**Human Resources (Primary Numbers 800 – 899)**

*This main group covers records relating to human resources. This main group contains the following primaries:*

* Human Resources – General
* Awards and Honours – General
* Benefits
* Classification – General
* Classification – Position Description and Organization
* Classification – Reclassification and Appeal
* Discipline
* Employees – Individual
* Equity
* Grievance and Appeal
* Health and Safety – General
* Health and Safety – Accidents and Injuries
* Hours of Work and Overtime
* Human Rights
* Labour Relations – General
* Labour Relations – Faculty/Librarians
* Labour Relations – Administrative Staff
* Labour Relations – Unions
* Leave Management – General
* Leave Management – Leaves, Attendance, and Seniority
* Payroll
* Payroll – Income Tax Returns
* Payroll – Monitoring
* Pension
* Performance Planning and Review (Administrative Staff)
* Personnel Planning
* Ranking – General
* Reports and Statistics
* Salary Review
* Staffing – Appointments (Faculty/Librarians)
* Staffing – Competitions and Recruitment (Administrative Staff and Unionized Employees)
* Staffing – General Applications
* Staffing – Promotion (Administrative Staff)
* Staffing – Promotion (Faculty/Librarians)
* Staffing – Tenure (Faculty/Librarians)
* Training and Development

Two global secondaries have been developed for these primaries. They are as follows:

* -00 **Policy and procedures**: records associated with a specific primary that relate to policy and procedures;
* -01 **General**: records associated with a specific primary that are of a general nature or of too low a volume to justify the creation of separate secondary;

Within the File Plan, these secondaries have been left blank so that offices may define each further.

Selected **Primary subjects** within the Human Resources section are subject to approved University of Toronto Retention Schedule 54-0001. These **Primaries** are: 815, 820, 828, 860, 865, 866 and 882. In each of these primaries reference is made to “HRIS Nos”. Please refer to [www.ams.utoronto.ca/training/hris/HR\_Payroll\_File\_Plan\_-\_May\_1998.htm](http://www.ams.utoronto.ca/training/hris/HR_Payroll_File_Plan_-_May_1998.htm) for further information.

Retention and final disposition information in all other **Primaries** is provided as a guideline only to university administrators. Authorization for final disposition should be sought from the Office of VP Human Resources.

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| File Code | Record Series | Description | Active | Semi Active | | Final Disposition | R | F |
| **800** | **Human Resources – General** | Includes records relating to the general administration of personnel management activities and systems not shown elsewhere in this block. | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -02 | Systems |  | S |  | | A |  |  |
| **803** | **Awards and Honours – General** | Includes records relating to distinctions and award presentations and recommendations of staff. For awards received by individual staff, see 820 - EMPLOYEES - INDIVIDUAL  For payments related to awards, see 860 – PAYROLL | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| **805** | **Benefits** | Includes records containing information on the administration of employee benefit plans, including medical, dental, long-term disability, etc.  For records on enrolment or eligibility of individual employees, see 820 - EMPLOYEES - INDIVIDUAL  For financial records on benefit deductions and payments, see 860 – PAYROLL For records on leave management, see 850 - LEAVE MANAGEMENT - GENERAL  For records on the Pension Plan, see 870 - PENSION | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -02 | Systems |  | S |  | | A |  |  |
| **810** | **Classification – General** | Records relating to the classification of union and administrative positions not shown elsewhere in this block.  For records on ranking of faculty/librarians, see:  875 - RANKING - GENERAL  886 - STAFFING - PROMOTION (FACULTY/LIBRARIANS)  AND 888 - STAFFING – TENURE | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| **812** | **Classification – Position Description and Organization** | Records that relate the classification of each administrative and union position to particular job description(s) within an overall organizational framework. For individual position descriptions see 820 EMPLOYEES – INDIVIDUAL | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -50 | Administrative |  | C | 3 | | A |  |  |
| -51 | Union |  | C | 3 | | A |  |  |
| **813** | **Classification – Reclassification and Appeal** | Records relating to (re)classifications of administrative and union positions, including records of Evaluation Committee, comparisons with other positions, etc. Also includes requests for, and results of appeals and reviews of position (re)classifications. For records relating to promotion of administrative staff, see: 885 - STAFFING - PROMOTION (ADMINISTRATIVE STAFF) | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -02 | (Re) Classification |  | T | 10 | | A |  |  |
| -03 | Classification Appeals |  | T | 1 | | D |  |  |
| **815** | **Discipline** | Records relating to the administration of disciplinary actions, as well as case files regarding such actions. (HRIS document no. 26). For grievances resulting from disciplinary action, see 828 - GRIEVANCE AND APPEAL | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -02 | Faculty / Librarians | Individual case files may be grouped by employee category | C | 2 | | D |  |  |
| -03 | Administrative staff |  | C | 2 | | D |  |  |
| -04 | Unionized employees |  | C | 2 | | D |  |  |
| -05 | Teaching Assistants |  | C | 2 | | D |  |  |
| -06 | Casual (non-union) |  | C | 2 | | D |  |  |
| -02 | Faculty / Librarians |  | C | 2 | | D |  |  |
|  |  |  | (or as required by policy/agreement) | | | |  |  |
| **820** | **Employees – Individual** | Includes records relating to individuals in all employee categories, such as signed letters of offer, organizational assignment information, personal information (home address, citizenship/VISA, education, resumes, etc.), leave requests, performance appraisals, etc., not shown elsewhere in this block. (HRIS document nos. 3, 5, 6, 16-24, 27-29, 33, 34 ;)  For payroll and other payments to individual employees see 860 – PAYROLL. For grievances see 828 – GRIEVANCE AND APPEAL. For administrative staff, see also 885 – STAFFING – PROMOTION (ADMINISTRATIVE STAFF). For faculty/librarians, see also: 885 - STAFFING - PROMOTION (FACULTY/LIBRARIANS), and 888 - STAFFING - TENURE (FACULTY/LIBRARIANS) | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -02 | Faculty / Librarians | Individual case files, grouped by employee category | T | 6 | | A |  |  |
| -03 | Administrative staff |  | T | 6 | | D |  |  |
| -04 | Unionized employees |  | T | 6 | | D |  |  |
| -05 | Teaching Assistants |  | T | 6 | | D |  |  |
| -06 | Casual |  | T | 6 | | D |  |  |
| **825** | **Equity** | Includes records dealing with the general implementation of employment or pay equity policies and legislation. | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| **828** | **Grievance and Appeal** | Includes records relating to policies, methods and procedures for handling grievances and complaints of employees, as well as individual case files. Also includes Human Rights complaints. (HRIS document no. 30)  For appeals relating to classification, see:  813 - CLASSIFICATION - RECLASSIFICATION AND APPEALS  For disciplinary action, see:815 – DISCIPLINE | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -02 | Faculty / Librarians |  | C | 3 | | A |  |  |
| -03 | Administrative staff |  | C | 3 | | A |  |  |
| -04 | Unionized employees |  | C | 3 | | A |  |  |
| -05 | Teaching Assistants |  | C | 3 | | A |  |  |
| -06 | Casual (non-union) |  | C | 3 | | A |  |  |
| -50 | Unionized employees |  | C | 3 | | A |  |  |
| **830** | **Health and Safety – General** | Records relating to policies and procedures dealing with health and safety issues involving University of Toronto employees. Also includes Joint Health and Safety See also Office of Environmental Health and Safety Schedules 72-0001, 72-0002, 72-0003, 72-0004, 72-0005, 72-0006 and 72-0007 | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -20 | Joint Health and Safety Committees | Includes minutes and agenda from de-centralized Joint Health and Safety Committees | C | 2 | | A |  |  |
| -30 | Training and Retraining files | Permanent employees | Year employee leaves | 1 | | D |  |  |
| Contract staff/visitors | C | 2 | |
| **832** | **Health and Safety – Accidents and Injuries** | Includes records relating to accidents, injuries and incidents as required by Workman's Compensation Board for individual employees. See also Office of Environmental Health and Safety Schedules 72-0001, 72-0002, 72-0003, 72-0004, 72-0005, 72-0006 and 72-0007 | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -02 | WCB case files |  | C | 3 | | A |  |  |
| -03 | Permanently impaired case files |  | C | 3 | | A |  |  |
| -04 | WCB reimbursement files |  | C | 6 | | D |  |  |
| -05 | WCB accident cost statements |  | C | 6 | | D |  |  |
| -50 | Employees incident/accident reports (non-exposure) | Non-exposure to hazardous materials reports | Date of report | 15 | | D |  |  |
| -51 | Employees incident/accident reports (exposure) | Exposure to hazardous materials reports | Event Trigger | 40 | | D |  |  |
| **835** | **Hours of Work and Overtime** | Records relating to hours of work, work schedules, flexible hours, time off, closing, overtime, including compensation, etc. For individual employees see 820 – EMPLOYEES - INDIVIDUAL | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| **838** | **Human Rights** | Records relating to the general application of federal and provincial Human Rights legislation to employees. For individual cases, see: 820 - EMPLOYEES – INDIVIDUAL | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| **840** | **Labour Relations – General** | Records dealing with employee-management relations and services not shown elsewhere in this File Plan, including unions, Staff and Faculty Associations. For discipline, see 815 - DISCIPLINE For grievances, see 828 - GRIEVANCE AND APPEAL | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| **842** | **Labour Relations – Administrative Staff** | Records relating to the relationships between management and administrative staff including agreement(s), Manual of Staff Policies, newsletters, etc. | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| **843** | **Labour Relations – Unions** | Records relating to the relationships between management and unions including collective agreement(s), policies, newsletters, etc. | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| **850** | **Leave Management – General** | Records relating to the management of leaves, including policies, procedures, etc. See also 805 - BENEFITS | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| **852** | **Leave Management – Leaves, Attendance, and Seniority** | Records relating to attendance such as time and attendance reports, seniority calculations, vacation, designated paid holidays, special and other types of leave such as Long Term Disability (LTD), academic leave, etc. For individual employee leave requests, attendance records, approvals, and etc. see 820 - EMPLOYEES - INDIVIDUAL | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -02 | Academic leave applications and reports |  | C | 7 | | D |  |  |
| **860** | **Payroll** | Contains records pertaining to payroll management and to payments made, or to be made to employees of the University. Includes either general records such as payroll register, or supporting documentation pertaining to payments to employees, such as control reports, records documenting wages, salaries, benefits and all other payments to employees of the University.(HRIS document nos. are indicated below.) | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -20 | Employees – Individual | Records maintained by decentralized offices relating to payments to individual employees. Includes action forms, awards, monthly supplementary forms, overtime payments, research grant payments, secondary research contract payments, cheque deposits, TD1 forms.(HRIS Doc No. 1,. 2, **)**. May be grouped by employee category. | C | 6 | | D |  |  |
| -51 | Agreements with carriers |  | T | 6 | | D |  |  |
| -52 | Bank lists (fiche)  *(HRIS Doc No. 11)* |  | C | 6 | | D |  |  |
| -53 | Invoices from carriers |  | C | 6 | | D |  |  |
| -54 | Payroll register (fiche) |  | T | 6 | | A |  |  |
| -55 | Payroll (cheque) registers (fiche) |  | C | 6 | | D |  |  |
| -56 | Third party billings |  | C | 6 | | D |  |  |
| -57 | Canada Savings Bonds applications |  | C | 6 | | D |  |  |
| **865** | **Payroll – Income Tax Returns** | Consists of records pertaining to the fiscal management of payments to employees of the University, both general and supporting documentation. (HRIS Document nos. listed below ) | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -50 | T4 and T4A forms |  | C | 6 | | D |  |  |
| -51 | Tax remittance forms |  | C | 6 | | D |  |  |
| -52 | Amendments to T5 tax forms  *(HRIS Doc. No. 8)* |  | C | 6 | | D |  |  |
| -53 | Tax waiver letters  *(HRIS Doc. No. 13)* |  | T | 6 | | D |  |  |
| -54 | TD2/Retiring allowance  *(HRIS Doc. No. 31)* |  | C | 6 | | D |  |  |
| **866** | **Payroll – Monitoring** | Consists of records pertaining to the monitoring and controlling of payments to employees of the University, both general records and supporting documentation. (HRIS document no. listed below) | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -50 | Deduction listing |  | C | 6 | | D |  |  |
| -51 | Monthly salary comparison report |  | C | 3 | | D |  |  |
| -52 | Payroll deletion report |  | C | 2 | | D |  |  |
| -53 | Salary income monitoring report |  | C | 6 | | D |  |  |
| -54 | Tax exemption rate listing |  | C | 1 | | D |  |  |
| -55 | Batch change update report (fiche) |  | C | 6 | | D |  |  |
| -56 | Year-end reports (e.g. taxable benefits, union dues, etc.) |  | C | 6 | | D |  |  |
| -57 | UTFA/UTSA application lists for dues deductions  *(HRIS Doc. No. 25)* |  | S |  | | D |  |  |
| **870** | **Pension** | Contains records pertaining to pension settlements and payments, concerning employees of the University, including either general records such as pension plans, or supporting documentation such as settlement agreements and deductions history. | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -50 | Pensioner case files | Includes adjustment records, pension history, and pension settlements | pension is no longer payable | 2 | | A |  |  |
| -51 | Future pensioner/deferred pension case files |  | pension becomes payable | add to 870-50 | |  |  |  |
| -52 | Paid-up annuity case files |  | U of T involvement ceases | 6 | | D |  |  |
| -53 | Deferred paid up annuity case files |  | U of T involvement ceases | 6 | | D |  |  |
| -54 | Reciprocal transfers-in case files |  | pension becomes payable | add to 870-50 | |  |  |  |
| -55 | Deaths-in-service case files |  | pension is no longer payable | 2 | | A |  |  |
| -56 | Transfer to RRSP case files |  | add to 870-50 |  | |  |  |  |
| -57 | Adjustment records |  | add to 870-50 |  | |  |  |  |
| -58 | Pension history printouts |  | add to 870-50 |  | |  |  |  |
| -59 | Pension settlements |  | add to 870-50 |  | |  |  |  |
| **872** | **Performance Planning and Review (Admin. Staff)** | Includes records relating to the administration of performance planning and review. For individual work plans and records of performance assessment, see 820 - EMPLOYEES - INDIVIDUAL | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| **874** | **Personnel Planning** | Records relating to current and projected staffing requirements, personnel resource requirements, forecasts and estimates, etc. | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| **876** | **Reports and Statistics** | Includes reports and statistics not included elsewhere in this main subject group | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -51 | StatsCan reports |  | C | 2 | | D |  |  |
| **878** | **Salary Review** | Consists of general records relating to the administration of salary and wage matters, rates of pay, deductions, regulations, schedules and standards for payments of wages. For records on pay changes relating to individual employees, see 860 – Payroll | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| **880** | **Staffing – Appointments** | Records relating to the search for, and appointment, reappointment, and cross-appointment of faculty/librarian appointees  For additional records on individual employees, see also: 820 - EMPLOYEES - INDIVIDUAL  For records on recruitment of administrative staff and unionized employees, see:  882 - STAFFING - COMPETITIONS AND RECRUITMENT (ADMINISTRATIVE AND UNION)For records on appeals relating to appointments, see:  828 - GRIEVANCE AND APPEAL and 820 - EMPLOYEES – INDIVIDUAL | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -02 | Search committee files | Includes membership of search committee, application letters, c.v.’s, letters of reference from internal and external sources, correspondence, memoranda, accompanying documentation, etc. | time appointment made | 1 | | D |  |  |
| -03 | Appointment/  reappointment files | Includes copy of advertisement, membership of search committee, description of efforts to attract applicants from designated groups, statistical tables, correspondence, memoranda, notifications, recommendations, c.v.’s, letters of reference, etc. | Letter of offer, confirmations, letters of reference, etc. are transferred to 820 – Employee Case File, when such a file is created. Other parts of the file, including description of efforts to attract applicants from designated groups, membership of search committee, etc. are transferred to Provost’s Office (See 880-50). | | | |  |  |
| -03-01 | Tenure-track appointment files |  | TBA | | | |  |  |
| -03-02 | Non-tenure-track appointment/  reappointment files |  | TBA | | | |  |  |
| -03-04 | Cross-appointment files | Includes SGS nomination form, correspondence, c.v.’s, confirmation of cross-appointment, etc. | TBA | | | |  |  |
| -03-50 | Appointment/  reappointment files |  | C | 3 | A | |  |  |
| **882** | **Staffing – Competitions and Recruitment (Administrative Staff and Unionized Employees)** | Records relating to competitions and recruitment (including cross-appointments), including requisitions, short lists of candidates, postings, interview format and questions, copies of applications, accepted and rejected letters of offer**.** (HRIS document no. indicated below.)  For records on searches and appointments of faculty/librarians, see: 880 - APPOINTMENTS (FACULTY/LIBRARIANS)  For records on appeals relating to competitions and recruitment, see:  828 - GRIEVANCE AND APPEAL and 820 - EMPLOYEES - INDIVIDUAL | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -10 | Individual competitions | (HRIS Doc. No. 20)  File by position title or competition no. Includes records of unsuccessful candidate only. Records of successful candidate filed in 820 | C | 1 | | D |  |  |
| **884** | **Staffing – General Applications** | Includes unsolicited applications for positions within an academic or administrative unit, c.v.'s, etc. | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -02 | General applications |  | C | 1 | | D |  |  |
| **885** | **Staffing – Promotion (Administrative Staff)** | Includes records on the promotion of administrative staff.  For records on promotion of faculty/librarians, see:886 - STAFFING - PROMOTION (FACULTY/LIBRARIAN)  For records on promotion of individual staff members, see: 820 - EMPLOYEES – INDIVIDUAL | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -20 | Promotion and review files |  | C | 3 | | D |  |  |
| **886** | **Staffing – Promotion (Faculty/Librarians)** | Records including c.v.'s, written assessments and evaluations from internal and external sources, recommendations of the Teaching Evaluation Committee, recommendations of the Internal Reading Committee, notifications, correspondence, memoranda, etc. **Primary to be used if records maintained separately from 820 – EMPLOYEES-INDIVIDUAL** | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -20 | Promotion dossiers and progress through the ranks (PTR) material |  | C | 3 | | D |  |  |
| **888** | **Staffing – Tenure (Faculty/Librarians)** | Records relating to tenure review and approval, including c.v.'s, written assessments and evaluations from internal and external sources, recommendations of the Tenure Committee, notifications, correspondence, memoranda, etc. . **Primary to be used if records maintained separately from 820 – EMPLOYEES-INDIVIDUAL** | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -20 | Tenure review files |  | C | 3 | | D |  |  |
| **890** | **Training and Development** | Includes records relating to the administration of training functions and activities, including schedules, courses, course content, course attendance records, evaluation reports and comments. | | | | | | |
| -00 | Policy and procedures |  | S |  | | A |  |  |
| -01 | General |  | S |  | | A |  |  |
| -02 | Training and development files |  | S |  | | D |  |  |
|  |  |  |  |  | |  |  |  |