


# STANTON TERRITORIAL HEALTH AUTHORITY

## Yellowknife, Northwest Territories

<b>TITLE:</b> Personnel Records	<b>Revision Date:</b> 28 February 2018	<b>Issue Date:</b> 28 February 2016
<b>Document Number:</b> QUA30800	<b>Status:</b> <b>Approved</b>	
<b>Distribution:</b> Laboratory Quality Manual	<b>Page:</b> 1 of 3	
<b>Approved by:</b> S. Asmussen, Manager of Diagnostic Services	<b>Signed by:</b> 	

### **PURPOSE:**

Personnel records may be paper or electronic and are subject to the record retention policy of the organization.

Records are created and retained in different departments based on the functions performed.

For example:

- Human Resources retains employment related records such as job offers and performance appraisals
- Occupational Health and Safety retains immunization records
- Finance retains compensation records
- Laboratory maintains training and competence assessment records.

The following are a list of guidelines from the Human Resources Manual regarding Personnel records:

An employee may view his or her own personnel file by making an appointment with Client Services. An employee is not entitled to view the references contained in sealed envelopes on the personnel file.

A supervisor may view disciplinary or performance-related documents on the personnel file of any employee who reports to the supervisor. A supervisor is not entitled to view confidential information such as references or insurance beneficiaries.

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<b>Distribution: Laboratory Quality Manual</b>	<b>Page: 2 of 3</b>	

An employee must be made aware of any disciplinary documents placed on the personnel file. The supervisor providing the employee with a copy of the document at the time of filing can do this. Documents will be clearly marked "C to Personnel File" or include a statement in the body of the letter indicating that a copy of the letter will be placed on the employee's personnel file.

For an employee in the Union of Northern Workers bargaining unit, any document or written statement related to disciplinary action and placed on the personnel file of the employee shall be destroyed after 18 months has elapsed if no further disciplinary action has been recorded.

For an employee in the Excluded or Senior Management Group, any document or written statement related to disciplinary action and placed on the personnel file of the employee shall be destroyed at the discretion of the Deputy Head of the employing Department, Board or Agency.

An employee may not place any document or information directly on his or her personnel file. Information of a disciplinary or complimentary nature must be placed on file by the employee's supervisor or with the supervisor's consent. An employee is allowed to place responses to appraisals or disciplinary action on the personnel file. This must be done through the employee's supervisor so that the supervisor is aware of the information on the personnel file.

A former employee may access his or her personnel file upon request. If a former employee is involved in legal action against the government, the request should come through the employee's legal counsel. The government's legal counsel will respond and provide appropriate information.

An employee may have an agent view documents on his or her personnel file and make copies of such documents. The agent shall be required to produce written authorization from the employee in each specific case. Authorizations are valid for 60 days.

<b>NOTE: This is a CONTROLLED document for internal use only. Any documents appearing in paper form are not controlled and should be checked against electronic version prior to use.</b>	
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<b>Distribution: Laboratory Quality Manual</b>	<b>Page: 3 of 3</b>	

**REFERENCES:**

- Clinical and Laboratory Standards Institute. (2015). *Laboratory Personnel Management* (First Edition ed.). Wayne, PA, USA: Clinical and Laboratory Standards Institute.
- Human Resources, Government of the Northwest Territories. (n.d.). *Human Resources Manual*. Retrieved December 16, 2015, from Human Resources: <http://www.hr.gov.nt.ca/resources/human-resource-manual>

**REVISION HISTORY:**

REVISION	DATE	Description of Change	REQUESTED BY
1.0	28 Feb 16	Initial Release	C.Russell