



File Classification

How to use and read a file classification plan

This handout provides an overview on how to use and read a file classification plan. The plan that covers the human resources function. Human resources is an administrative function for which every department creates and maintains records. Therefore, this section of the Archives' file plan could easily apply to the records created in your own department.

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Scope

- ! Use the HRS subject heading for records relating to staff relations and management; staff education and professional development; and occupational health and safety.

Cross References

- ! For records relating to the education of university personnel (non-ARMD staff) in the services provided by ARMD and for records relating to other outreach activities, see EDU: Education and Outreach.
- ! For records relating to conference attendance that have been filed for their informational value (e.g. conference programs, handouts, binders, etc.), see REF: Reference and Information.

Applicable R

s,



-10	Accident Reports ⁷	PR/ER	CY + 1 yr	Nil	CY + 1 yr	D	T
HRS003 Personnel⁸							
-01	General	PR/ER	CY + 1 yr	5 yrs	CY + 6 yrs	SR	C
-20	Academic Employees (Continuing) ⁹	PR/ER	See RRSDA	-----	See RRSDA	D	E
-25	Academic Employees (Non-Continuing) ¹⁰	PR/ER	See RRSDA	-----	See RRSDA	D	E
-30	Contractors ¹¹	PR/ER	CY + 1 yr	5 yrs	CY + 6 yrs	SR	E
-35	Non-Academic Employees ¹²	PR/ER	CY + 1 yr	5 yrs	CY + 6 yrs	SR	E

ADDITIONAL SCOPE NOTES

¹ Human Resources (General)

Use for records relating to human resources generally, but which do not fall under any more specific primary in this subject heading.

² Reference Letters

Use for letters of reference written by ARMD staff on behalf of former students and employees, and colleagues.

³ Job Description, Classification and Compensation

Use for records relating to the (s) Tj 50 00, 50 26 20 and 767.3605 15 5W 60 7 s 10 B0 98400T 50 (a) Tj

Close old files and open new files (if needed) at the end/beginning of each calendar year (i.e. time-based).

⁸ Personnel

Use for records documenting the employment history of individuals hired for ARMD positions, including employee training and professional development. Personnel files close when the employee's employment in ARMD is terminated (i.e. event-based).

⁹ Academic Employees (Continuing)

These records are scheduled under RRSDA 1996-004, Personnel Files: Academic Employees (Continuing).

¹⁰ Academic Employees (Non-Continuing)

These records are sch0 0 0 50 409 0 Tm8e W Tm1 Tm (s) T1 Tf (1) Tj 29 0.0 TmCs1 cs 0

These records are scheduled under RRSDA 1997-013, Competition Files: Non-Academic Staff Appointments.

¹⁷ Potential Recruits

Use for resumes and CVs of promising candidates retained in the event of future openings. Weed this file regularly so that S/O records (i.e. resumes and CVs of individuals no longer considered for recruitment) are destroyed.

¹⁸ Work Schedules and Absences

Use for records relating to employee work schedules, vacations and leaves.

¹⁹ Leave Application Files

Forms, correspondence, memoranda, email and other records relating to an employee's request for leave under an SFU policy or collective bargaining agreement provision. Use this category to create case files for the working papers relating to the processing of an application. Files close when the application is adjudicated (i.e. event-based). A copy of the final decision should be filed on the employee's personnel file.

These records are scheduled under RRSDA 1999-020, Leave Application Case Files.

²⁰ Vacation Schedules

Use for vacation schedules and reports.

Close old files and open new files at the end/begid

1. Subject Heading

Subject headings represent the basic divisions of the File Classification Plan and are largely based on function. There are currently 15 subject headings in the ARMD Plan. Each subject heading has its own section within the Plan. At the beginning of each section is a brief description of the subject heading divided into three parts: Scope, Cross References and Applicable RRSDAs.

Example:

HRS Human Resources

Scope

- ! Use the HRS subject heading for records relating to staff relations and management; staff education and professional development; and occupational health and safety.

Cross References

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- " Cross References act as pointers to other subject headings.
- " Applicable RRSDAs alert you to the records retention schedules that apply to the records classed under the subject heading.

2. Classifying records

Assigning Codes

Every file is assigned

3. Media

Media refers to the form in which the records are maintained, either paper (PR) or electronic (ER) or both (PR/ER). The File Classification Plan found in this Manual is meant to act as a comprehensive index to all of the department's records, regardless of form. See the column headed by the abbreviation "M" for media.

Example (non-shaded area):

HRS003 Personnel	M	A	SA	TR	FD	CT
-01 General	PR/ER	CY + 1 yr	5 yrs	CY		

Acti

-23	Non-Academic Employees (Non-Continuing)	PR/ER	See RRSDA	-----	See RRSDA	D	E
-24	Contractors	PR/ER	CY + 1 yr	5 yrs	CY + 6 yrs	SR	E
-25	Students	PR/ER	CY + 1 yr	5 yrs	CY + 6 yrs	SR	E

- " C means the file is open continuously and should be closed when it reaches a certain size (i.e. > 2 cm.) and a new file opened.
- " E means that there is a definitive event that triggers the closure of the file. In the example above, the possible events that mark the closing of employment case files include retirement, resignation or termination. Use the Additional Scope Notes section to provide details about closing events.
- " T means that there is a definitive time or date on which files are closed. Use the Additional Scope Notes section to provide details about which date is to be used (e.g. end of semester, end of calendar year, end of fiscal year, etc.).

7. Footer

record descriptions and additional file closing, classification and retention guidelines. Update the File Classification Plan by adding or expanding the scope notes as needed.

Example:

Note indicator

HRS003 Personnel⁹

-01 General

-20 Academic Employees (Continuing)

ADDITIONAL SCOPE NOTES