

# University Recordkeeping Manual

## Part Four

### Staff Records

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#### 1. Managing the official staff file

An official staff file is created for every staff member upon appointment. The files are created by Records Management Services (RMS) and registered on the University's official records management system, known as Records Online. The contents of staff files are then managed by the relevant Human Resources Service Centre (HRSC) staff. Traditionally, staff files were maintained in paper format. From 31<sup>st</sup> March 2008, new staff files were electronic and new documents were only be added to staff files in electronic format.

The official University file should only contain the routine documents relating to the management of a staff member's employment. Documents relating to worker's compensation claims; disciplinary action and complaints; EEO or harassment matters; or Industrial Relations disputes go on separate *administrative* files relating to those matters.

#### 2. Local files

Many departments hold a 'local' file for staff within that department. Local files should only contain duplicates of those documents held on the official file or on electronic systems, for convenience and for ready reference. Never retain significant documents crucial to the management of a staff member's employment on local files only. Local files must be managed in the same way as official files. They should be stored securely and staff members should be made aware of the files' existence and should be provided with access to their own file upon request.

#### 3. Privacy issues

##### 3.1 Personal information

- All staff files contain personal details and should only be accessed by those with the need and the authority to do so.
- Only documents relating to the relevant staff member should be placed on that person's staff file. If a document (email, letter, memorandum, etc) contains information about another party, remove or obscure that information, even in circumstances where several people are mentioned on a document or piece of correspondence. Not to do so may breach NSW privacy legislation.
- Do not leave staff files in public view or where they can be easily accessed by unauthorised people. When the office is unattended, make sure that either the office is locked or the files are secured in a locked cabinet. The same security protections should be applied to the 'local' files (if held) as the official file.

- Do not leave documents concerning staff members open on your computer screen and ensure your screen locks if left unattended.
- Do not attach documents to email messages. Send a link to the relevant document in Records Online. This can be done by following the instructions available from:  
[http://www.usyd.edu.au/arms/records\\_mgmt/training\\_doc.shtml](http://www.usyd.edu.au/arms/records_mgmt/training_doc.shtml)

### **3.2 Staff right of access to their own file**

As all staff have the right to access their own files, always assume that documents about staff members will be read by the person it concerns. While 'full and complete records' should be maintained, only information pertinent to the staff member's employment should be placed on their file.

Only those routine documents relating to the management of a staff member's employment should be on the staff file. Documents relating to worker's compensation, complaints or discipline matters should go on the relevant case file.

The approval process of staff to access their own staff file is set out in the attached Appendix B2.

Appendix B3 is the Application form which is to be signed by the staff who requested access to view their own staff files.

### **3.3 Access to Staff Files by others**

Staff are only to have access to the Staff Files that they need in order to discharge their duties and responsibilities. Appendix A provides matrixes of default access permission models approved by Director, Human Resources, SydneyPeople, March 2008.

Although supervisors do not have an automatic right of access to the Staff Files of their subordinate staff, access to such files may be granted by lodging an *ad hoc* request to HRSC Manager. The approval process of such *ad hoc* request is set out in the attached Appendix B.

Security of, and access to, staff files is managed through Records Online. Records officers are not permitted to issue staff files without the approval from the HRSC Manager.

## **4. Transferring files**

All official staff files are registered on the University's records management system, Records Online. It is critical that the current location of the staff files is kept accurate at all times.

It is the responsibility of the HRSC staff to change the location for hardcopy files in Records Online when:

- hardcopy file(s) are taken out of storage and will be worked with it for more than one day;
- hardcopy file(s) are given to another authorised staff member without an *ad hoc* request to HRSC Manager;
- files have been sent back to HRSC.

RMS staff will record the movement of a hardcopy file issued as the result of an approved *ad hoc* request for a staff file.

Appendix B1 provides process charts which indicates the roles and responsibilities of HRSC and RMS staff when transferring files out of HRSC.

## **5. File audits**

From time to time RMS will conduct a file audit of the physical files. The audits will ensure that the information available on the system regarding hardcopy file locations is accurate and up-to-date. RMS staff will make sure that audits are conducted at a convenient time and we appreciate your assistance in allowing our staff into your office and in making all official University files accessible to the person conducting the audit.

If a file which is marked out to you cannot be located, we would appreciate you taking the time to search for it. Should you wish to know which files are marked out to you, see <https://recordsonline.usyd.edu.au/webdrawer/myrecords.htm>.

## **6. Disposal**

### **6.1 Who is responsible for disposing of staff files?**

Archives and Records Management Services are responsible for disposing of ALL official staff files. If you have official files which are no longer required in your area, or files of ex-employees, please return them to RMS. As 'local copies' of staff files should only contain duplicate material, they may be destroyed when no longer required for reference use.

Always ensure that any personal information is destroyed using the confidential waste service.

### **6.2 Staff responsibilities for maintaining personal records**

As most Staff Files are eventually destroyed after the expiration of the mandatory retention period, staff members should be encouraged to maintain their own records of non-University related activities once they leave the University's employ.

### **6.3 State Archives**

Some personnel data for every employee is required by the NSW State Records Authority to be retained permanently as State archives. This data is recorded on the University's personnel management system, and therefore is not the responsibility of individual officers to retain. The type of data deemed of archival significance includes:

- Personal details (name, address, d.o.b., etc)

- Period of employment
- Basis of employment (temporary/permanent)
- Position/designation
- Work location
- Work history details

The State Records Authority also requires staff files for certain classes of employees to be retained permanently as State archives. The staff files of senior officers of the University, including Vice-Chancellors, Deputy Vice-Chancellors, Pro-Vice-Chancellors, Deans, Professors, Registrars and some other senior staff fall within this category.

## **7. Contents of a staff file**

### **7.1 Composition of a staff file**

An official staff file consists of:

- Employment file
- Payroll – related file
- Performance – related file
- SSP – related file
- Leave records – related file
- Termination – related file, and
- Immigration – related file, only for some employees

### **7.2 What DOES NOT go on a staff file?**

- Any information which is recorded, verified and able to be audited on official University systems, such as Peoplesoft or Talent2, does NOT need to be retained in hard copy upon the staff file, nor should printouts from electronic systems be stored on the file. Contact the HR Service Centre if you are not sure what is electronically verifiable.
- 'Case management' documents, such as those relating to discipline and grievance matters, or compensation/rehabilitation matters, should be placed on a relevant administrative file, NOT on the staff member's file. The reason that these documents are kept separate of the staff file is they have a higher level of confidentiality, a different retention period, different storage requirements and different reporting requirements. There needs to be a discrete case file containing all related documents for the investigation and management of cases.
- Selection committee reports (as it will always refer to others). These will go on the position file;
- Appointment papers (these go on an appointment file)
- Unsuccessful applications for promotion (these will go on a separate generic file);
- Recreation leave application forms;
- Subpoenas and related court documents

### **7.3 What DOES go on a staff file?**

The documents which should go on staff files, in most circumstances, are:

- Documents relating to the position (advertisement, duty statement, etc.) to which the staff member was appointed;
- Contract signed by employee, with conditions of employment;
- Staff appointment form;
- Copies of verification documents (qualifications, birth certificates, citizenship or visa status etc);
- Curriculum vitae;
- Probation reports;
- Some leave documentation:
  - Leave without pay
  - Special duty overseas
  - Long service leave
  - Maternity leave
  - SSP – Special Studies Program
  - Some sick leave documentation
  - Study leave;
  - Higher duties allowance documentation;
  - Reclassification documentation;
  - Confirmation letter to staff advising their unsuccessful applications for promotion
- Restructure/change of award documentation where it affects the employee specifically;
  - Any correspondence between the employee and the University;
  - All documents relating to termination of employment.

## Appendix A

### General Principles:

Staff are only to have access to the Staff Files that they need in order to discharge their duties and responsibilities.

In most circumstances, the following rules will apply to managers who request *ad hoc* access to employee files:

- Dean requests access – access granted for all staff reporting to her/him
- Head of School – access granted for all staff reporting to her/him
- Team managers level 9 or above – access granted to team members reporting to them.

RMS staff are not permitted to issue files contrary to the restrictions in the absence of directions from the HRSC Manager.

### Default Access Permission Models:

The following matrix (Figure 1) sets out the default access permission model to staff files defined by employee category

User	Category of employee		
	SydneyPeople	Executive	Other
Ad Hoc (for example, Dean or HOS)	By request	By request	By request
Archives and Records Management Services (ARMS)	✓	✓	✓
Audit	✓	✓	✓
Case Management	By request	By request	✓
Freedom of Information staff and Registrar	✓	✓	✓
HR Director	✓	✓	✓
HR Relationship Group	X	X	✓
HR Relationship Group for SydneyPeople & Executives*	✓	✓	✓
HR Service Centre Immigration & Relocation Team	✓	✓	✓
HR Service Centre Managers**	✓	✓	✓
HR Service Centre team	X	X	✓
HR Service Centre team member for SydneyPeople***	✓	✓	✓
Individual staff members own files	By request	By request	By request
Office of General Council (OGC)	✓	✓	✓
Remuneration Strategy team	✓	✓	✓
Vice-Chancellor	✓	✓	✓

\*HR Relationship Manager (currently Antoinette Holt) and HR Relationship Co-ordinator (currently Kate Hadfield)

\*\* Head of HR Service Centre (currently Terri Bevan) HR Service Centre Manager (currently Tracy Martin) and HR Service Centre Team Managers (currently Marilyn Croft, Jaideep Jhala and Steve Kearns)

\*\* HRSC team member for SydneyPeople (currently Sarah Kilmartin)

**Figure 1: Access defined by category of employee**

The following matrix (Figure 2) sets out the default access permission model to staff files defined by file content.

User	File content						
	Employment	Leave	Payroll	Performance	Immigration	Leave SSP	Termination
Ad Hoc (for example, Dean or HOS)	By request	By request	By request	By request	By request	By request	By request
Archives and Records Management Services (ARMS)	✓	✓	✓	✓	✓	✓	✓
Audit	✓	✓	✓	✓	✓	✓	✓
Case Management	✓	✓	✓	✓	✗	✓	✓
Freedom of Information staff and Registrar	✓	✓	✓	✓	✓	✓	✓
HR Director	✓	✓	✓	✓	✓	✓	✓
HR Relationship Group	✓	✓	✓	✓	✗	✓	✓
HR Relationship Group for SydneyPeople & Executives	✓	✓	✓	✓	✗	✓	✓
HR Service Centre Immigration & Relocation Team	✓	✓	✓	✓	✓	✓	✓
HR Service Centre Managers	✓	✓	✓	✓	✓	✓	✓
HR Service Centre team	✓	✓	✓	✓	✗	✓	✓
HR Service Centre team member for SydneyPeople	✓	✓	✓	✓	✗	✓	✓
Individual staff members own files	By request	By request	By request	By request	By request	By request	By request
Office of General Council (OGC)	✓	✓	✓	✓	By request	✓	✓
Remuneration Strategy team	✓	✓	✓	✓	By request	✓	✓
Vice-Chancellor	✓	✓	✓	✓	✓	✓	✓

\* HR Relationship Manager (currently Antoinette Holt) and HR Relationship Co-ordinator (currently Kate Hadfield)  
 \*\* Head of HR Service Centre (currently Terri Bevan) HR Service Centre Manager (currently Tracy Martin) and HR Service Centre Team Managers (currently Marilyn Croft, Jaideep Jhala and Steve Kearns)  
 \*\*\* HR Service Centre Senior Team Member (currently Sarah Kilmartin).

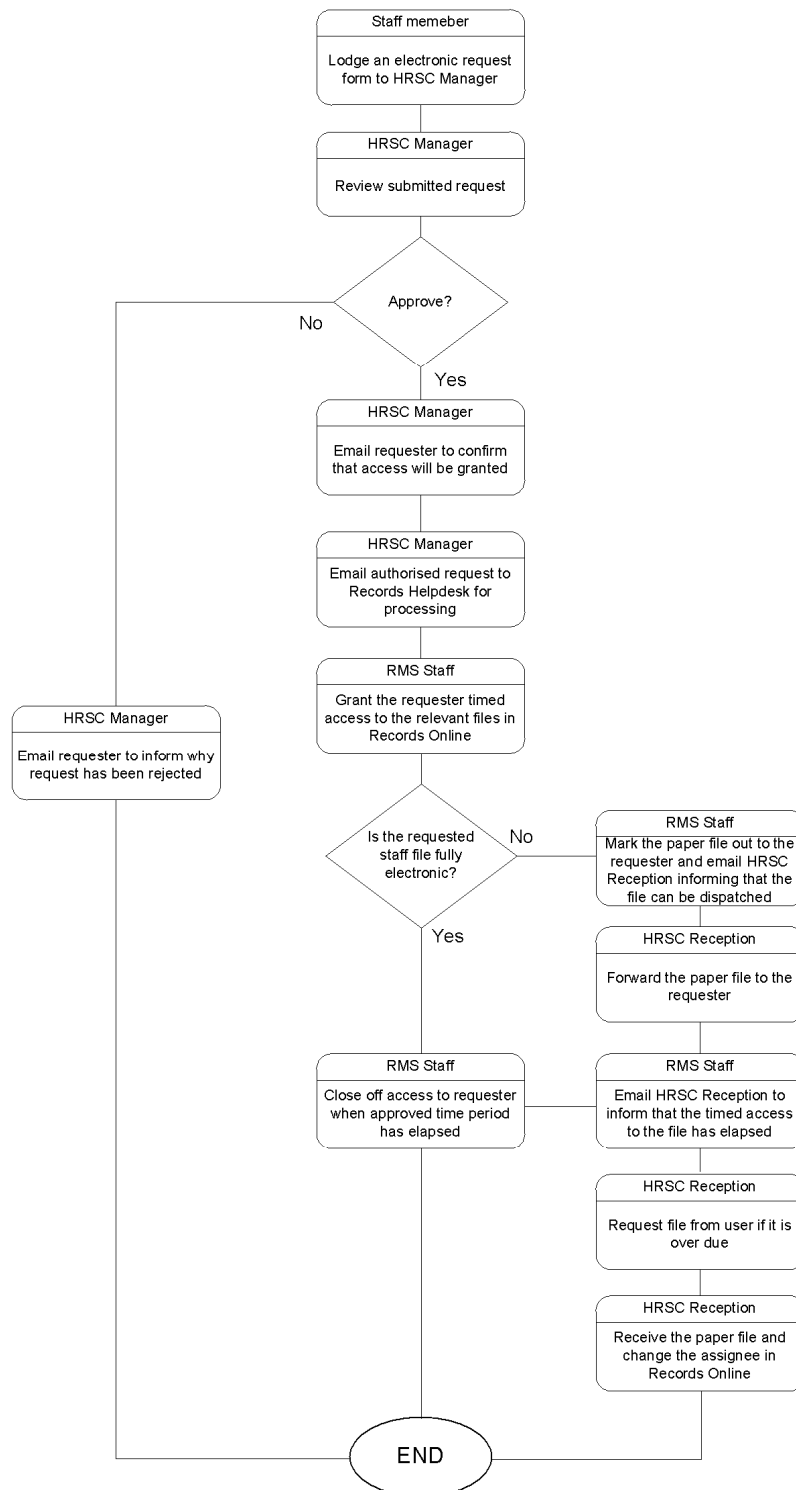
**Figure 2: Access defined by file content**

***Access Permission Models Approved by Director, Human Resources, SydneyPeople, March 2008***

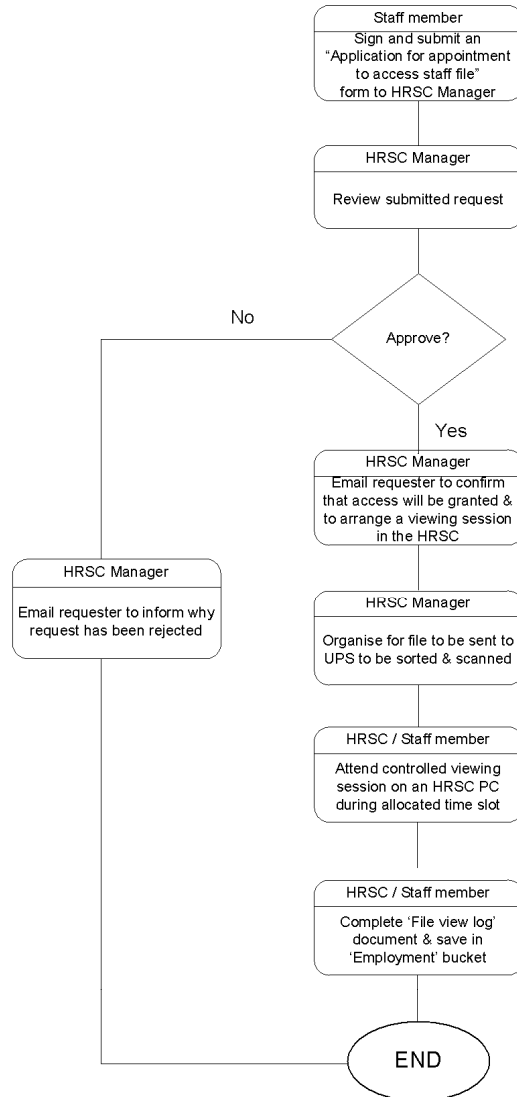


## Appendix B

### B1: Approval process for adhoc request to access staff files:



## B2: Approval process for individual staff to access their own staff files:



**B3: Application for appointment to access staff file**

(as per Revised Privacy Management Plan Exposure Draft Appendices 3)

Appointments must be made with the relevant HR Service Centre to view your staff file. This form should be submitted to the HR Service Centre at least one week prior to the time of the appointment to view the file. The exact time should be negotiated with the staff in the Team.

Conditions of Access to staff files:

- I will only be able to view the file under the supervision of a member of the staff of the Personnel Service Team;
- I may be charged for copies of material held on the file;
- I may not remove, add to or annotate the file or its contents;
- Incidental material relating to other staff that may be on my file will not be made available to me.

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Staff number: \_\_\_\_\_

I wish to access the staff file held on me by the University.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**HR Service Centre use only:**

Appointment date and time: \_\_\_\_\_

Staff member supervising access: \_\_\_\_\_

Date access provided: \_\_\_\_\_

Pages copied/reprinted:  
\_\_\_\_\_  
\_\_\_\_\_

This form is to be placed on the applicant's employment file.