

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 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.

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), <u>Manual of Staff Policies</u> , 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		

