
Contents:	
<p>Records may include but are not limited to <u>ministry copies</u> of Preliminary / Mid-Term Performance Development Plan (PDP), reviews of flexible work arrangements; letters of commendation; employee sign-off on understanding of local / ministry policies (including those regarding Accessibility, Diversity, Conflict of Interest, etc.).</p> <p>Also includes training / learning plans (note: Management Compensation Plan (MCP) plans are stored online in the Talent Management system); First Aid Certificates; correspondence; confirmations of successful completion of training.</p> <p>Also may include disciplinary records such as Discipline / Suspension Letters (Pay implication letters, Memoranda of Agreement [If affecting pay, service dates, merit dates etc.]).</p>	
Notes:	
This series pertains only to ministry (manager or program area) copies. Authoritative records	

are maintained by HROntario.

Final signed PDP forms part of the Corporate Employee HR File and is maintained by HROntario. Final PDPs for employees in Talent Management program are maintained online in the Talent Management system.

Cross References:

See Series LAB-GRV-001 (Labour Relations – Grievances - Individual Grievances and Arbitrations) and Series LAB-GRV-002 (Labour Relations – Grievances - Group Grievances and Arbitrations) for grievances.

See Series LDV-COM-001 (Learning and Development – Compliance – Mandatory Employee Training) regarding ministry compliance with OPS and ministry requirements for employee participation in learning and development / training programs and activities.

Series #: EMP-ESH-006

Series Title: Employee Management – Employee Service History – Separations

Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1000-10 (Individual Employee Files – Program Area Copy) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
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Closure Criteria	After separation / end of assignment
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Total Retention	CCY + 2 years
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Final Disposition	Destroy
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Purpose:

Information is created and/or received and used when employees leave the OPS due to dismissal, resignation, retirement, redundancy or death.

Contents:

Records may include but are not limited to program area copies of the following:

Employee's resignation letter / intent to retire letter / Pre-retirement part-time employment notice letter; Termination / Notice of Layoff letter; ministry notification of employee retiring after receiving notice of layoff; written notice of dismissal and restrictions on future employment if applicable; Exit Interview Package, Resignation Information Package, or Notice of Layoff Resignation Information Package; Authorization for Severance Pay; Severance Calculations and Financial Statement; Recovery of Assets / Clearance Certificate Form; confirmation of retirement date; Factor 80 or 90 date (fax from Ontario Pension Board or OPSEU Pension Trust).

Notes:

This series pertains only to ministry (manager or program area) copies. Authoritative records are maintained by HROntario.

Cross References:

Series #: EMP-ESH-007	
Series Title: Employee Management – Employee Service History – Employment Transition	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1650-10 (Employment Transition – Individual Employee Records) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After end of job security entitlements
Total Retention	CCY + 6 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the employment transition process for individual OPS employees under notice of layoff.	
Contents:	
Records may include but are not limited to <u>program area copies</u> of employee portfolios; employment transition letters; options sheets; offers / assignment letters; employee displacement documentation; direct assignment information; information on temporary or permanent assignments; notes; and exit documentation.	
Notes:	
This series pertains only to ministry (manager or program area) copies. Authoritative records are maintained by HROntario.	
Employees' job security entitlements may end for reasons ranging from resignation, retirement, and successful job placements, to rescission of notice.	
Cross References:	

Activity: Procedures (PRO)

Description: The activities involved with developing and adopting standard organizational methods of operating according to formulated policy.

Series #: EMP-PRO-001	
Series Title: Employee Management – Procedures – Operating Procedures	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-6750 (Manuals Management) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After procedures are superseded or obsolete
Total Retention	CCY + 5 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used to develop and review ministry procedures related to employee management.	
Contents:	
Records may include but are not limited to final versions of manuals, handbooks, guidelines, etc. detailing procedures for ministry employee management programs.	
Includes records relating to the development and review of procedures, including background research, draft versions of procedures containing significant changes / alterations or formally circulated for comment, reports analyzing issues, and the outcomes of consultation.	
Notes:	
Cross References:	
See Series LAB-PRO-001 (Labour Relations – Procedures – Operating Procedures) for ministry procedures regarding labour relations activities.	

Activity: Recruitment (REC)

Description: The activities associated with recruiting employees and volunteers.

Series #: EMP-REC-001	
Series Title: Employee Management – Recruitment – Selection and Hiring	
Rationale for Retention Period	Replicates retention period in Series 15.10.1 (Personnel – Recruitment) in the New South Wales <i>General Retention and Disposal Authority: Administrative Records</i>
Closure Criteria	After positions are filled
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in planning for, attracting, selecting and hiring employees to work in the OPS.	
Contents:	
Records relating to the various processes (see Notes below) involved in recruiting, interviewing and hiring of OPS employees.	
Records may include but are not limited to <u>ministry copies</u> of the following:	
Ministry approval to fill the position; job description; Job Information Package (JIP); staffing strategy; overview of vacancy and staffing requirements; requisite approvals to begin competitions; job posting strategy; internal and external job postings / advertisements; candidate resumes; lists of candidates; selection criteria and assessments; interview schedules; lists of selection board members.	
Also includes interview formats and questions, rating and ranking materials, candidates' written consent to check references, reference check information, and original ESRA (Employment Screening Risk Assessment Form).	
Also includes applications for employment, interview reports, and correspondence with applicants, including offer or rejection letters where applicable; temporary assignment agreement; and welcome and offer letters.	

Notes:

This series pertains to the planning for / recruitment of employees to fill positions, NOT to individual employee files. See Series under Employee Management – Employee Service History (EMP-ESH-001 through EMP-ESH-007) for ministry copies regarding individual employee files.

Original records from this series are forwarded to Recruitment Services at HROntario. This series pertains only to ministry or manager copies.

The Recruitment Process comprises four phases, each with its own steps and goals:

1. The Planning Phase begins with a manager deciding to recruit for a vacancy and ends with fulfilling the Employer's obligations around security entitlements and workforce adjustment provisions.
2. The Attraction Phase involves attracting, screening and assessing applications to determine qualified candidates.
3. The Selection Phase includes selecting, interviewing and evaluating qualified applicants and determining the successful candidate.
4. The Hiring Phase is the final phase of the recruitment process. It involves making an offer to the successful candidate and preparing them to join the team.

Cross References:

See Series under Employee Management – Employee Service History (EMP-ESH-001 through EMP-ESH-007) for ministry copies relating to individual employee files.

See Series FPM-SEC-001 (Facilities and Property Management – Security – Employee Access) for records relating to the issuing of security badges to employees.