

PERSONNEL RECORDS CHECKLIST

Creation of Personnel Files Checklist

STEP 1: Three hard copy files are to be created on the date of commencement of a new recruit. These files are:

- a) Personnel File
- b) Discipline File
- c) Training File.

All files must be created using a standard Personnel File format, customised with the Department name, available from the Government Printing Office.

STEP 2 The Human Resources Manager/Corporate Services Manager is responsible for ensuring that newly created files are recorded in the Department's File Register.

STEP 3 The Human Resources Manager/Corporate Services Manager is responsible for ensuring the personnel details of the new hire are entered into the Integrated HR/Payroll System and that these records are consistent with records contained within the hard copy Personnel File.

Management of Personnel Files Checklist

STEP 1 Each folio entry into a hard copy file must be noted on the front of the file and initialed by the action officer. Each new folio entry must be placed within the file in chronological order, with the most recent entry at the front of the file.

STEP 2 Each part of a hard copy file must not exceed 200 folios. At 200 folios, a new file must be created. Care should be taken to ensure that folios relating to a subject matter are not split across files and should be grouped within the same file, even if this means that the number of folios in a file is less than 200. Each file will be noted as Part 1, Part 2, and so on. Each closed part of a file must include a folio reference to indicate the end of the file, making reference to the creation of the next part of the file, noting the date this action has taken place and providing details of the action officer.

STEP 3 Variations to folios contained within a hard copy file (including authorised removal of information from a file) may only be undertaken by the Human Resources Manager/Corporate Services Manager or delegate, and must be done in accordance with the provisions contained within this General Order. Any variations or removals made must be accompanied by a folio entry detailing all actions taken and for what reasons and must be signed off by the authorised action officer.

- STEP 4 Where changes have been made to an employee's personal details, position, classification, salary, allowances or leave status, the Human Resources Manager/Corporate Services Manager or delegate must update the employee's history card and the Integrated HR / Payroll System with the new details.
- STEP 5 Where hard copy files are required to be transferred between Departments the Human Resources Manager/Corporate Services Manager or delegate must note this action on the Department's File Register. The completed **Form PRM.3** must also be placed in the File Register as evidence of the file transfer.
- STEP 6 The Human Resources Manager/Corporate Services Manager is responsible for ensuring that hard copy and digital records are maintained securely, in good order and updated at all times.

Closing of Personnel Files Check List

- STEP 1 A personnel file may only be closed where an officer resigns, retires, dies, is retrenched or is terminated from the Public Service. The file cannot be closed until all final payments are made to the officer or his or her next of kin (in the case of a deceased officer) and all monies owing to the State have been collected.
- STEP 2 To close a file, the Human Resources Manager/Corporate Services Manager or delegate must include a folio relating to the reasons for the closure of the file (for example, termination notice, resignation, death notice) and make a notation on the front of the file. The front of the file must be crossed and marked "Closed" to indicate it is no longer in use.
- STEP 3 All closed files must be retained by the employing Department for a period in accordance with **Form PRM 1** and must be available to the employing department for a period of not less than seven years after closure of the file.

Disposal of Personnel Files Check List

- STEP 1 A file may only be disposed in accordance with **Form PRM 1** and under the authority of the Department's Records Management Delegate or Human Resources Manager/Corporate Services Manager.
- STEP 2 Records may only be disposed of by shredding or by incineration. Digital records must be disposed of in accordance with the procedures held by the Management Information System Division.
- STEP 3 Where a file is to be disposed of, **Form PRM 2** is to be completed and retained on the Department's File Register.