

F.7. Employee Records

1.0 INTRODUCTION/BACKGROUND

Mercy Services promotes a positive work environment in which employees feel that they are valued, treated fairly and given recognition for their contribution to Mercy Services' success. Mercy Services aims to provide an environment that fosters good working relationships at all levels, offers flexible and supportive work practices, and maintains accurate, relevant, secure documentation relating to Mercy Services employees.

2.0 SCOPE

The scope of this policy is to apply to all Mercy Services employees.

3.0 POLICY STATEMENT

Mercy Services will keep accurate, meaningful and secure records for all employees regarding their:

- employment particulars;
- payroll;
- supervision; and
- learning and development.

4.0 PROCEDURES

4.01 Employee (human resources) File

The payroll staff are responsible for the establishment and maintenance of official personnel records regarding the employee's employment relationship with Mercy Services.

An employee file is a record of personal information either in electronic and/or paper format. The record comprises information about employment, including (but not limited to) recruitment and selection, terms and conditions of employment, performance, discipline, leave, emergency contact details and resignation. Except for information specified as being treated as public knowledge, employees' records are confidential and kept in locked storage. Employee files for all Mercy Services employees are retained by payroll staff

Certain information concerning Mercy Services employees will be treated as public information. This information includes work address, work phone, work fax and email address; dates of employment and positions held.

Information related to ethnicity, gender, disability, birth date and other Equal Employment Opportunity (EEO) data are collected and reporting statistically in ways that do not identify the individual.

Medical information and information collected for the purpose of administering compensation and benefits programs or addressing employee health concerns is confidential and will not be released with the employees consent except for purposes of administering the benefits program or addressing the employee concern.

The types of documents maintained and retained in human resources files may include the following:

- Application for Employment with Mercy Services;
- Criminal record check;
- Résumé or Curriculum Vitae;
- Copies of academic/professional qualifications, training records and related personal accomplishment documentation;
- Salary packaging and payroll records;
- Leave records;
- Staff details sheets;
- Review and Development records;
- Job interview records (*kept by panel chairperson for 6 months*);
- Consultation reports and other related documentation;
- Workers compensation and other benefits information;
- Drivers licence; vehicle registration and comprehensive vehicle insurance;
- Superannuation;
- Medical information and workers compensation records;
- Employee exit interview record;
- Employee termination documentation; and
- other information considered relevant by the Mercy Services Chief Executive Officer (CEO).

4.02 Payroll record

The Senior payroll staff are responsible for the establishment and maintenance of official payroll records regarding all Mercy Services employees. These records are mainly on an electronic database with some paper source documents.

Leave requests

All requests for leave must be authorised by the employee's supervisor using the appropriate form. This form should be given to Mercy Services payroll attached to the relevant timesheet to indicate that the leave on the timesheet has been properly authorised.

Timesheets

The purpose of the timesheet is to record an employee's hours of work and work expenses to pay an employee correctly and to assign costs to the relevant cost centre.

All employees must submit a completed Mercy Services timesheet for every 14 day pay period. Each timesheet commences on a Monday and finishes on a Sunday.

All employees (excluding the CEO and Managers/Director of Care) must record their actual start and finish time for each day.

The CEO and Managers/Director of Care may record the same start and finish time each day on the understanding that their actual pay is more a fortnightly division of an annual salary rather than an hourly rate. The CEO may change this requirement if there are concerns about the number and suitability of the actual hours worked.

Each employee is responsible for signing and correctly completing his or her timesheet and handing it to their supervisor by 12 noon on the Monday of the new pay period. Employees may want to keep their own record of the details they have recorded on their timesheet. Any late submission of a timesheet may result in a delayed salary payment due to the time it takes to process payroll.

The employee's supervisor checks the employee's hours, queries inconsistencies and clarifies changes with the employee if required, and signs the timesheet to authorise payment of the hours and type of pay/leave.

The supervisor ensures that timesheets are handed to the payroll staff for processing by Monday 2pm.

4.03 Accuracy

The CEO (or delegate) will conduct an annual audit of a random selection of 10% of Employee Files to ensure the accuracy and completeness of their contents (see Appendix 1).

Employee data will be validated/verified by asking staff to confirm their contact details and other essential data before the end of each financial year.

4.04 Supervision record

All Coordinators/Managers/Director of Care/CEO will keep a record of the date and content of all of their supervision meetings with staff (see F.05 Review and Development).

4.05 Learning and Development record

The Learning and Development Coordinator will keep a record of the training and professional development of all Mercy Services staff (see F.04 Learning and Development).

4.06 Access to Employee records

An employee, or her/his authorised representative, may review any information pertaining to him/her contained in the employee file, after arranging a time for review with the payroll staff. Some information may need to be deleted or obscured in the file to protect the identity of parties within, whose consent was not given or obtained.

A reasonable charge may apply if the employee wants copies made of all or parts of their employee record.

Mercy Services employees are prohibited from releasing any information about another Mercy Services employee to a person or employer/agency without a written authorisation from that individual.

External access to human resources files without the permission of the person shall be authorised only by the CEO and normally under the following circumstances:

- to protect the legal interests of Mercy Services;
- in response to a law enforcement authority, if it is appropriate;

- pursuant to a federal, state or local government statute or regulation that specifically requires disclosure of certain information to certain parties;
- in response to a lawfully issued administrative summons or judicial order including a search warrant or subpoena. A subpoena or other legal process for the production of the human resources file shall be reviewed by Mercy Services Legal Counsel prior to release of the information; and
- in compelling circumstances affecting the immediate health or safety of the individual.

A Mercy Services employee has the right to request correction or amendment of any information contained in her/his Mercy Services file although the file may not necessarily be changed as desired (see E.17 Privacy Policy).

4.07 Compliance

As a way of checking that this policy is being complied with the CEO will conduct an annual audit of 10% of Employee files. If a deviation from the Policy is found to have occurred the CEO will address this with the relevant staff.

4.08 Evaluation

The performance indicators for the evaluation of this policy are:

- 95% of relevant staff have completed Mercy Services training in records creation and management; and
- 90% satisfaction with the accuracy and completeness of employee files found in annual audit.

5.0 REFERENCES

1. Australian Standards	a) None identified
2. Legislation	a) Anti Discrimination Act, 1977(NSW) b) Industrial Relations Act, 1996 (NSW) c) Fair Work Act, 2009 (Cth) d) Privacy Act 1988 (Cth) e) Work Health Safety Act, 2011 (NSW) f) Work Health Safety Regulations, 2011 (NSW)
3. Professional guidelines	a) None identified
4. Codes of Practice	a) None identified
5. Codes of Ethics	a) Australian Association of Social Workers Code of Ethics http://www.aasw.asn.au/document/item/1201 b) Australian Psychological Association Code of Ethics http://www.psychology.org.au/Assets/Files/Code_Ethics_2007.pdf c) The Nursing and Midwifery Board of Australia. Registration Requirements http://www.nursingmidwiferyboard.gov.au/Registration-Standards.aspx d) Integrity in the Service of the Church https://www.catholic.org.au/media-centre/media-releases/cat_view/10-organisations/38-national-committee-for-professional-standards e) Mercy Services Code of Conduct

6. Evidence	a) None identified
7. Mercy Services Values	a) Justice, Respect, Care, Unity, Service

6.0 OTHER RELATED POLICIES

- A.02 Code of Conduct – Board
- A.03 Code of Conduct – Staff/Volunteers
- B.2 Delegations
- C.1 Management Roles and responsibilities
- C.6 Risk Management
- E.15 Protection and Vulnerable Adults from Abuse and Neglect
- E.16 Protection of Children from Abuse and Neglect
- E.17. Privacy
- F.03 Recruitment
- F.06 Management of Poor Conduct or Performance
- G.05 Risk Management
- G.07 Anti Aggression and Bullying

7.0 RELATIONSHIP WITH STANDARDS

<i>Aged Care Accreditation Standards</i>	<i>Home Care Standards</i>	<i>Disability Standards</i>	<i>EQuIP Standards</i>
1.1, 1.2, 1.3, 1.6, 1.8, 2.1, 2.2, 2.3, 3.1, 3.2, 3.3, 4.1, 4.2, 4.3, 4.5	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7, 1.8, 2.1, 2.2, 2.3, 2.4, 2.5, 3.1, 3.2, 3.3, 3.5	6.1, 6.2, 6.3, 6.5, 6.6	2.1.2, 2.2.1, 2.2.2, 2.2.4, 2.3.1, 3.2.1

8.0 DOCUMENT CHANGES RECORD

<i>Dates of change</i>	<i>Section altered</i>	<i>Natures of changes made</i>
12/09/2006	Section 11 Position Descriptions and Conditions of Employment	Document created
09/02/2010	Multiple sections	Updated with new Federal IR Laws
22/06/2010	4.1 Employee Files	Added requirement that an annual audit to ensure the accuracy and adequacy of employee records
28/03/2011	7.0 Relationship to Standards	Updated Community Care Common Standards and EQuIP5 Standards
17/10/2011	a) 4.01 b) 4.03 c) 4.07 d) 4.08 e) Appendix 1	a) Require staff files to be selected randomly and that Chairperson of interview panel keeps those records for six months. b) New section c) New section d) New section e) Additional items added
27/11/2012	All Sections	Organisation name updated
29/04/2016	a) All sections b) 2.0 Scope c) 4.01 Employee (human resources) File d) 4.02 Payroll Record: Timesheet	a) Replace GM with CEO and Senior Administration and Accounts Officer with payroll staff. b) Expressed more concisely

	<ul style="list-style-type: none"> e) 5.0 References f) 7.0 Relationship to Standards 	<ul style="list-style-type: none"> c) Record now stored by payroll staff rather than specified as being at Tighes Hill office. d) Add cost centre reference. e) Update Legislation, Codes of Ethics f) Update Disability and add Aged Care Accreditation Standards
Review due 29/04/2019		

Employee File Audit Checklist

Employee:..... Audit date:..... Audited by:.....

	Present (✓)	Adequately Completed (✓)	Date completed (* applicable)	Score
Staff Details Form				
Application for Employment				
Tax File Declaration Form				
Superannuation Choice Form <i>(if applicable)</i>				
100 points proof of identity - signed				
Working with Children Check via CCER <i>(unsupervised contact with children e.g. CT driver and Parenting Workers)</i>			*	
Prohibited Employment Declaration <i>(unsupervised contact with children e.g. CT driver and Parenting Workers)</i>				
Employment Agreement				
Job Description				
Résumé/Curriculum Vitae,				
Copies of Relevant Qualification Certificates (list)				
•				
•				
•				
Copy of Professional Associations/Licence			*	
Copy of Drivers Licence			*	
Copy Car Registration			*	
Copy of Comprehensive Car Insurance			*	
Leave Applications/records				
Signed Employment Package Contents Form				
Payroll Request Forms - Salary Packaging, extra tax, uniform deductions				
From other secure location:				
National criminal history record check <i>(for CACP and GM must be less than 3 years old)</i>				
NSW Criminal Record Check <i>(all other staff)</i>				
Total				

Client file complies with audit conditions? Yes / No Average percentage rating:

Further actions/comments

.....

.....