

HUMAN RESOURCES POLICY AUTHORIZATION

Effective Date: [Insert date]

[Insert Council Resolution or reference number]

HUMAN RESOURCES PROCEDURES AUTHORIZATION

Effective Date: [Insert date]

[Insert date]

Chief Administrative Officer Signature

Date

[] First Nation

Human Resources Policy and Procedures

To assist you in adapting these policies to your First Nation:

Procedures which are considered best practices and **are not** specifically required to meet the FMS Standards or the FAL Standards have been identified in **green**;

Procedures which are required to meet FMB's Standards which **could be** assigned to someone other than the individual identified in the SPP have been identified in **blue**; while

Procedures which are required to meet FMB's Standards and **must be** performed by the individual identified in the SPP remain in **black**; and

Pages that require customization: Authorization and date pages, footer, all pages with green and blue font, page 20.

Sample Policy and Procedures Issue Date: April 1, 2019

Note: Visit our website at www.fnmb.com to make sure the SPP issue date shown above is the most recent version.

NOTICE TO USERS

This document provides a sample policy and procedures (“SPP”) that meet the requirements in both the Financial Management Systems Standards (the “FMS Standards”) and Financial Administration Law Standards (“the FAL Standards”) established by the First Nations Financial Management Board (“the FMB”) under the First Nations Fiscal Management Act (“the FMA”). The policy and procedures are also consistent with the provisions of the Sample Financial Administration Law (“the Sample FAL”) issued by the FMB. The Sample FAL is one example of a law that meets the requirements of the FAL Standards. There may be many variations in laws that meet the requirements of the FAL Standards. While this SPP is based on the Sample FAL, it should be adapted to fit the specific circumstances of your First Nation as well as your law.

This SPP is part of a collection of sample policies developed by the FMB to assist First Nations with compliance with laws respecting financial administration. These and other sample documents are available for download at no cost from the FMB’s website at www.fnfmb.com.

FORMAT AND STRUCTURE

The sample policies and procedures developed by the FMB are based on a standard format as shown below.

POLICY

Policy Statement – A clear statement that indicates the First Nation’s protocol or rule affecting the specific area.

Purpose – The reason or rationale underlying the policy and procedure.

Scope – The areas, functions, individuals, or departments affected by the policy.

Definitions – Any specialized terms that are not otherwise defined

Responsibilities – Describes who, using generic titles or positions which are used in the FMB’s Standards, is responsible for implementing or maintaining the policy and procedures.

ADMINISTRATIVE PROCEDURES

Procedures – Describes the steps, details, or methods to be used to implement and maintain the policy and procedures.

References – List of applicable documents, policies, laws, and regulations etc. that are used to develop or have influence on policy.

Attachments – The forms, reports, or records that are generated from policy.

DISCLAIMER: While the FMB has used its best efforts in developing sample policies and procedures that can be used by a broad range of First Nations, it makes no express or implied representations or warranties with respect to the accuracy or completeness of the contents of the sample policy or its suitability for a particular First Nation. This SPP has been developed to conform to the requirements of the FMB’s Financial Management System Standards and Financial Administration Law Standards as of the issue date shown on the cover of this policy. Users accept that the FMB’s Standards and the FNFMA, under which those Standards are made, may be revised from time to time and therefore it is advised that users check the FMB’s website for the most updated version when considering the adoption of this sample SPP.

This SPP is a sample only. The FMB accepts no liability whatsoever for any damages caused by, or arising from, the use, adaption or implementation of this SPP. First nation users of this SPP retain full responsibility for ensuring that their own policies and procedures meet the needs and requirements of the First Nation.

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1. DEFINITIONS

“Arrears”	unpaid, overdue debt, or an unfulfilled obligation
“Assets”	anything of value owned by the First Nation
“Asset Recognition Criteria”	criteria to be used to set the threshold for determining whether a capital asset must be included in the capital asset register
“Assign”	transfer of duties or functions from one person to another where the former person (the assignor) retains responsibility for ensuring the activities are carried out
“Authorization and Delegation Table”	a table approved by Council specifying the delegation and assignment authorities over decisions or activities related to the First Nation’s financial administration
“Budget”	a plan or outline of expected money and spending over a specified period
“Capital Assets”	tangible capital assets (physical assets) such as buildings, land, and major equipment
“Capital Plan”	a consolidated plan or outline of expected money and spending of all capital projects to be undertaken in a fiscal year
“Capital Project”	the construction, rehabilitation or replacement of the First Nation’s capital assets and any other major capital projects in which the First Nation or its related entities are investors
“Capital Project Plan”	a project management plan to carry out a capital project that includes the budget
“Cash”	money, cheques, money orders, and equivalent forms of currency
“Cash Reserves”	money that a company keeps on-hand to meet short-term and emergency funding needs
“Classification”	process of categorizing records in an organized way
“Chairperson”	head of a meeting, department, committee, or board. The vice-chairperson acts as the head when the chairperson is not there
“Chief Administrative Officer”	person who is responsible for leading the day-to-day administration or management of the First Nation and who reports directly to Council

“Code of Conduct Declaration”	statement that Council, committee members, employees, and contractors must sign on an annual basis that states they understand and agree to the First Nation government’s code of conduct
“Committee”	group of people appointed by Council for advising Council or conducting decision-making activities assigned by Council until or unless they are suspended or disbanded by Council
“Conflict of Interest”	situation of personal gain at the expense of others
“Contract”	legally binding agreement between two parties
“Control”	policy, procedure, or process put in place to manage a First Nation government’s administration
“Corrective Actions”	steps taken to deal with job-related behavior that does not meet agreed upon and communicated performance expectations
“Cost”	amount of money to be paid or spent to obtain something
“Council”	elected or appointed official representatives of the First Nation that includes Chief, Councillors and the equivalent terminology used by the First Nation
“Debt”	something that is owed or due, usually money
“Deficit”	shortage that occurs when an organization spends more money than it has on-hand over a period
“Delegation”	transfer of specific responsibilities from one person to another
“Director of Finance”	person responsible for the day-to-day management of the First Nation’s finances
“Direct Supervisor”	employee responsible for managing and overseeing the work and development of other staff
“Eligibility Criteria”	requirements set by Council which must be met by an individual to be considered independent and eligible to be appointed to the Finance and Audit Committee
“Engagement Letter”	written document prepared by the auditor that serves as a contract to confirm the audit arrangements between the auditor and the First Nation government; it is required by Canadian Generally Accepted Auditing Standards

“Entity”	corporation, partnership, joint venture or unincorporated association or organization whose financial transactions are consolidated in the First Nation government’s financial statements in accordance with GAAP
“Expenditure”	amount of money spent by the First Nation government to buy goods or services
“Expenses”	amount of money spent on transportation, accommodation, meals, hospitality or incidentals, to be paid back (reimbursed)
“Financial Competency”	ability to read and understand the First Nation government’s financial statements
“Financial Reporting Risk”	possibility of a significant error in financial information often caused by weak internal controls or fraud
“Financial Statement”	formal record of all money and property of the First Nation within a specific period
“Fiscal Year”	twelve-month period used for tax or accounting purposes
“Fraud”	wrongful or criminal act that involves lying or holding back information; this is usually done for personal or financial gain
“GAAP”	Canadian Generally Accepted Accounting Principles, the framework of accounting guidelines, rules and procedures
“HR Records”	records that contain information on an individual’s hiring, job duties, compensation, performance, and general employment history
“Indemnity”	security or protection against a loss or other financial commitment
“Independence”	eligibility criteria for finance and audit committee membership defined as an individual who does not have a direct or indirect relationship with the First Nation government that could, in the opinion of Council, reasonably interfere with the individual’s judgment as a member of the finance and audit committee an individual with a role in the financial management of the First Nation involving planning, organizing, directing or controlling of its financial activities –

	including budgeting, financial accounting, financial reporting, procurement and use of funds, does not meet the minimum independence requirements for finance and audit committee membership
“Information”	knowledge received and any documented material regardless of source or format
“Information Security”	way a First Nation government protects information from unauthorized access, use, modification, or destruction
“Integrated Planning and Budgeting”	annual process of planning and budgeting activities across every level of the First Nation government that are linked, coordinated, and driven by the First Nation’s vision and strategic objectives
“Internal Assessment”	review of an activity/process by an independent First Nation staff member (i.e. an individual not responsible for or involved in the activity) to determine the effectiveness of that specific activity or process
“Investment”	an asset or item bought with the hope that it will gain value or provide income in the future
“Life-Cycle Plan”	plan of the First Nation’s assets in terms of costs to buy, operate, upkeep and get rid of over a specified period
“Loan Guarantee”	promise to pay all or a part of the principal and/or interest on a debt obligation in the event of default by the borrower
“Local Revenues”	term used to describe property taxes under the <i>First Nations Fiscal Management Act</i>
“Materiality”	financial amount that the First Nation government considers significant, typically large amounts; the materiality threshold is the minimum financial amount that a First Nation government considers significant
“Misconduct or Wrongdoing”	breach of the First Nation’s Financial Administration Law including conflict of interest provisions, code of conduct, Council-approved policies and administrative procedures
“Officer”	Chief Administrative Officer, Director of Finance, Tax Administrator or any other employee of the First Nation government designated by the Council as an Officer

“Organizational Chart”	visual representation of the different positions in a First Nation government that clearly shows reporting relationships (who reports to who)
“Performance Improvement Plan”	plan developed by an employee’s direct supervisor, in consultation with the employee, to address the areas for improvement/development identified during the performance review process
“Personal Information”	information about a specific individual. In addition to common items such as an individual’s name, gender, physical characteristics, address, contact information, identification and file numbers - it also includes criminal, medical, financial, family and educational history as well as evaluative information and other details of an individual’s life
“Privacy Protection”	rules a First Nation government puts in place to collect, create, use, share/disclose, retain, protect and dispose of the Personal Information that it needs for its administration
“Projection”	estimates for a future situation based on all the information available now
“Purchase Order”	document stating the wish of a buyer to purchase something from a seller that shows the exact details of the items the buyer wishes to buy
“Purchasing”	buying an asset or item. Also referred as “procurement” per the First Nations Financial Management Board Standards
“Record”	information created, received, and maintained by the First Nation government for operational purposes or legal obligations. A record may be electronic, or hardcopy paper based
“Recordkeeping”	how an organization creates, obtains, and manages records
“Rehabilitation”	asset alteration, extension and renovation but does not include routine maintenance
“Remuneration”	salaries, wages, commissions, bonuses, fees, honoraria and dividends and any other monetary and non-monetary benefits
“Replacement”	substitution, in whole or in part, with another of the First Nation government’s capital assets

“Requisition”	purchase order used by the First Nation government when recording expenditures
“RFP”	Request for Proposal, competitive process followed by the First Nation government to enter into a major service contract. RFPs lay out the First Nation government’s needs and conditions and leave it up to the potential contractors to present a proposal that shows their experience, skills and ability to carry out the contract within time and cost specifications
“Risk”	possibility of a loss or other negative event that could threaten the achievement of a First Nation government’s goals and objectives
“Sole Source”	contract entered into by the First Nation government without a competitive process to purchase goods and/or services
“Special Committee”	committee formed for a specific purpose and is dissolved when that purpose has been achieved
“Special Purpose Report”	financial report on a specific activity
“Standing Committee”	committee that has an ongoing purpose
“Tax Administrator”	person responsible for managing the local revenues and local revenue account on a day-to-day basis, if the First Nation government is collecting local revenues
“Terms of Reference”	outline of the purpose and structure of a project, committee, meeting, or negotiation
“Travel Status”	pre-approved travel on official First Nation government business by an individual’s direct supervisor; Travel Status begins from the individual’s place of work (e.g. the First Nation government office) to the approved destination and ends once they return to their place of work
“Useful Life”	estimate of how long a capital asset is expected to be used by the First Nation government; the life of a capital asset may extend beyond the Useful Life and the life of a capital asset, other than land, is fixed (limited)
“Value for Money”	best combination of price, quality, and benefits of a product or service

“Virtual Private Network”

VPN is a way to use public telecommunication infrastructure, such as the internet, to provide remote offices or individual users with secure access to the First Nation government’s virtual network

2. ORGANIZATIONAL CHART

POLICY

Policy Statement

It is Council's policy to establish the process around creating and keeping up-to-date an organizational chart that makes clear who reports to who in the First Nation's administration.

Purpose

The purpose of this policy is to show the organizational reporting relationships within the First Nation departments and positions to support accountability and performance management.

Scope

This policy applies to Council and all persons that have a role and responsibilities in the organizational structure of the First Nation.

Responsibilities

Council is responsible for:

- authorizing the creation and update of the organization chart
- approving the organization chart
- making sure that delegated resources are available to put in place and maintain the organizational structure
- making sure that the organizational chart clearly shows the First Nation's governance, administrative and financial management systems, and identifies the specific roles and responsibilities assigned to each level of governance and administration, and to each participant in the systems including committees

The Chief Administrative Officer is responsible for:

- making sure that the organizational chart is prepared, recommended to Council for approval, and kept current
- making sure that the roles and responsibilities and reporting relationships are effectively communicated to all those affected by the organizational chart and as required by the Financial Administration Law

ADMINISTRATIVE PROCEDURES

Procedures

The Chief Administrative Officer will prepare an organizational chart that clearly shows the First Nation's governance, administrative and financial management systems, and identifies the

specific roles and responsibilities assigned to each level of governance and administration and to each participant in the systems including committees and submit to Council for approval.

The Chief Administrative Officer will make sure that the chart includes definitions of the positions affected by the organization chart. The Chief Administrative Officer will make sure each role identified in the organizational chart is clearly defined with a job description.

The Chief Administrative Officer is responsible for filing, communicating and distributing the organization chart to all employees and affected persons.

As needed, but at least annually, the Chief Administrative Officer will update the organizational chart for changes in personnel and will submit recommendations to Council for approval.

References and Related Authorities

FMB's Financial Management System Standards

- Standard 12.0 – First Nations Officers and Employees

FMB's Financial Administration Law Standards

- Standard 11.0 – First Nations Officers and Employees

3. HIRING

POLICY

Policy Statement

It is Council's policy to establish a process around the steps and standards for the hiring of the First Nation's employees, consultants and contractors.

Purpose

The purpose of this policy is to provide for fair, transparent and unbiased hiring practices that make sure employees have the skills, experience, qualifications and competencies necessary to perform their role and allow the First Nation to meet its objectives.

Scope

This policy applies to the hiring of all employees including the Officers.

Responsibilities

Council is responsible for:

- appointing all Officers
- following the approved hiring policy and procedures as it relates to the hiring of a Chief Administrative Officer

The Chief Administrative Officer is responsible for:

- supervising the hiring of all employees and Officers other than the Chief Administrative Officer position. This does not include the formal appointment of Officers which must be done by Council. The Chief Administrative Officer is responsible for approval of all employee hiring

ADMINISTRATIVE PROCEDURES

Procedures

3.1 Position Authorization

All new positions or positions for Officers must be identified and approved by Council.

Existing positions will be authorized to be filled by the Chief Administrative Officer.

3.2 Job Descriptions

The **Chief Administrative Officer** will review and update the job description for the position being recruited to make sure it accurately describes the duties, functions and responsibilities of the position, and it accurately identifies the skills, experience, qualifications and competencies necessary to fulfill the position. Job descriptions will include:

- position title
- accountability or reporting structure, line of authority
- responsibilities: nature and scope of work, including duties
- experience, abilities, knowledge and skills required
- qualifications: education, training, licenses, certificates required

3.3 Job Posting Procedures

Prior to filling an existing vacant position, the position will be posted for a specified period of time on the web site or other designated location for posting job opportunities.

External recruitment advertising may be used.

3.4 Interview Procedures

The **Chief Administrative Officer** will maintain a record of the selection and evaluation process.

Initial screening will occur to assess each applicant's ability to meet the minimum stated standards. Applications of qualified candidates will be forwarded to the relevant employee or Officer to further screen the applications to be interviewed. The interview process will be consistent for all applicants.

Once an applicant is determined to be the recommended candidate, the Chief Administrative Officer will conduct and document reference checks, as well as any other checks required.

The relevant employee or Officer will recommend the successful candidate to the Chief Administrative Officer for approval.

3.5 Hiring

The Chief Administrative Officer will prepare an employment agreement. The employment agreement should include:

- position title
- job description
- the hours of work
- salary
- starting date
- probation period
- benefits package
- acknowledgement to abide by the First Nation's policies, procedures, code of conduct, conflict of interest and confidentiality

- termination clause (with cause, without cause and resignation)

The employee-signed employment agreement will be signed by the Chief Administrative Officer and filed in accordance with the relevant policy and procedures.

References and Related Authorities

FMB's Financial Management System Standards

- Standard 12.0 – First Nations Officers and Employees

FMB's Financial Administration Law Standards

- Standard 11.0 – First Nations Officers and Employees

4. EMPLOYEE EVALUATION & PLANNING

POLICY

Policy Statement

It is Council's policy to establish a process for evaluating employee performance that can assist management to recognize individual contributions to the First Nation and identify areas for development.

Purpose

The purpose of this policy is to set out a process for employee performance review and development that links the performance and development of individual staff to performance measures that align with the goals and objectives of the First Nation.

Scope

This policy applies to all staff employed by the First Nation.

Responsibilities

Council is responsible for:

- evaluating the performance of the Officers and for establishing the process and performance measures by which Officers and all employees will be evaluated
- establishing and implementing a plan for any training of First Nation's Officers and employees required to meet the First Nation's future needs and requirements after taking into account succession and any anticipated changes in the First Nation's activities
- establishing and implementing a documented process:
 - to measure the skills and competencies of the individual First Nation's employees against their assigned employment responsibilities
 - to determine the training requirements for those employees
 - to adjust their duties and responsibilities as necessary to reflect their respective skills and competencies

The Chief Administrative Officer is responsible for:

- monitoring and reviewing the implementation of the evaluation process and ensuring the policy and procedures are complied with during the performance evaluation process
- evaluating all employees of the First Nation and Officers unless the Officers report directly to Council
- providing general training for employees to optimize performance and evaluation

ADMINISTRATIVE PROCEDURES

Procedures

4.1 Performance Planning

Employees with direct reports (direct supervisor) will make sure that each reporting employee has an accurate and up-to-date position job description.

The direct supervisor will schedule a performance planning session with employees to set performance goals for the next fiscal year.

The performance plan should signed off by both parties with one copy retained in the employee's personnel file and one copy retained by the employee.

The direct supervisor and employee should identify the training and development needs to achieve the performance goals, taking into consideration the resources needed.

The Chief Administrative Officer reviews and approves all training plans to make sure future training needs and requirements for the financial management system of the First Nation is aligned with those needs and requirements.

4.2 Performance Review

At the mid-point and end of the performance cycle (usually the fiscal year), the direct supervisor will schedule a performance evaluation meeting with each employee.

The direct supervisor will prepare an employee evaluation providing an assessment against each goal agreed to at the beginning of the performance cycle.

The direct supervisor and employee will both sign off on the review. One original completed document will be in the employee's personnel file and another original completed document will be provided to the employee.

If the employee does not agree with the performance evaluation, the employee can request a meeting with the direct supervisor and Chief Administrative Officer to resolve any issues. Failing that, the employee can decide not to sign off on the performance evaluation which will be recorded as such in the employee's personnel file, including the meeting notes of the meeting with the Chief Administrative Officer.

4.3 Performance Management

Unsatisfactory performance will lead to the direct supervisor developing a performance improvement plan. This plan will outline performance expectations, resources available to the employee, and a schedule of completion and re-evaluation.

Direct supervisors will closely monitor employee progress in achieving the performance improvement plan, and will conduct formal and regular performance evaluations until the end of the performance improvement schedule.

If progress is not satisfactory at end of the performance improvement schedule, the direct supervisor can initiate a progressive corrective approach within the relevant policy.

References and Related Authorities

FMB's Financial Management System Standards

- Standard 12.0 – First Nations Officers and Employees

FMB's Financial Administration Law Standards

- Standard 11.0 – First Nations Officers and Employees

5. CORRECTIVE ACTIONS AND DISMISSALS

POLICY

Policy Statement

It is Council's policy to use a progressive corrective approach for dealing with job related behavior that does not meet expected and communicated performance standards.

Purpose

The purpose of this policy is to set out a process to correct and discourage unacceptable conduct, behaviour or performance. This policy will provide flexibility to Council to deal with wide range of circumstances in employees overcoming performance problems and failing that, use progressive corrective actions to fairly, with due process and with substantial documentation, terminate employment of employees, who are ineffective and or unwilling to improve.

Scope

This policy applies to all employees of the First Nation.

Responsibilities

Council is responsible for:

- the corrective actions and dismissal of the Chief Administrative Officer

The Chief Administrative Officer is responsible for:

- final authority and responsibility for the dismissal of all employees and Officers

A direct supervisor is responsible for:

- corrective actions for employees

In the event that the direct supervisor is unable to deal with the conduct, behaviour, or performance of an employee, the Chief Administrative Officer will assume the responsibility for corrective actions.

ADMINISTRATIVE PROCEDURES

Procedures

Employees will be informed of unacceptable conduct, behaviour, or performance prior to corrective action and will be given opportunities for improvement.

The Chief Administrative Officer may dismiss an employee without following the progressive corrective action process if there is just cause. The Chief Administrative Officer may also

immediately but temporarily suspend an employee with pay pending investigation before moving through the corrective process.

The Chief Administrative Officer may consult external legal counsel prior to any dismissals or moving through the corrective process.

If an employee is felt to be in violation of the First Nation's expected conduct, behaviour, or performance and initial efforts for corrective action have not worked, the employee will be subject to the progressive corrective action process.

All corrective actions will be documented and placed in the employee's personnel file.

The progressive corrective action procedures will be as follows:

Verbal Warning:

The first violation by an employee will be addressed with a verbal warning.

The direct supervisor will initiate any verbal warnings in a private meeting with the employee with an Officer documenting the meeting.

The employee will be given an explanation of when and how the behaviour or action took place and will be given an opportunity to explain the situation and their actions.

The employee will be informed that further corrective action, up to and including termination, will follow if unacceptable behaviour continues.

The employee will be informed that the incident will not go into their file.

Written Warning:

The direct supervisor will initiate any written warnings in a private meeting with the employee, with an Officer documenting the meeting.

The employee will be given a written warning during a meeting with the direct supervisor and an Officer to address undesirable behaviour or action in the event that the behaviour or action had either been discussed in a previous verbal warning or the behaviour or action was serious in nature.

The employee will be given an explanation of when and how the behaviour or action took place and will be given an opportunity to explain the situation and their actions.

The employee will be informed that further corrective action, up to and including termination, will follow if unacceptable behaviour continues.

The employee will sign the written warning and will be provided a copy with the original placed in the employee's personnel file.

In the event that the employee refuses to sign the written warning, they will still be provided with the unsigned document with the original placed in their personnel file.

Suspension:

The direct supervisor will initiate a suspension in a private meeting with the employee, with an Officer documenting the meeting.

The employee will be given an opportunity to explain the situation and their actions. If the decision is made to impose a suspension, the employee will be given a written notice of suspension that will include:

- the effective date of suspension
- the duration of the suspension
- the reason(s) for the suspension
- that repetition of the behaviour or action will result in further corrective actions up to and including termination

The Chief Administrative Officer has discretion to suspend an employee with or without pay for a period of time, where an investigation is required into allegations of misconduct against that employee.

Termination:

The Chief Administrative Officer may terminate employment by providing a written notice of termination that details the undesirable conduct, behaviour, or performance leading to and justifying the termination.

Just cause for immediate dismissal can be for:

- gross misconduct including violation of rules, harassment, carelessness or recklessness resulting in endangerment to self or others, disorderly conduct, theft, under the influence of alcohol or drugs while on the job, falsifying records etc.
- threats of violence where an employee threatens to or causes physical harm to another employee, client or to the Council
- conviction of a serious criminal code offence
- abandonment of position [3 consecutive days of unplanned absence without notification]
- repeated unsuccessful progressive corrective attempts including verbal and written reprimands
- misrepresentation or falsification of information on application of employment
- contravention of the employee's duties and obligations under the First Nation's Financial Administration Law including codes of conduct and conflicts of interest

Documentation should include information on the offence and previous corrective communications with the employee.

References and Related Authorities

FMB's Financial Management System Standards

- Standard 12.0 – First Nations Officers and Employees

FMB's Financial Administration Law Standards

- Standard 11.0 – First Nations Officers and Employees

6. HUMAN RESOURCES RECORDS MANAGEMENT

POLICY

Policy Statement

It is Council's policy to establish a process around creating, managing, and protecting human resources records in accordance with applicable laws and First Nation policy requirements.

Purpose

The purpose of this policy is to provide guidance to effectively manage the creation, maintenance, and confidentiality of human resources records of the First Nations.

Scope

This policy applies to Council and Officers of the First Nation.

Responsibilities

Council is responsible for:

- ensuring a human resources records management system is established and implemented

The Chief Administrative Officer is responsible for:

- subject to the First Nation's Financial Administration Law, the leadership, planning, overall policy and the general oversight of the human resources records management, storage and retention system, and for ensuring the security and integrity

The Human Resources Employee(s) is responsible for:

- the implementation and the operational management of the system

ADMINISTRATIVE PROCEDURES

Procedures

Management of human resources records will follow the general record management procedures of the First Nation.

A confidential employee file will be created for each new employee and will include the following human resources records:

- resume with experience and qualifications
- results of all background checks (i.e. reference checks, criminal background check, credit check, education check)
- employment agreement or contract

- performance plans and results of performance evaluations
- current job description
- leave and attendance records
- salary adjustments
- enrolment information for benefits plans

Access to human resources records will be restricted to human resources employees in performance of their job function and the Chief Administrative Officer; however, employees can access their personnel file upon request and in the presence of an human resources person.

Upon employee termination, human resources records for that employee will be retained in accordance with the relevant policy.

References and Related Authorities

FMB's Financial Management System Standards

- Standard 12.0 – First Nations Officers and Employees

FMB's Financial Administration Law Standards

- Standard 11.0 – First Nations Officers and Employees