



Generic Valuation Tool

Human Resources Management

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Generic Valuation Tool (GVT) HUMAN RESOURCES MANAGEMENT SERVICES

How to use this tool:

- This tool is designed for IM specialists to use with relevant business areas when identifying information resources of business value (IRBV) and retention specifications.
- The IRBV and retention specifications contained in this document are recommendations only and should be customized to apply in each institutional context. The complete document should be read before using any recommendations.
- **This GVT does not provide Government of Canada institutions with the authority to dispose of information.** GVTs are not Records Disposition Authorities (RDA) and do not replace the Multi-Institutional Disposition Authorities (MIDA).

Validation: The business processes and IRBV of this GVT have been validated by the Human Resources Communities of Practice (HRCoPs Hub) in late November and early December of 2011. The HRCoPs Hub is run through the Human Resources Council and is composed of the heads of human resources across the GC.

Defining the Activity

Human Resources Management (HRM) Services are identified at the sub-sub- activity level of the Treasury Board Secretariat's (TBS) *Internal Services Profile* as part of the Resource Management sub-activity.

HRM Services involve activities that support the management of employees in the Public Service, such as the organizational design and planning of human resources; onboarding and offboarding of personnel; promotions and movements in, out, or within the organization; and workforce management.

HRM Services are prescribed through a number of legislative, regulatory and policy instruments including the *Public Service Modernization Act* and the *Public Service Employment Act*, which are the key pieces of legislation establishing the federal public service. Legislation and policy instruments also exist to ensure transparency and accountability in HRM Services across the Government of Canada (GC),¹ protect the rights of public servants,² and promote development and training.³

¹ These include: Term Employment Act, Public Service Terms and Conditions of Employment Regulations, Policy on the Management of Executives, Classification System and Delegation of Authority Policy, Delegation Policy, Appointment Policy-General, Term Employment Policy, Rates of Pay Policy, Compensation Policy-Performance Pay for Certain Non-Management Category Senior Excluded Levels, EX Pay Policy-Directives for the Performance Management Program for the Executive Group, Telework Policy, Directive on Linguistic Identification of Positions or Functions, Directives for the Performance Management Program for the Executive Group, Workforce Adjustment Directive, Guidelines for Demotion/Termination of Employment for Unsatisfactory Performance, and Guidelines for Discipline.

² These include: Official Languages Act, Employment Equity Act, Public Service Labour Relations Act, Labour

The employee, or personnel file, documents the record of service of each individual employed by the federal government. This GVT cannot be used to determine business value, enduring value and retention specifications of military personnel and police forces, since these are subject to different legislation and policies.⁴ Human resources services affecting military personnel and police forces would not be considered to form part of the TBS *Internal Services Profile*, since they address special forces and not public servants. However, the Department of National Defence and the Royal Canadian Mounted Police may use this GVT with respect to human resources services addressing their civilian personnel.

Also excluded are any other institutions that are not subject to the legislation and policies described above and do not report to TBS on their HRM Services, including the Communications Security Establishment (CSE) and the Canadian Security and Intelligence Service (CSIS). CSIS does not publicly report on its plans and priorities because of national security concerns. While CSE does prepare a PAA, TBS does not assess its HRM Services. Since TBS does not consider the human resources performed by these institutions to be part of the *Internal Services Profile*, they are excluded from the scope of this GVT.

Relationship to Other GVTs

Business processes and activities often overlap. When the IRBV from an activity is identified in another GVT, there is a note in the table of IRBV and retention recommendations (below) to direct the user to the proper tool.

Management and Oversight: Information resources concerning planning, policies, standards, guidelines, program and service management, project management, risk management, performance reporting, audit, and evaluation.

Business Processes

HRM business processes are defined according to the Common Human Resources Business Process (CHRB), a recommended project launched by the Office of the Chief Human Resources Officer (OCHRO) as part of the 2009-10 *Public Service Renewal Action Plan*⁵ to standardize and redefine the way human resources business is conducted across the GC. These processes are the result of two years of extensive

Adjustment Benefits Act, Canadian Human Rights Act, Government Employees Compensation Act, Canada Labour Code, Values and Ethics Code for the Public Service, Public Service Superannuation Act, Collective Agreements Public Service Staffing Tribunal Regulations, Policy on Official Languages for Human Resources Management, Policy on the Duty to Accommodate Persons with Disabilities in the Federal Public Service.

³ These include: Policy on Learning, Training and Development, Directive on the Administration of Required Training, Directive on the Administration of the Leadership Development Program, Management Trainee Program and Career Assignment Program. Other policies used in the determination of HRM business processes include the Occupational Health and Safety Policy and the Recognition Policy.

⁴ At the time that this GVT was written, these information resources were covered by institution specific authorities for the Department of National Defence and the Royal Canadian Mounted Police. See: DND, 85/012, National Personnel Records Centre; LAC, 99/014, Ottawa Federal Records Centre, Regional Operations: the Personnel files for Canadians who served during the Second World War, survived the war, and had no further active service during the post-war period; RCMP 2000/030, Human Resources (historical personnel files).

⁵ <http://www.clerk.gc.ca/eng/feature.asp?pageId=283>

collaboration between hundreds of subject-matter experts across the public service to define a common way of delivering HRM Services.⁶

These business processes are meant to depict all activities and tasks of the HRM business process, which are consistent with the seven activities defined in the *Internal Services Profile*.⁷

HRM Services is divided into seven service groupings. The CHRBP defines them as follows:

1. Human Resources Planning, Work and Organization Design and Reporting:

“the set of processes by which managers identify the different factors influencing the delivery of the services, programs and business priorities of their organization and the implications for workforce requirements...Management assesses the current workforce, the labour market and the short and long term HRM needs related to their organization structure, employee skills and competencies, and identifies critical positions. A current and future human resources gap analysis is done, and workplace and workforce plans are developed to address the gaps and support the achievement of broader organizational objectives. Management is then able to review and measure results and progress for their organization against their annual plans. Annual plans, including organization design, are revised and updated throughout the annual business cycle. This process runs parallel to broader integrated planning activities and contains several check-points to ensure alignment with broader organizational planning.”⁸

2. Job and Position Management:

“the set of processes and activities through which business/work requirements are ‘translated’ into work descriptions and where jobs and positions are established and maintained. This includes documenting and evaluating new work descriptions (where no existing work description (generic or otherwise) is available/appropriate), documenting job and position attributes (e.g., security requirements, language requirements, location of work, tenure: term/indeterminate, etc.) and creating, updating and inactivating/reactivating positions as required by business requirements and driven from the HRM planning process and the organizational design. The scope of this process includes not only responding to new work requirements but also undertaking reclassification and responding to classification grievances that are initiated in the Workplace Management process. This process also includes the identification of a position as an essential service and excluded, and the corresponding review with unions, in addition to assigning the relevant National Occupation Classification and competency requirements.”⁹

⁶ As the CHRBP website asserts, “all the major processes and activities to meet the business objectives and policy requirements within each of the seven areas of Human Resources management are mapped and documented within the common business process.”

⁷ GC institutions may then choose to adopt any one or all of these activities to address their individual business priorities. According to the CHRBP’s website, as of July 7, 2011, 30 GC institutions had adopted the CHRBP and were in the process of implementing the work in their business areas.

⁸ For further information on the HR Management Services process documentation, see the CHRBP Human Resources Planning, Work and Organization Design and Reporting, February 2010, <http://chrbp-pocrh.tbs-sct.gc.ca/home-eng.aspx>

⁹ CHRBP Human Resources Planning, Work and Organization Design and Reporting, February 2010, <http://chrbp-pocrh.tbs-sct.gc.ca/home-eng.aspx> Note: The process for classification grievances is addressed in the Workplace Management process, although the results of grievances are addressed by Job and Position

3. Staffing and Employee Integration:

“the set of processes by which people are matched to work. This includes looking for people (internal and external applicants), assessing candidates, selecting, appointing, enrolling, orienting and putting them to work (onboarding and return from leave). It includes the management of priorities and the process in which employees are enrolled in pay and benefits and integrated into the workplace with a workplace assigned, and the related business equipment needed to perform their work.”¹⁰

4. Total Compensation:

“the set of processes and activities through which an employee’s compensation (including adjustments, overtime, acting pay, etc.) is processed and transmitted to the pay service provider, and the leave transactions (e.g., maternity and parental, long-term disability, adoption, sick, vacation and compensatory leave, without pay, with income averaging, pre-retirement transition and self-funded leave) are prepared for transmission to the pay service provider.”¹¹

5. Employee Performance, Learning, Development and Recognition:

“the set of processes through which HRM, employees and managers establish learning requirements, develop and deliver learning solutions events, set performance objectives, conduct performance assessments, and develop learning/development plans, monitor progress against them, and employees undertake learning and development courses and/or developmental programs, and are formally and informally recognized and rewarded for their performance. This process involves integrating organizational (corporate) and work-specific objectives with the career and learning aspirations of the individual to build a career and learning plan. This includes considering a diverse range of inputs including mandatory government-wide and departmental learning requirements, job, position and/or occupational specific mandatory requirements (including official languages training, certification training), as well as professional or career development needs (apprenticeship programs, CAP program, etc.). This process involves establishing performance expectations/objectives and measuring employee performance against those expectations/objectives. This process also includes the management of formal and informal employee recognition programs and involves the nomination, review of nominees and the distribution of awards. In addition, capturing and maintaining employee performance and learning data and competencies is part of this process.”¹²

6. Permanent and Temporary Separation:

“the set of processes associated with an employee’s temporary or permanent departure from either a department within the public service or the public service as a whole. Separation can be voluntary (e.g., transfer to another department, maternity/parental leave, retirement, educational leave, leave with or without pay) or involuntary (e.g.,

Management.

¹⁰ CHRBP Human Resources Planning, Work and Organization Design and Reporting, February 2010, <http://chrbp-pocrh.tbs-sct.gc.ca/home-eng.aspx>.

¹¹ CHRBP Human Resources Planning, Work and Organization Design and Reporting, February 2010, <http://chrbp-pocrh.tbs-sct.gc.ca/home-eng.aspx>. Note: Recording and approving time, leave and other workforce scheduling activities are covered in the Workplace Management process.

¹² CHRBP Human Resources Planning, Work and Organization Design and Reporting, February 2010, <http://chrbp-pocrh.tbs-sct.gc.ca/home-eng.aspx>.

termination, death). This includes the request and approval of separation, if voluntary, or the notification of separation, if involuntary. The process also includes the processing of documentation and calculations related to final payment (e.g., vacation leave, death benefit, severance payment), if a permanent separation, preparing the Record of Employment, conducting exit interviews, undertaking the recovery/transfer of security passes and assets, informing employees of any post-employment restrictions/requirements (e.g., confidentiality post-employment), and informing PWGSC Superannuation of the separation date. For a transfer from one department to another, this process would include preparing and sending the employee record (electronic, if possible, and paper record) to the receiving department.”¹³

7. Workplace Management:

“the set of processes through which the work and the workplace are managed. This includes decisions on workforce scheduling (shift, overtime, and leave), managing return to work situations (gradual or full-time), managing (and capturing) employee information (emergency contact information, name, address and marital status, work location, etc.) and administering workforce change, which includes any Work Force Adjustment-related changes. “This process also involves managing the workplace which includes providing a safe and healthy workplace (operational health and safety, and wellness) and addressing worker requirements including modified work arrangements (Duty to Accommodate). This process includes all activities related to managing redress, including complaints, grievances (both language requirements and classification) and recourse (staffing) including both formal and informal methods/approaches as well as managing disciplinary situations. Decisions and actions are guided by the terms and conditions of employment, collective agreements and relevant statutes and legislation related to the workplace in addition to the values and ethics of the public service. Results of union-management consultation (while not specifically a process) would inform and guide decisions related to the workplace.”¹⁴

Retention

Recommended retention specifications in GVTs are determined based on traditional or best practices, a review of government-wide legislation and policy, and validation with subject matter experts. Retention periods are suggestions only; departments must take into account their own legislative requirements and business needs.

Retention specifications for Organization Design, Human Resources Planning, and Reporting were determined by prescriptions made in the *Employment Equity Regulations*.

Retention specifications for Total Compensation were determined by prescriptions made in the *Canada Labour Code* and the *Canada Labour Standards Regulations*.

¹³ CHRBP Human Resources Planning, Work and Organization Design and Reporting, February 2010, <http://chrbp-pocrh.tbs-sct.gc.ca/home-eng.aspx>. Note: Processing of final pay and retroactive payments are covered in the Total Compensation process.

¹⁴ CHRBP Human Resources Planning, Work and Organization Design and Reporting, February 2010, <http://chrbp-pocrh.tbs-sct.gc.ca/home-eng.aspx>. Note: The delivery of pay and benefits services is addressed in the Total Compensation process.

Retention specifications for Employee Performance, Learning, Development, and Recognition were determined by prescriptions made in the *Occupational Health and Safety Directive*.

Retention specifications for Workplace Management were determined by prescriptions made in the *Canada Occupational Health and Safety Regulations*, *Collective Agreements*, and the *Public Service Labour Relations Act*.

Special attention should be given to personnel files, since GC institutions often maintain separate employee files for different activities (e.g., linguistic status, performance evaluation, conflict of interest, etc.). The TBS publication *Info Source: Sources of Federal Government and Employee Information* provides guidance on the information holdings of GC institutions subject to the *Access to Information Act* and the *Privacy Act*. Within this publication, Standard Bank PSE 901 for Employee Personnel Records states that personnel files must be retained by the current employing institution (as defined under Section 3 of the *Privacy Act*) for the duration of employment plus one year. The civilian personnel files should then be transferred to Library and Archives Canada where they will be maintained until the individual reaches 80 years of age or two years after the individual's death, if there is no further action pending (see: Guidelines for Transfer of Civilian Personnel Files).¹⁵

The *Employment Equity Regulations* state in section 12(2), that the following information resources must be kept for a period of two years after the period covered by the employment equity plan: a copy of the workforce survey questionnaire that was provided to the employees and any other information used by the employer in conducting its workforce analysis; the summary of the results of the workforce analysis; a description of the activities undertaken by the employer in conducting its employment systems review; the employer's employment equity plan; a record of the employer's monitoring of the implementation of its employment equity plan; and a record of activities undertaken by the employer and information provided to employees as required by section 14 of the *Employment Equity Act*.

Information resources documenting individual cases of the *Value and Ethics Code for the Public Service* should be retained two years following the duration of employment by the institution to which the certification document and confidential report were submitted. Furthermore, staffing process requests, competition posters and candidate applications should be retained for two years following either the expiry of the eligibility list for a staffing action, or after the last administrative action, according to which is later.

According to Part III, section 252.(2) of the *Canada Labour Code*, every employer must retain the records required to be kept by regulations made in section 264.(a) documenting wages, vacations, holidays and overtime of employees for a period of thirty-six months after work is performed.

¹⁵ See: Info Source: Sources of Federal Government and Employee Information, Standard Bank PSE 901, Employee Personnel Record for additional information on this standard bank. <http://www.infosource.gc.ca/emp/emp03-eng.asp#pse901>

Section 24.(1) of the *Canada Labour Standards Regulations* prescribes that information resources showing the date of commencement and date of termination of employment must be kept for a period of at least thirty-six months after the date of termination of employment.

According to section 24.(4) of the Canada Labour Standards Regulations, every employer must keep a record of the following information for a period of at least three years following the expiration of the employer's obligation under section 239.1(3) of the Canada Labour Code: detailed reasons for an employee's absence due to work-related illness or injury; a copy of any certificate of a qualified medical practitioner indicating that the employee is fit to return to work; and the date the employee returned to work, or a copy of any notification from the employer to the employee and any trade union representing the employee that return to work was not reasonably practical and the reasons why it was not.

Leave forms should be retained for two years following the expiry of the fiscal year. Though the annual record of attendance and leave may be attached to the employee personnel file, leave forms should be filed separately.

Section 11.2.3 of the *Occupational Health and Safety Directive* states that records of all instruction and training provided on hazard investigation must be maintained for a period of thirty years after the date on which it was given.

Section 16.6.4 of the *Occupational Health and Safety Directive* states that information resources of the training required by section 16.6 (in relation to motor vehicles) be kept for as long as the employee remains in the department's employment.

According to section 18.2.2 of the Occupational Health and Safety Directive, information resources of every illness or injury that required first-aid treatment must be maintained at each place of employment for ten years following the treatment.

Information resources documenting occupational safety and health training relating to dangerous substances should be retained for two years from the time when the employee ceases to handle or be exposed to the hazardous substance, or two years following the installation, operation, maintenance or repair of materials used to transfer the dangerous substance.

According to section 12(1) of the *Employment Equity Regulations*, with respect to terminated employees, information resources documenting each employee's designated group membership, occupational group classification, salary and salary increases, and promotions must be retained for two years after the date of their termination.

Retention specifications are provided in *Collective Agreements*, section 17.05, which states that any document or written statement related to disciplinary action, which may have been placed on an employee personnel file must be destroyed once two years have elapsed since the disciplinary action was taken, provided that no further disciplinary action has been recorded in the interim. In cases where a disciplinary action has been rescinded, the onus is on the employer to ensure that the documentation of the action concerned is immediately destroyed.

According to section 116 of the *Public Service Labour Relations Act*, a collective agreement is deemed to have effect for one year, unless a longer period is specified in the agreement.

Information resources documenting classification grievances should be retained for three years following the date of the resolution or the date of decision by the Public Service Labour Relations Board.

For information resources created in support of the monitoring of accidents, injuries and/or illness, institutions should consult Part II of the *Canada Labour Code* and the *Occupational Health and Safety Regulations* and TBS policy instruments dealing with occupational health and safety prior to the destruction of any inspection, investigation and testing reports. Where there are inconsistencies between these documents, the longest retention specification should be used. Where retention specifications have not been provided, legal counsel should be consulted prior to the destruction of these information resources.

Business Value and Retention Recommendations

Note: Documentation of substantive opinions extends to substantive drafts where information is not captured in later versions—in cases where changes reflect substantive, content-based modifications rather than simple editorial alterations.

1. Organizational Design, Human Resources Planning and Reporting

Business Processes	Recommendations: Information Resources of Business Value (IRBVs)	Recommendations: Retention Period
Assess human resources implications of business requirements	Documentation of decisions or substantive opinions leading to and including: external labour market assessments business context assessments organizational workplace and workforce human resources (HR) risks workforce and workplace gaps stakeholder feedback validated business requirements and priorities	5 years after study/survey has ended or system has been implemented, based on a recommendation arising from the Common Human Resources Business Process (CHRBP)
Develop workforce and workplace plans	Documentation of decisions or substantive opinions leading to and including: organizational assessments final workforce and workplace plans validated workforce and workplace plan achievement measures comments on drafts record of decision re: changes required to organizational assessment record of decision re: managers' selected courses of action	5 years after system has been implemented, based on a recommendation arising from the CHRBP
Conduct organizational designs	Documentation of decisions or substantive opinions leading to and including: organizational models/work descriptions, readiness assessments new or amended organization structures and high-level attributes confirmed intentions to commit funds under the Financial Administration Act , s. 32 transition approaches stakeholder feedback action requests – authorize classification	5 years after system has been implemented, based on traditional practice, except: position files (work descriptions) – 1 year after superseded or obsolete, based on a recommendation arising from the CHRBP
Monitor and report	Documentation of decisions or substantive opinions leading to and including: data collection, measurement and monitoring plans data analyses variance analyses final reports	5 years after last administrative action, based on a recommendation arising from the CHRBP

2. Job and Position Management

Business Processes	Recommendations: Information Resources of Business Value (IRBVs)	Recommendations: Retention Period
Select and assess pre-classified work descriptions	Documentation of decisions or substantive opinions leading to and including: record of decision re: new work description required	2 years after the last position linked to this job type has been: eliminated from the HRM system; disassociated from the job type; left vacant based on a recommendation arising from the CHRBPs
Develop job (work) descriptions	Documentation of decisions or substantive opinions leading to and including: consultation plans comments on drafts job competency profiles record of decision re: no pre-classified work descriptions fit	2 years after the last position linked to this job type has been: eliminated from the HRM system; disassociated from the job type; left vacant based on a recommendation arising from the CHRBPs
Classify work descriptions	Documentation of decisions or substantive opinions leading to and including classification rationales , including: evaluation approaches record of decision re: on-site required or not	2 years after the last position linked to this job type has been: eliminated from the HRM system; disassociated from the job type; left vacant based on a recommendation arising from the CHRBPs

Authorize classification	<p>Documentation of decisions or substantive opinions leading to and including <i>classification packages</i>, including:</p> <ul style="list-style-type: none"> classified work descriptions organizational packages work description requirements final work descriptions effective dates or retroactive effective dates signed-off validated work descriptions high-level attributes proposed occupational group and subgroup selected classification standards on-site review reports relativity reports evaluation results classification rationales and financial validations committee signatures or Deputy Minister (DM) decisions ratings assigned occupational group, subgroup and level national occupational classification (NOC) code action requests – authorize classification authorizations to use pre-classified work descriptions or approved organizational packages and authorizations to use the generic version notices to affected employees 	2 years after the position has been left vacant, based on a recommendation arising from the CHRBP
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Define and maintain position information	<p>Documentation of decisions or substantive opinions leading to and including classification packages, including:</p> <ul style="list-style-type: none"> position information/inventories classified work descriptions organizational packages work-description requirements final work descriptions effective date or retroactive effective date signed-off validated work descriptions high-level attributes proposed occupational group and subgroup selected classification standards on-site review reports relativity reports evaluation results classification rationales committee signatures or DM decisions memoranda of understanding (MOU) covering interdepartmental transfers ratings assigned occupational group, subgroup and level NOC code authorized classification decisions approved exclusion position information approved essential service position information action requests – second-level review action requests – update employee compensation information 	2 years after the position has been left vacant, based on a recommendation arising from the CHRBP
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3. Staffing and Employee Integration

Business Processes	Recommendations: Information Resources of Business Value (IRBVs)	Recommendations: Retention Period
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Confirm resourcing approach	<p>Documentation of decisions or substantive opinions leading to and including <i>staffing packages</i>, including:</p> <ul style="list-style-type: none"> position information authorized new work descriptions staffing requirements project team (required for a collective) governance (required for a collective) pool parameters (required for a collective) confirmed funding selection criteria (including area of selection and preliminary merit criteria) approved non-imperative rationale (if applicable) staffing option assessments non-advertised rationale (if required) project plans (if required) statements of merit and conditions of employment communication plans assessment guides assessment approaches assessment tools analyses decision documents: development of assessment tools required new assessment tools action requests: return to work, position required decision documents: priority candidate priority candidate information priority clearance numbers selection board members 	<p>5 years after staffing action completed or abandoned, based on a blanket application of <u>Public Service Employment Act</u> – conditions of delegation instrument requirements (see <u>Appointment Delegation and Accountability Instrument</u> – Conditions of Delegation)</p>
Attract applicant(s)	<p>Documentation of decisions or substantive opinions leading to and including <i>position advertising and advertisements</i>, including:</p> <ul style="list-style-type: none"> advertising approach (advertising options, ad-posting requirements, submission requirements) final ad postings decision documents: internal or external advertisements applicant information job-seeker data 	<p>5 years after staffing action completed or abandoned, based on a blanket application of <u>Public Service Employment Act</u> – conditions of delegation instrument requirements (see <u>Appointment Delegation and Accountability Instrument</u> – Conditions of Delegation)</p>
Assess applicant(s) / candidate(s)	<p>Documentation of decisions or substantive opinions leading to and including <i>unsolicited résumés not considered when staffing a position</i>.</p>	<p>5 years after assessment action completed or abandoned, based on a blanket application of <u>Public Service Employment Act</u> – conditions of delegation instrument requirements (see <u>Appointment Delegation and Accountability Instrument</u> – Conditions of Delegation)</p>

Assess applicant(s) / candidate(s) – screening out applicants	Documentation of decisions or substantive opinions leading to and including <i>screening out applicant(s)</i> , including: applications candidate résumés skills profiles unsuccessful screening results successful initial screening results valid second language evaluation (SLE) results standardized test results test results assessment schedules interview results reference check results unsuccessful assessment results analyses	5 years after assessment action completed or abandoned, based on a blanket application of Public Service Employment Act – conditions of delegation instrument requirements (see Appointment Delegation and Accountability Instrument – Conditions of Delegation)
Assess applicant(s) / candidate(s) – data, results and decisions	Documentation of decisions or substantive opinions leading to and including <i>data, results and decisions</i> , including: informal discussion results assessment data record of decision re: need for reconsideration record of decision re: changes required	5 years after assessment action completed or abandoned, based on a blanket application of Public Service Employment Act – conditions of delegation instrument requirements (see Appointment Delegation and Accountability Instrument – Conditions of Delegation)
Select candidate(s)	Documentation of decisions or substantive opinions leading to and including <i>selection actions</i> , including: selection rationales record of decision re: offer refused notices of consideration record of decision re: change of appointment	5 years after assessment action completed or abandoned, based on a blanket application of Public Service Employment Act – conditions of delegation instrument requirements (see the Appointment Delegation and Accountability Instrument – Conditions of Delegation)
Select candidate(s) – not selecting actions	Documentation of decisions or substantive opinions leading to and including <i>not selecting candidate(s)</i> , including: applications candidate résumés skills profiles successful initial screening results valid SLE results standardized test results position-specific test results assessment schedules interview results reference check results successful assessment results analyses record of decision re: candidate does not reflect right fit	5 years after assessment action completed or abandoned, based on a blanket application of Public Service Employment Act – conditions of delegation instrument requirements (see the Appointment Delegation and Accountability Instrument – Conditions of Delegation)

Select candidate(s)—candidate packages	Documentation of decisions or substantive opinions leading to and including <i>candidate(s) package(s)</i> , including: applications candidate résumés skills profiles successful screening results valid SLE results standardized test results schedules of assessment activities position-specific test results assessment schedules interview results reference check results successful assessment results analyses record of decision re: candidate reflects right fit	5 years after assessment action completed or abandoned, based on a blanket application of <u>Public Service Employment Act</u> – conditions of delegation instrument requirements (see the <u>Appointment Delegation and Accountability Instrument</u> – Conditions of Delegation)
Select candidate(s)—make offer of employment	Documentation of decisions or substantive opinions leading to and including <i>offers of employment and employment packages</i> , including: collective agreements code of conduct conflicts of interest completed mandatory information financial expenditure authorizations signed offers of employment confirmations of oath or solemn affirmation	5 years after assessment action completed or abandoned, based on a blanket application of <u>Public Service Employment Act</u> – conditions of delegation instrument requirements (see the <u>Appointment Delegation and Accountability Instrument</u> – Conditions of Delegation), except: until employee reaches 80 years of age (provided that 2 years have elapsed since the last administrative action) where resource relates to, for example, salary, pension, and has been placed on the employee HR file, based on traditional practice.

Document and integrate employee(s)	<p>Documentation of decisions or substantive opinions leading to and including <i>employee-specific integration actions</i>, including:</p> <ul style="list-style-type: none"> employee HR files payroll information entitlements deductions pension eligibility benefit coverage information tax information direct deposit information employment equity self-identification data employee skills and competencies information employee orientation requirements notifications – new employee 	<p>2 years after last administrative action, based on <u>Privacy Regulations</u>, s. 4, except:</p> <p>until employee reaches 80 years of age (provided that 2 years have elapsed since the last administrative action) where resource relates to, for example, salary, pension, and has been placed on the employee HR file, based on traditional practice.</p>
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4. Total Compensation

Business Processes	Recommendations: Information Resources of Business Value (IRBVs)	Recommendations: Retention Period
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Maintain employee compensation information	<p>Employee-specific data including correspondence documenting decisions or substantive opinions concerning:</p> <ul style="list-style-type: none"> requests (payment, voluntary deduction, pay information change, cash payment, elective service) cash payment forms elective service information approved payment requests cancelled cheque registers employer event documents (reclassification, stat/merit increase, etc.) basic salary information entitlement information employee information affecting pay cash receipt information deduction information leave adjustment information change in hours documents 	<p>Duration of employment plus 2 years, based on Privacy Regulations, s. 4, except:</p> <ul style="list-style-type: none"> 3 years after date of leave – leave applications, based on Canada Labour Standards Regulations, s. 24.(2) 3 years after work performed – records of income averaging, based on Canada Labour Standards Regulations, s. 24.(2) until employee reaches 80 years of age (provided that 2 years have elapsed since the last administrative action) where resource relates to, for example, salary, pension, and has been placed on the employee HR file, based on traditional practice.
Administer pay	Pay lists	3 years after date of resource, based on Canada Labour Standards Regulations , s. 24.(2)

Administer pay	<p>Employee-specific pay actions including correspondence documenting decisions or substantive opinions concerning:</p> <ul style="list-style-type: none"> departmental HR repositories tax information benefit coverage information approved time approved overtime pay transaction summaries leave plan information processed leave year-end leave information employee leave information mandatory leave cash-out information revised year-end leave information action requests: pay account activity 	<p>Duration of employment plus 2 years, based on Privacy Regulations, s. 4, except:</p> <p>3 years after date of leave – leave applications (includes medical certificates), based on Canada Labour Standards Regulations, s. 24.(2)</p> <p>until employee reaches 80 years of age (provided that 2 years have elapsed since the last administrative action) where resource relates to, for example, salary, pension, and has been placed on the employee HR file, based on traditional practice.</p>
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5. Employee Performance, Learning, Development and Recognition

Business Processes	Recommendations: Information Resources of Business Value (IRBVs)	Recommendations: Retention Period
Address unit learning requirements	<p>Documentation of decisions or substantive opinions leading to and including event-specific learning actions, including:</p> <ul style="list-style-type: none"> learning materials learning event evaluation results action requests – development of training events action requests – adapt a learning event record of decision re: learning event fits participant lists participant learning results action requests – learning event <p>Note: see also the common business process: Managing employee learning and development.</p>	<p>2 years after event completed or abandoned – information resources (IR) that do not contain personal information, based on traditional practice</p> <p>2 years after last administrative action – IR that contain personal information, based on Privacy Regulations, s. 4, except:</p> <p>until employee reaches 80 years of age (provided that 2 years have elapsed since the last administrative action) where resource relates to, for example, salary, pension, and has been placed on the employee HR file, based on traditional practice.</p>

Develop performance agreements	<p>Documentation of decisions or substantive opinions regarding employee performance, including:</p> <ul style="list-style-type: none"> performance measures modified performance agreement templates employee key business commitments career goals documents employee ongoing business commitments employee performance expectations record of decision re: consideration of stretch opportunity record of decision re: key business/commitments/objectives not required learning feasibility analyses record of decision re: learning event feasible final performance agreements 	<p>2 years after event completed or abandoned – IR that do not contain personal information, based on traditional practice</p> <p>5 years after last administrative action – employee-specific documentation, based on 1998 directive from former National Archivist, Jean-Pierre Wallot, following a proposal from the TBS Personnel Policy Branch</p>
Manage employee performance	<p>Documentation of decisions or substantive opinions regarding employee-specific performance, including:</p> <ul style="list-style-type: none"> results of employee performance reviews employee performance assessments performance development plans performance leave performance pay decision documents: reinforcement of exceptional behaviour decision documents: competency issue decision documents: eligibility for performance pay or leave 	<p>5 years after last administrative action – employee-specific documentation, based on 1998 directive from former National Archivist, Jean-Pierre Wallot, following a proposal from the TBS Personnel Policy Branch</p>

Manage employee learning and development	<p>Documentation of decisions or substantive opinions regarding <i>event-specific learning actions</i>, including:</p> <ul style="list-style-type: none"> learning event requests education leave business cases employee learning progress feedback employee learning results reimbursement documents taxable benefit information decision documents: education leave decision documents: review learning at completion decision documents: changes required to learning decision documents: taxable benefit or not action requests: payment of learning event 	<p>2 years after last administrative action based on traditional practice and Privacy Regulations, s. 4, except:</p> <ul style="list-style-type: none"> 3 years after training – first-aid certificates, based on traditional practice 2 years after the date instruction or training is provided to emergency wardens, deputy emergency wardens and monitors based on COHS Regulations, s. 17.8(2) duration of employment – records of training in motor vehicle operation, based on the NJC OHS Directive, s. 16.6.4 until employee reaches 80 years of age (provided that 2 years have elapsed since the last administrative action) – where resource relates to, for example, language examination, exemption and training, participation and achievement in other training events, and has been placed on the employee HR file, based on traditional practice.
Manage employee learning and development – dangerous situations	<p>signed records on the information, instruction and training that each employee is provided with</p>	<p>2 years after the day on which an employee ceases to perform an activity that has a risk of work place violence associated with it –based on COHS Regulations, s. 20.10(5)</p> <p>2 years after the day on which the employee ceases to be exposed to a hazard based on COHS Regulations, s. 10.15 and 19.6(5),</p> <p>30 years after training event – training in hazard investigation, based on the NJC OHS Directive, s. 11.2.3</p>

Manage employee recognition	<p>Documentation of decisions or substantive opinions regarding <i>awards/recognitions</i>, including:</p> <ul style="list-style-type: none"> award nomination templates incentive award plans award plans for inventors/innovators scholarships award-specific criteria nomination submissions recognition assessments recognition approaches decision documents: employee recognition decision documents: informal or formal recognition notifications: nomination status decision documents: public recognition 	<p>2 years after last administrative action – IR that do not contain personal information, based on traditional practice, except:</p> <p>6 years after end of fiscal year – financial data, based on traditional practice</p> <p>2 years after last administrative action – IR that contain personal information, based on Privacy Regulations, s. 4, except:</p> <p>3 years after last administrative action – records of individual decorations, medals, investiture and outstanding achievement awards, based on traditional practice</p> <p>15 years after last administrative action – records of precedent-setting cases, based on traditional practice</p>
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6. Permanent and Temporary Separation

Business Processes	Recommendations: Information Resources of Business Value (IRBVs)	Recommendations: Retention Period
Manage permanent separation	<p>Documentation of decisions or substantive opinions regarding <i>employee-specific actions</i>, including:</p> <ul style="list-style-type: none"> approved employee separation notifications employee separation information separation data eligibility assessments compensation separation packages notifications: employee separation action requests: pay account activity decision documents: record of employment required information affecting pension or death benefit exit interviews 	<p>2 years after last administrative action – IR that contain personal information, based on Privacy Regulations, s. 4, except:</p> <p>until employee reaches 80 years of age (provided that 2 years have elapsed since the last administrative action) where resource relates to, for example, salary, pension, and has been placed on the employee HR file, based on traditional practice.</p>

Process temporary separation	<p>Documentation of decisions or substantive opinions regarding employee-specific actions, including:</p> <ul style="list-style-type: none"> employee absence information employee leave without pay information leave eligibility information benefits letters insurance and deficiencies decisions approved workers compensation claims approved disability claims insurance maintenance information notifications pension maintenance information notifications 	<p>2 years after last administrative action – IR that contain personal information, based on Privacy Regulations, s. 4, except:</p> <p>until employee reaches 80 years of age (provided that 2 years have elapsed since the last administrative action) where resource relates to, for example, salary, pension, and has been placed on the employee HR file, based on traditional practice.</p>
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7. Workplace Management

Business Processes	Recommendations: Information Resources of Business Value (IRBVs)	Recommendations: Retention Period
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Manage grievances (case-specific)	<p>Documentation of decisions or substantive opinions regarding <i>case-specific grievances</i>, including:</p> <ul style="list-style-type: none"> notice of acceptance record of decision re: continue with grievance offer of Employee Assistance Program (EAP) services offer of Informal Conflict Management System (ICMS) services record of decision re: access to ICMS record of decision re: involvement of Canadian Human Rights Act receipt stating the date grievance received grievance decisions (levels 1, 2, and 3) record of decision re: level of grievance National Joint Committee decision Deputy Head or delegate communication of decision record of decision re: on-site review record of decision re: relativity study required majority report minority report consensus report record of decision re: federal court, legal or procedural issue record of decision re: present grievance at next level notices to Canadian Human Rights Commission (CHRC) CHRC submission decision Public Service Labour Relations Board final decision recourse data notice of withdrawal 	<p>2 years after last administrative action, based on <i>Privacy Regulations</i>, s. 4, except:</p> <p>3 years after date of resolution or date of decision by the Public Service Labour Relations Board – grievances, appeals, adjudications, based on traditional practice</p>
Manage grievances (individual)	<p>Documentation of decisions or substantive opinions regarding <i>individual grievance packages</i>, including:</p> <ul style="list-style-type: none"> workplace contact, position information and name of employer of grieving party/parties statement detailing grievance date of alleged violation or misinterpretation corrective action requested representation declaration (if requested and received) receipt of grievance information from receiving party any additional information, comments of insight provided by delegated receiving party any additional information, comments of insight provided by labour relations based on their initial screening/triage any documentation and any escalated lower grievance decisions any additional information provided during consultations 	<p>2 years after last administrative action, based on <i>Privacy Regulations</i>, s. 4, except:</p> <p>3 years after date of resolution or date of decision by the Public Service Labour Relations Board – grievances, appeals, adjudications, based on traditional practice</p>

Manage grievances (group)	<p>Documentation of decisions or substantive opinions regarding <i>group grievance packages</i>, including:</p> <ul style="list-style-type: none"> name of the bargaining agent, and the contact information of the authorized representative of the bargaining agent statement detailing grievance date of alleged violation or misinterpretation corrective action requested receipt of grievance information from receiving party any additional information, comments of insight provided by delegated receiving party any additional information, comments of insight provided by labour relations based on their initial screening/triage any documentation and any escalated lower grievance decisions any additional information provided during consultations 	<p>2 years after last administrative action, based on <i>Privacy Regulations</i>, s. 4, except:</p> <p>3 years after date of resolution or date of decision by the Public Service Labour Relations Board – grievances, appeals, adjudications, based on traditional practice</p>
Manage grievances (policy)	<p>Documentation of decisions or substantive opinions regarding <i>policy grievance packages</i>, including:</p> <ul style="list-style-type: none"> grieving party's/parties' workplace contact and position information statement detailing grievance date of alleged violation or misinterpretation corrective action requested receipt of grievance information from receiving party any additional information, comments of insight provided by delegated receiving party any additional information, comments of insight provided by labour relations based on their initial screening/triage any documentation and any escalated lower grievance decisions any additional information provided during consultations 	<p>2 years after last administrative action, based on <i>Privacy Regulations</i>, s. 4, except:</p> <p>3 years after date of resolution or date of decision by the Public Service Labour Relations Board – grievances, appeals, adjudications, based on traditional practice</p>

Manage grievances (post-decision classification)	<p>Documentation of decisions or substantive opinions regarding <i>post decision classification grievance packages</i>, including:</p> <ul style="list-style-type: none"> workplace contact, position information and name of employer of grieving party/parties statement detailing grievance date of alleged violation or misinterpretation corrective action requested representation declaration (if requested and received) receipt of grievance information from receiving party any additional information, comments of insight provided by delegated receiving party any additional information, comments of insight provided by labour relations (includes abeyance to allow labour relations grievance, if necessary) any additional information, comments of insight from informal classification grievance discussions receipt information from corporate classification output from grievance validity assessment relativity report evaluation results classification rationale committee signature or DM decision rating assigned occupational group, subgroup and level NOC code any input/notes from committee members any input/notes from review of original classification decision documentation identification and request for missing documentation or required information on-site and/or relativity study documentation, if conducted updated and additional information received during the classification hearing committee's decision and delegated authority's decision with sufficient detail to allow implementation of any remedial action 	<p>2 years after last administrative action, based on <u>Privacy Regulations</u>, s. 4, except:</p> <p>3 years after date of resolution or date of decision by the Public Service Labour Relations Board – grievances, appeals, adjudications, based on traditional practice</p>
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Manage complaints (case-specific)	<p>Documentation of decisions or substantive opinions regarding case-specific complaints, including:</p> <ul style="list-style-type: none"> investigation reports investigation reports feedback investigator terms of reference harassment complaint decisions notices of complaint rejection or redirection notices of withdrawal offer of EAP services decision documents: involves <i>Canadian Human Rights Act</i> notices to CHRC CHRC inquiry CHRC decisions Canadian Human Rights Commission Tribunal final decisions Public Service Labour Relations Board complaint package Public Service Labour Relations Board final decisions Public Service Staffing Tribunal decisions extension request extension decision record of decision re: federal court, legal or procedural issue reviewed decision recommended recourse route(s) Informal Conflict Management System (ICMS) decisions decision documents: corrective or disciplinary measures 	<p>2 years after last administrative action, based on Privacy Regulations, s. 4, except:</p> <p>3 years after date of resolution or date of decision by the Public Service Labour Relations Board – grievances, appeals, adjudications, based on traditional practice</p>
Manage complaints (harassment)	<p>Documentation of decisions or substantive opinions regarding harassment complaint packages, including:</p> <ul style="list-style-type: none"> the nature of the allegations the name of the respondent the nature of the relationship of the respondent to the complainant the date and a description of the incident(s) the names of witnesses, if applicable official acknowledgement of the receipt of the complaint any additional information, comments of insight provided by labour relations based on their initial screening/triage 	<p>2 years after last administrative action, based on Privacy Regulations, s. 4, except:</p> <p>3 years after date of resolution or date of decision by the Public Service Labour Relations Board – grievances, appeals, adjudications, based on traditional practice</p>

Manage complaints (Public Service Staffing Tribunal)	<p>Documentation of decisions or substantive opinions regarding <i>Public Service Staffing Tribunal complaint packages</i>, including:</p> <ul style="list-style-type: none"> contact information of complainant mailing address to be used for sending documents to a complainant contact information of complainant's representative number or identifier of process to which complaint relates, if any date of notice of lay-off, revocation, appointment/proposed appointment (include copy) name of department/agency, branch or sector involved reference to provision of <i>Public Service Employment Act</i> under which complaint is made full factual description of events/circumstances/actions giving rise to complaint signature of complainant or representative, if any date of complaint 	<p>2 years after last administrative action, based on <i>Privacy Regulations</i>, s. 4, except:</p> <p>3 years after date of resolution or date of decision by the Public Service Labour Relations Board – grievances, appeals, adjudications, based on traditional practice</p>
Manage employee discipline	<p>Documentation of decisions or substantive opinions regarding <i>disciplinary actions</i>, including:</p> <ul style="list-style-type: none"> decision documents: inform union or not written record of disciplinary action <p>Documentation of decisions or substantive opinions regarding <i>discipline information packages</i>, including:</p> <ul style="list-style-type: none"> background information on the incident or alleged misconduct decision and any action taken related to the application of the Larson Criteria any additional information provided by employee documentation of the outcome of employee/witness interviews, including the investigation reports, if any decision as to whether misconduct took place offer of EAP services final investigation results employee's response details of previous management responses and applicable prior jurisprudence 	<p>2 years after last administrative action, based on <i>Privacy Regulations</i>, s. 4, except:</p> <p>where retention is specified by collective agreement</p>

Manage workforce scheduling	<p>Documentation of decisions or substantive opinions regarding <i>workforce schedules</i>, including:</p> <ul style="list-style-type: none"> employee requests employee time sheets leave taken forms/entries extra duty worked forms action requests approved change of hours approved change of compressed work week approved action requests employee decision documents medical assessment forms/letters notifications re: return to work lump sum payment forms deduction forms leave adjustment forms 	<p>2 years after last administrative action, based on <u>Privacy Regulations</u>, s. 4, except:</p> <p>3 years after date of leave – leave applications (including medical certificates), based on <u>Canada Labour Standards Regulations</u>, s. 24.(2)(h)</p> <p>3 years after work performed – posted notices of modified work schedule for employees not subject to collective agreements, based on <u>Canada Labour Standards Regulations</u>, s. 24.(2)(n)</p>
Manage occupational health and safety	minutes of health and safety policy committees	2 years from the date on which the policy meeting was held based on the Safety and Health Committees and Representatives Regulations, s. 9. (4) and NJC OHS Directive, s. 20.9.4
	annual reports of accidents, instances of occupational disease and other hazardous occurrences	10 years after the day on which the reports are made, based on COHS Regulations, s. 15.11
	findings of reviews of work place violence prevention measures	3 years after reviews conducted, based on COHS Regulations, s. 20.7
	reports of evaluations of a hazard prevention program	6 years after the date of the report, based on COHS Regulations, s. 19.8(2)

Manage occupational health and safety incidents	Documentation of decisions or substantive opinions regarding occupational health and safety events, including: OHS details document workplace OHS committee documentation refusal to perform dangerous work escalation information OHS course of action documentation OHS support required documentation offer of EAP services preventative measures document workplace OHS committee course of action documentation proposed course of action supporting documentation manager selected course of action documentation Worker's Compensation Board claim requirements documentation unfounded refusal to work documentation culpable behaviours documentation notification of regular workplace OHS monitoring	2 years after last administrative action based on traditional practice and Privacy Regulations, s.4
Manage occupational health and safety incidents – air quality	records of indoor air quality complaints and investigations	5 years after last administrative action, based on COHS Regulations, s. 2.27(7)
Manage occupational health and safety incidents – noise hazards	reports of investigations into noise hazards	10 years after the date of the report, based on COHS Regulations, s. 7.3
Manage occupational health and safety incidents – injuries or illness	records of injuries or illnesses requiring first aid	10 years following treatment, based on the NJC OHS Directive, s. 18.2.2
Manage occupational health and safety incidents – hazardous occurrence	reports of details following a hazardous occurrence	10 years based on COHS Regulations, s. 15.11

Manage occupational health and safety incidents – exposure to hazardous substances	reports of investigations into exposure to hazardous substances and records of any related medical examinations	30 years after the report is presented, based on COHS Regulations, s. 10.6, 10.7(4)
Manage modified work arrangements	Documentation of decisions or substantive opinions regarding case-specific modified work arrangements , including: modified work arrangement accommodation data action requests (facilities, adaptive technology, scheduling) requests for leave selected re-bundling of duties documentation redeployment documentation no alternate job – disability priority documentation medical assessment form/letter modified work arrangements/accommodation plan	Duration of employment plus 2 years, based on traditional practice, except: until employee reaches 80 years of age (provided that 2 years have elapsed since the last administrative action) where resource relates to, for example, salary, pension, and has been placed on the employee HR file, based on traditional practice.
Manage continuous employment (including workforce adjustments)	Documentation of decisions or substantive opinions regarding case-specific workforce adjustments , including: business transformation notices approved business transformation approach documentation identification of employees document business transformation official notification record of decision – (surplus to requirements, reasonable job offer (RJO) not available, accept relocation, accept RJO, do not accept RJO) business transformation data offer of EAP services record of decision – surplus to requirements, RJO not available record of decision – education allowance and leave without pay no option selected – priority registration information record of decision – transition support record of decision – transition support and separation record of decision – separate	Duration of employment plus 2 years, based on traditional practice, except: until employee reaches 80 years of age until employee reaches 80 years of age (provided that 2 years have elapsed since the last administrative action) where resource relates to, for example, salary, pension, and has been placed on the employee HR file, based on traditional practice.