

OTAGO POLYTECHNIC MANAGEMENT POLICY		Number: MP0447.01
Title:	Retention of Employee Information	
ITPNZ Standard:	4 Staff Selection, Appraisal and Development	
Policies Committee	Approval Date: 21 Jun 07	Effective Date: 21 Jun 07
Previous Policy Number	n/a	Review Date: as required
Contact Authority:	Director: Organisational Development	Status: current

Purpose To ensure that information held by Otago Polytechnic about employees is collected and stored appropriately, is accessible when required and is managed in accordance with the Principles set out in the Privacy Act.

Background

Statutory Compliance Privacy Act

National Guidelines

- Policy and Procedures**
1. All employee files, both hard copy and electronic copy, shall be maintained on the following principles of:
 - a) **Confidentiality** - which must be maintained in the transmission, storage and access to employee information held on employee files.
 - i) Employee files and their contents are confidential material and must be kept secure at all times.
 - ii) Managers will forward documentation related to employment issues to Human Resources for the employee files.
 - iii) Paper-based documents / information being forwarded from schools / departments to the Human Resources Department for employee files must be sent in a sealed envelope, addressed to Human Resources and marked "Confidential".
 - b) **Accessibility**
 - i) Managers will have access for business purposes to the records relating to their staff.
 - ii) Employees have right of access to their employee records. Access will be available by prior arrangement with the Human Resources Department. Material required by employees from their employee files may be copied. Original records or documents must not leave Otago Polytechnic premises.
 - iii) Information will not be released from employee files to anyone other than the individual concerned, their managers (including their manager's manager etc), internal and external auditors, or payroll staff as required to carry out payroll duties.
 - c) **Accuracy** - information held on employee files must be accurate, up-to-date and complete to be of value to the organisation.
 - i) If an employee considers any information on their employee files is inaccurate, they may request the correction of that information. Alternatively, where there is disagreement about what is correct, the employee may attach their account of the facts to their employee file.



2. The Human Resources Department will establish and maintain all hard copy and electronic employee master files.
 - a) Employee files will contain the originals of:
 - job applications resulting in appointment
 - evidence of qualifications
 - letters of appointment
 - employment agreements
 - position descriptions
 - details relating to pay changes
 - information relating to leave, eg. medical certificates, special leave, parental leave, etc
 - performance development documents
 - any warnings and disciplinary documents
 - training records
 - documents relating to special assignments, secondments, work experiences, conferences etc
 - references
 - payroll related documents as appropriate.

Original documents should not be held by managers unless they are working documents relating to specific issues, while they are needed to be on-hand. Once each issue is resolved the working file must then be moved to Human Resources as a permanent record.

3. Retention of Employee Information

Employee files of employees leaving the Polytechnic will be retained in the centralised filing system for seven years following the employee's departure. After six months, the files will be transferred to the Polytechnic Archives for retention in accordance with Records Retention Policy.

A record of key facts and any payroll history will be maintained in the Human Resources Information System.

Permanent records of Senior Executive or Academic staff are permanently retained for historical purposes (see MP0101 Records Retention and Disposal).

Employee Records:

Staff personal records	7 years after employment ceases
Personal records of senior Executive or Academic staff	permanently for historical purposes
Applications for positions (unsuccessful)	1 year
Payrolls	12 years
Salary register	5 years
Salary revision schedules	5 years
Tax returns	permanently
Expense accounts	7 years
Labour agreements/Labour	permanently



Contracts

Wage records (including overtime details) 7 years

Medical records 12 years

Training records 6 years

Accident Books permanently

Workplace accident claims permanently
Correspondence

Referral Documents

MP0101 Records Retention and Disposal

