

# Personal File Policy

## Personal File/Records Policy

### Objective

Company maintains all records of the employees from hire to retire. The records maintained are used for the purpose of business administration, promotions, transfers, terminations, legal proceedings, etc.

### Responsibility

- It is the responsibility of the HR to collect and maintain the personal records of employee.
- HR will ensure the personal file is complete with all required documents
- HR will follow the record retention and deletion/ destruction schedule

### Policy

Following is the list of documents to be maintained in the personal file:

#### 1. Employment Records

- Application, resume and interview evaluation records which are part of interview process.
- Documentation of background verification report and medical records
- Job description with employee acknowledgement
- Educational certificates, salary slips of previous company, identity proof, address proof, date of birth proof
- Offer Letter, Appointment Letter and salary structure containing terms of employment
- Records pertaining to confirmation, promotions, transfers, raise in salary, grade change
- Education qualification acquired during employment
- Award, reward, Recognition & Appreciation letters issued
- In case of termination any communication, letter or mail to the employee is maintained.
- Non-Disclosure Agreement
- Employee consent in compliance to the data protection act

#### 2. Performance Appraisals Records

- Performance appraisal forms filled by employee and reviewed by Reporting Manager/ HOD
- Performance records bi-annually/ annually (as applicable)
- Employee Development Plan, performance progress recorded
- In case of non-performance, performance improvement program/ counseling record

#### 3. Training and Development Records

- Job related training provided by the company
- Safety training programs
- Functional, behavioral or technical training organized internally or externally.
- IJP, promotion assessments

#### 4. Disciplinary Records

- Employee conduct report (prepared during promotions, transfers, demotions etc)
- Memo/ letter issued as a warning for misconduct
- Records of allegations made on the employee through Whistle blower or Employee Grievances and final outcome of any investigations conducted

#### 5. Employee Separations

- Resignation letter or e-mail and exit interview form clearly mentioning reason for separation
- Exit interview details with comments of the HR and Resignation acceptance letter
- Exit Clearance form, Task Handover form and Statutory forms (PF, Gratuity, etc)
- Record of full and final settlement calculation and sign off of acceptance from employee

- Severance agreement, if applicable in case an employee is not supposed to indulge in similar business/ competition with the company.

## Confidentiality of Records

- The records maintained are sensitive and confidential
- Files in hardcopy are subject to deterioration hence need to be maintained from time to time
- Records in hard or soft form should be maintained and secured properly to facilitate reference in the long term
- The entire employee files and records are subject to audit or may be required during legal proceedings; hence should be neatly maintained. The records can be appropriately destroyed after the required retention period is over.
- Any document which requires acknowledgement by employee, correspondence with employee, undertaking or receipts of critical information or any other applicable document which is to be maintained. Any other document that Management feels the need to maintain to protect the interest of the company and is legal.

Type of Record	Recommended Retention Period
Payroll and Salary	6 years from respective year end
Employee personal records	6 years from termination of employment
Records relating to job applicants	6 months to 1 year from receipt
Accident books/ accident reports / investigations	3 years after date of last entry
Medical records	Till End of employment
Personal data	6 years from Exit date (Stored in soft copy thereafter)
Performance information / personality test / behavioral competency review etc	6 years from Exit date (Stored in soft copy thereafter)