

PERSONNEL FILE

POLICY AND PROCEDURE[®]

DOCUMENT SUMMARY/KEY POINTS

- Workforce Services is responsible for the creation, maintenance and storage of current and past employee personnel files
- A personnel file is maintained for each SCHN employee.
- The personnel file is derived from the recruitment file and includes important job-related documents.
- **Employees** wishing to examine their personnel file should contact Workforce Services to make an appointment.

SCHN does not disclose personnel files (of current or past employees) or information to third parties without the employee's written consent, except when the Network may be legally required to do so.

- The SCHN staff that may view (and add documents to) the personnel file of any employee in their respective Department, Program/Division or Directorate are:
 - Department Head
 - Divisional/Program Chair
 - Tier 2 Directors
 - Chief Executive (can access all employee's Personnel Files)
 - Other Network employees e.g. the Internal Auditor, Government Information (Public Access) (GIPA), Workforce Services employees etc

Approved by:	SCHN Policy, Procedure and Guideline Committee	
Date Effective:	1 st October 2014	Review Period: 3 years
Team Leader:	Medical Workforce Manager	Area/Dept: Workforce

CHANGE SUMMARY

- New SCHN policy: replaces CHW Personnel File policy.
- The Workforce Services Checklist section of this Policy was updated to reflect changes of recruitment, selection and appointment requirements from NSW Health.
- Links were also updated to comply with NSW Health and SCHN requirements.

READ ACKNOWLEDGEMENT

- All staff employed in the Workforce Services Department are required to read and acknowledge they understand the contents of this document. This includes Administrative Officers, HR Officers, Workforce Consultants, Workforce Advisors, Workforce Managers etc.
- All other managers should be aware of this policy.

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Policy

- Personnel files will be maintained for all employees of The Sydney Children's Hospitals Network (SCHN).
- Personnel files are the property of The Sydney Children's Hospitals Network.

Note: Employees are defined as current and past employees, including Visiting Medical Officers and Honorary employees.

Procedures

Creating and Maintaining Personnel Files

Workforce Services is responsible for the creation, maintenance and storage of current and past employee personnel files as per the Ministry of Health requirements and NSW State Records Act 1998.

File Contents

The personnel file is derived from the recruitment file and includes important job-related documents. Workforce Services has a checklist of common information that should be included on personnel files (see attached form). Examples of documentation include:

- Recruitment, selection and appointment documentation:
 - Recruitment requisition
 - Advertisement
 - Application for Appointment form
 - Position Description
 - Job application, resume
 - Model Health Declaration Form
 - Consent forms for pre-employment related checks
 - Drugs of Addiction Authority Form, if relevant
 - 100 Point ID Form
 - Identification and/or documentation verifying Australian citizenship /Australian permanent residency / working visa status
 - Signed National Criminal Record Check Consent Form
 - Critical Compliance Form (Senior Medical Practitioners only)
 - Relevant Criminal Record Check/s and Service Check Register Check/s
 - True copy of Qualifications
 - True copy of registration/licenses
 - Referee reports
 - Contract of employment or contract for services
 - Acceptance form
 - Other documents such as receipt, or acknowledgment between the employee and the employer, e.g. an agreement relating to a Network provided car
 - Development plans
 - All appointment documentation

- Relevant forms, e.g. relating to employee benefits, employment changes
- Awards or citations for excellent performance
- Warnings and/or other disciplinary actions
- Performance evaluations/reviews
- Documents relating to the employee's separation from the Network.

Privacy & Confidentiality

The Network complies with the [NSW Privacy and Personal Information Protection Act 1998](#) regarding the collection, access and storage of personal information.

Storage

Personnel files will be stored in a confidential and secure manner in Workforce Services. A Project Plan will be developed to review and implement digital record keeping. Files of past employees will be maintained in hard copy form for a minimum of 12 months, and then stored on CD-ROM and electronic file (in duplicate).

Access

Persons who may access an employee's personnel file will be as follows:

- **Employees** wishing to examine their personnel file should contact Workforce Services to make an appointment. Upon presentation of suitable identification, the staff member can view their file in the presence of a Workforce Services representative and may request copies of documentation, request a correction be made to the file or that additional information is included. Employees may not remove or destroy documents on their file.
- **Past Employees** wishing to examine their personnel file (hardcopy or electronic) should contact Workforce Services to make an appointment. Upon presentation of suitable identification, the staff member can view their file in the presence of a Workforce Services representative and may request copies of documentation.

SCHN does not disclose personnel files (of current or past employees) or information to third parties without the employee's written consent, except when the Network may be legally required to do so.

- **Department Heads** may view (and add documents) to the personnel file of any employee in their department. Any documents that are regarded as adverse to an employee must be given to the employee prior to placing documents on the file.
- **Divisional/Program Chairs** may view (and add documents) to the personnel file of any employee in their program/division. Any documents that are regarded as adverse to an employee must be given to the employee prior to placing documents on the file.

- **Tier 2 Directors** may view (and add documents) to the personnel file of any employee in their directorate. Any documents that are regarded as adverse to an employee must be given to the employee prior to placing documents on the file.
- **Chief Executive** may view (and add documents) to the personnel file of any employee. Any documents that are regarded as adverse to an employee must be given to the employee prior to placing documents on the file.
- **Other Network employees** may access personnel files where it is directly relevant to their job and there is a specified reason to access the file, eg the Internal Auditor, Government Information (Public Access) (GIPA), Workforce Services employees etc.

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Workforce Services Checklist

Recruitment File Contents at Advertisement

Information:

The Recruitment File is established by the Recruitment Officer or HR Officer after a position has been prepared for advertising. It contains documentation regarding the position, recruitment, selection forms and applications. The Recruitment File eventually becomes the successful applicant's personnel file.

Recruitment File Contents	General & Nursing	Medical
Progress form and Approval documents		
1. Approval Documentation (ordered from back to front) Relevant memos/emails Position description Advertisement (as it appeared) E-Recruit Approval form	√	√
Recruitment File Contents		
Selection Forms (Placed in Plastic Sleeve at back of file)		
2. Application for Appointment form	√	√
3. Shortlisting Form		√
4. Interview Assessment Form		√
5. Question and Interview Assessment Form		√
6. Reference Reports	√	
7. Selection Report Form		√

Workforce Services Checklist

Personnel File, Finalised Recruitment File & Eligibility Contents

Information:

- The relevant Recruitment Officer or HR Officer establishes the **Personnel File**, **Finalised Recruitment File** and the **Eligibility Paperwork**.
- The Personnel File is created after the offer and acceptance of employment has been made. It includes documentation relating to the position, selection and appointment of the successful applicant. The Personnel File is labelled with the Applicant's name and tagged for filing purposes with the first three letters of the surname.

Personnel File (to be filed in Central filing System)

1. Approval Documentation (ordered from back to front)

Relevant memos/emails

Position description

Approval to Recruit (Mercury)

Senior Medical Practitioners Critical Compliance Form (if applicable)

2. Completed Selection Report Form (for Senior Medical positions)

3. Employment Contract and Acceptance

4. Completed Reference Reports

5. Application Form

6. Successful applicant's Resume and Cover Letter

7. Other documentation relating to the appointment process

- Model Health Declaration Form
- Consent forms for pre-employment related checks
- Copy of WWCC and/or NCRC and Service Check Register clearances
- Drugs of Addiction Authority Form, if relevant
- 100 Point ID Form
- Identification and/or documentation verifying Australian citizenship / Australian permanent residency / working visa status
- True copy of Qualifications
- True copy of registration/licenses

8. Notification of appointment, notification of clinical privileges (for Senior Medical Appointments)