THE UNIVERSITY of EDINBURGH

Guide to Employee Files

Contents

Introduction

This guidance outlines how HR documents should be filed and maintained by the University. It is designed to fit with most processes across the University. HR files are held within the Employee File SharePoint site and for some processes within Document Records on People and Money. Files held within the Employee File SharePoint are held at assignment level, documents held in Document Records is held at person level and move with the employee from post to post. In certain situations, files can also be held locally in secure drives.

Line Managers, Schools and Department Administrators, HR Services and HR Business Partners and Payroll can be responsible for uploading HR documents into Document Records. Line managers cannot upload documents into the Employee File SharePoint, and should pass documentation for the Employee SharePoint to their SDA for storing. The responsibilities vary by Colleges, Schools and Professional Service Group Departments. Line Managers should contact their local support team to understand the process and responsibilities within their own area. In some instances documents are automatically filed into either Document Records or Employee SharePoint e.g. letters that are automated (burst) from People and Money.

Glossary

DPA	Data Protection Act (Data Protection | Data Protection).
Document Records (DoR)	DoR is used to store limited types of employee documents within People and Money. Anyone responsible for filing or maintaining HR documents should be familiar with which documents are saved there. This can be reviewed within the Employee File Storage Overview document (under heading of Personal data maintenance).
Employee File SharePoint	A SharePoint site for all employee files. Access is restricted. Anyone responsible for filing or maintaining HR documents should be familiar with which documents are saved where. This can be reviewed within the Employee File Storage Overview document (under heading of Personal data maintenance).
GDPR	UK General Data Protection Regulations (UK GDPR).
HR Document	A written and retained record of employment events. Examples include Contract of Employment, Contract Amendment Letters, Eligibility to Work in the UK, Right to Work Checklists, Letters and Forms relating to HR processes e.g. Maternity, Shared Parental Leave, Academic Promotion, Flexible Working and Resignation Letters.

HR Retention Schedule	The HR Retention Schedule outlines details of the retention periods by document type.

Before you start

HR documents should be filed electronically using the Employee File SharePoint or Document Records (DoR) in People and Money. Anyone responsible for filing or maintaining HR documents should be familiar with which documents are saved where and by whom. This can be reviewed within the Employee File Storage Overview document.

The University holds and processes personal data about individuals such as employees, students, graduates and others, defined as 'data subjects' by the law. Such data must only be processed in accordance with the UK General Data Protection Regulations (UK GDPR) and the Data Protection Act (DPA). For further information please see the Data Protection webpages available at Data Protection | Data Protection.

Anyone responsible for filing HR documents should adhere to the Data Protection Policy and familiarise themselves with the HR Retention Schedule which outlines details of the retention periods for each document. Before uploading any document to an employee's file, always consider whether the document needs to be filed.

User Access

Employee File SharePoint

Access for business users should be requested by completing the People and Money Access Application form available on the HR A-Z forms.

Access can be granted at the following levels:

- College /Professional Service Group - Level 2
- School /Planning Unit - Level 3
- Deanery (CMVM only) - Level 4
- Department – Level 5

The completed form should be submitted via Service Request in People & Money, using the category 'User Access – New/Changes'. The form must be submitted by the line manager of the person requesting the access (or anyone above within the school or department hierarchy). Access will not be granted without the relevant approvals in place, as per the form. Employee File SharePoint access is managed by the HR Systems team.

When a user no longer requires access

When you become aware that a user has changed role and therefore no longer requires access to SharePoint employee files for your area, please complete the above Access Application form, filling in the 'Remove or Changing Access' section. Completed forms should be submitted via Service Request in People & Money, using the category 'User Access – New Changes'.

Document Records

Access is automatically granted based on the role(s) you have within People and Money, there will be differences to access and what you can view and upload depending on the role you have.

Changes in Employment

The table below gives a brief overview of what happens to an employee's files when a change in employment occurs.

Change in Employment	Employee File SharePoint	Document Records
Transfer	File transfers to new department on day 1, the department the employee has left will no longer have access.	DoR is at person level therefore will be retained with the employee record. Documents from all posts will be visible to the new line manager/SDA.
Additional Post	A new file is created within the appropriate College/Support Group, school/planning unit.	DoR is at person level therefore will be retained with the employee record. Documents from all posts will be visible to the new line manager/SDA.
Rehire	A new file is created within the appropriate College/Support Group, school/planning unit.	DoR is at person level therefore will be retained with the employee record. Documents from all previous posts will be visible to the new line manager/SDA.
Leaving the University	Archived after 3 months and then no longer visible to schools or departments. Once in archive files are managed as per the retention schedule.	Record becomes inactive on termination date.

Documents that should not be uploaded to an employee's SharePoint file or Document Records

- Electronic instructions that include multiple or lists of employees' names. Only emails related to the employee should be placed on their file. If multiple names are contained on an email instruction, then the email must be redacted to ensure only the appropriate details are visible.
- Protecting Vulnerable Groups (PVG) scheme documentation and Standard Disclosure checks.
- Interview notes relating to people other than the employee.
- Health and Safety related documentation, for example, travel risk assessments. Please note, Maternity risk assessments are not regarded as Health & Safety documentation and should be uploaded.
- Financial information such as costing changes forms, interview expenses claim forms, travel loan documentation or other finance forms.
- Immigration documentation such as;
    - SOC code guidance.
    - NARIC printout.
    - NARIC evidence of English language proficiency e.g. NARIC letters (English language statement and/or statement of comparability OR English Language Test).

Employee File SharePoint Process

Documents can be saved to the Employee SharePoint **on day one of employment**.

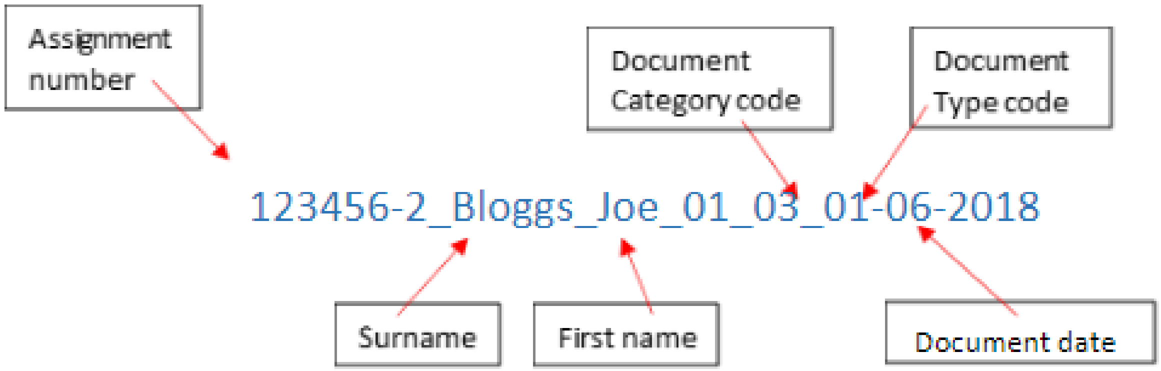
Documents are saved within a set category on the SharePoint, please familiarise yourself with these using the Employee File Storage overview document

Please note that emails confirming acceptance or agreement of a change must be uploaded with the corresponding document to the employee file.

A process runs every half hour to validate the document for filing in the employee file. If validation of the document fails, for example because the file name is incorrect, then the document will not reach the employee file. If you notice any documents not reaching the employee file then please email the HR Helpline at HRhelpline@ed.ac.uk.

Naming convention for Employee File SharePoint site uploads

When you are granted access to the Employee File SharePoint site you will also be granted access to the File Name Generator. This is a helpful tool to assist anyone uploading documents to SharePoint to ensure that the correct naming convention is used – an example is below.



Use of Category 9

It is essential that we are GDPR compliant, so please ensure care is taken when loading all documents. Specifically, for Category 9 (Operational) documents, it is best to deal with these in your current secure drives rather than uploading documents to the employee file, which could lead to compliance issues.

Some Documents can be automatically saved to the Employee File on SharePoint, this in the main is correspondence (letters) generated through People and Money. The documents are identified as automated or automanual.

- **Automated** are produced directly from a transaction on People and Money to the recipient/s and document automatically named and uploaded to the relevant area. For example, acceptance of resignation/end of FTC letter is sent automatically once the termination has been approved by HR Operations

- **Automanual** allow HR Operations an opportunity to check details of automated correspondence prior to being sent out, this will require manual send and upload of document by HR Operations. For example, At Risk/Redundancy Letters.

System User Guide

Further guidance is available within the Employee Files SharePoint User guide. Access is given to this document once a request for access to the Employee File SharePoint has been provided.

Document Records Process

Documents that can be stored in Document Records can be uploaded manually, e.g. contracts of employment are uploaded by HR Operations, or are automated within a process e.g. payslips and online application forms. Access to perform upload of documents depends on the role you hold within People and Money.

All documents are saved at person level (not assignment level) and will move with the employee from post to post. Some document types also have an approval process, for example Right to Work Documents are checked and then approved by HR Operations.

The Employee File Storage overview document summarises the document types available in Document Records and who can view/upload. Please filter the first column on 'DoR'.

Please see the following user guides to support the process of viewing and uploading documents to DoR.

- How to search, view and upload documents for direct reports - Manager
- How to search, view and upload employee documents – SDA
- How to search view and upload document records – Employee

These are available at People and Money user guides | Staff | The University of Edinburgh (under the heading of Personal Data Maintenance, Document Records).

Help and Support

Got a question or need further assistance whilst using the system? Email HR Helpline at HRHelpline@ed.ac.uk