

Human Resources Best Practice

Employee Personal Files

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Where is “Best Practice” from?

Legislation – Acts, Amendments,
Regulations,

Case Law

Research

Principal is Privacy Officer

Why have - Personal Files?

1. Statutory requirements
Employment Relations Act (s. 130)
Holidays Act (s. 81)
2. Good employer: accurate records
ensure fairness and entitlements
received
3. Performance management – key
documents are essential
4. Employee life cycle

Personal Files: Compliant &
Complete

Personal File Content

Employee Personal File Checklist Cover Sheet

<http://www.nzsta.org.nz/employer-role/day-to-day-management/personal-files-and-record-keeping>

2 sections:

1. New appointment – completed before the employee starts
2. Ongoing information - updated as required or annually



Checklists are Good

Employee Personal File Checklist

Cover Sheet

Employee Personal File Checklist Cover Sheet

Employee Name	Position	MoE #	Name & position of authorised file manager
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Record of last time file updated

To be done as soon as new information available. Must be checked annually to confirm up to date and correct

Signature of authorised file manager Date updated

Gate Keepers of Good Record Management

Employee Personal File Checklist Cover Sheet (2)

NEW APPOINTMENT (to be completed prior to employee starting)

Recruitment

Completed [application form](#)

- Curriculum vitae
- Any written references provided with application
- Position description and person specification
- Proof of completed [Safety checking](#) including:

Always Complete the Checklists

Employee Personal File Checklist Cover Sheet (3)

- Recruitment records (matrices: shortlist, interview, decision-making)
- Proof of completed reference checks
- Police vet
- Photocopy of 2 forms of ID signed by authorised file manager as being the same photograph as employee: preferably passport and drivers' license.

The Final Matrix

Employee Personal File Checklist Cover Sheet (4)

- Copies of any qualifications relevant to the position (the original must be sighted by the authorised person) and the copy certified by them as a true record of the original
- Current practising certificate or Limited Authority to Teach (if applicable)
- Letter of offer, signed by both parties

Follow the Checklist

Employee Personal File Checklist Cover Sheet (5)

Contractual and remuneration

- Signed individual employment agreement (if a non-union member)
- [Summary of Employment details form](#)

Keep following the Checklist

KiwiSaver/Superannuation

- [Retirement savings options](#)

General

- Copy of visa [proving eligibility to work in NZ](#), if relevant
- Signed Code of Conduct
- Training Records

Employee Personal File Checklist Cover Sheet (6)

Payroll

- Direct credit authority form
- Authority for payroll deductions
- Tax code declaration: [IR330](#)

Keep following the Checklist

Induction

- Induction checklist including health and safety training completion
- Personal details form: contact information, emergency contacts, information on pre-existing medical conditions
- List of equipment issued and signed for (e.g.: ID cards, cell phone, etc)

Employee Personal File Checklist Cover Sheet (7)

Part 2 Ongoing information

- [Summary of employment details](#)
(regularly updated)
- Current fixed term agreement and letter of offer
- [Personal details form](#): contact information, emergency contacts, and medical information (regularly updated)
- Leave requests
- Copy of current practicing certificate/limited authority to teach **or** current police vet (within last 3 years, if a non-teacher)
- Proof of current completed safety checking (every three years)

Ongoing Information

Employee Personal File Checklist Cover Sheet (8)

Performance Review/ Appraisal

- Changes to job description
(annually reviewed, if required)
- Current performance agreement including professional learning and development plan
- Documentation showing outcome of annual performance review/appraisals e.g. teaching observation reports, summary of assessment against PTCs and professional standards (if required)
progress against performance and learning goals

Performance Review Appraisal

Employee Personal File Checklist Cover Sheet (9)

Disciplinary Reviews

Disciplinary Review

<input type="checkbox"/> Verbal warning	<input type="checkbox"/> Correspondence
<input type="checkbox"/> Written warning	<input type="checkbox"/> Mediation records (sealed in envelope)
<input type="checkbox"/> Interview records	<input type="checkbox"/> Investigations
<input type="checkbox"/> Outcomes	

Employee Personal File Checklist Cover Sheet (10)

Leave

- Leave taken
- Requests to cash up leave
- Sick leave
- Other leave (e.g. discretionary, ACC, Jury attendance)

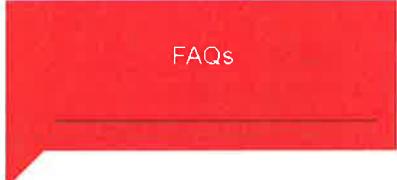
Leave & Termination

Termination

- Letter of resignation
- Acceptance of resignation or confirmation
- Exit interview
- Employee leaving checklist (e.g. keys, access cards, resources)

Common Questions

- What doesn't go on the file?
 - Others' documents
 - Reports with multiple names - twink
- Who can access them?
 - Via the principal
 - for filing delegated persons
 - the employee requests
- Confidentiality - access for filing, to look at information
 - storage risks
- How long to keep the files?
<https://education.govt.nz/assets/Documents/School/Running-a-school/2016-SchoolRecordsRetentionDisposalv2.pdf> see page 27



FAQs

Common Questions

- Employee seeks employment advice
Refer to union, MBIE on 0800 20 90 20
- Homestays advice - Ministry's International Division
Email: international.division@education.govt.nz
- Gender specific employment
Seek NZSTA advice – may be acceptable for accommodation or live-in situations
- EEO – what does it mean for us



FAQs

Questions?

Getting help



FAQs



nzsta.org.nz



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twitter.com/NZSchoolTrustee

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