

# Standard Operating Procedure

SOP-HR-004: Employee Personal File

Date of Issue	01/10/2014	Issued By	General Manager
Rev. No. & Date	New	Review Authority	AGM
Valid Up to	30/09/2015	Implemented By	HR Manager
Department	HR	Intended Audience	HR Department

## 1. Purpose:

The purpose of this SOP is to maintain all the relevant documents of an employee that governs the employment condition within World Class Resorts Private Limited. The documents can be classified as below:

- Documents related to previous employment
- Documents related to the employee qualifications
- Documents related to the conduct of the employee
- Documents related to the disciplinary proceedings
- Documents related to benefits and perks and performance review etc.

This SOP also authorises the Human Resources Manager to open an individual file per employee on the first day of his employment and collect the relevant documents within 7 days of his / her joining the organization. The employee personal files should be maintained by World Class Resorts Private Limited for a period of 10 years from the last day of working of the employee.

## 2. SOP In Nut Shell:



# Standard Operating Procedure

## SOP-HR-004: Employee Personal File

---

The important aspects of this SOP are summarized below:

- Collect the necessary documents from the employee
- HR is the custodian of the personal file
- Open a personal file for each employee and the following documents shall be filed in the personal file with the help of department heads.
  - Training documents
  - Disciplinary proceeding documents
  - Awards and recognition
  - Legal related issues
  - Resignation letter or termination letter

### 3. Procedure:

- a) As soon as the employee joins World Class Resorts Private Limited he/she shall submit the documents indicated in this SOP to the Human Resources department within 7 days of joining.
- b) File opening: The employee personal file is the standard office file where the documents can be doubled-punched and filed. The details as indicated in Form-HR-003 shall be written on the face of the file. Except the contract labour, personal employee file shall be opened for Permanent, Temporary and Probationer employees.
- c) All current employee personal files shall be stored in the same place in the order of their employee numbers or ID.
- d) Human resources department is the custodian of the employee personal file. Except Directors and Deputy General Manager of World Class Resorts Private Limited no one else is authorized to access these files.
- e) The personal files shall never leave the HR department at any circumstances. Whenever there is a need to carry the personal file outside of HR department then it should be accompanied by HR Manager or HR Executive until the safe return of the file to the HR department.
- f) There are two categories of employee personal files. The first one is of the current employees and the second is of the former employees, who have resigned or have been terminated from World Class Resorts Private Limited.
- g) Only the current employee personal files need to be maintained in HR department and the former employee personal files shall be preserved in the designated record room for a period of 10 years from the last working date of that employee.
- h) Collecting the document is the sole responsibility of the head of the department which is hiring the employee and the human resources department.
- i) To collect the documents Human Resources department shall inform the head of the department frequently, but the concerned head of the department should play an active role to comply with this requirement.
- j) The following documents shall be submitted by the employee within 7 days of joining World Class Resorts Private Limited
  - Academic certificates
  - Relieving certificate from previous employer
  - Experience certificates from previous employments
  - Resume with a passport size colour photograph

# Standard Operating Procedure

## SOP-HR-004: Employee Personal File

---

- A signed copy of the acknowledgement page of Handbook
  - Government issue ID proof such as passport, PAN card, driving license and Aadhar
  - Proof of date of birth
  - Salary certificates from previous employment
  - No objection certificate from the nearest police station where the candidate resided at least 3 years
  - Proof of permanent residential address – Government ID proof required
  - Proof of current residential address – Government ID proof required
- k) The following documents shall be maintained by the HR in the employee personal file. All these details shall be printed out from IDS at the end of December and filed in the employee personal file as a hard copy.
- Salary and wage payments
  - Leave records
- l) Benefits availed by the employee shall be recorded in the personal file immediately upon sanctioning the benefit.
- m) All types of training that were provided to the employee shall be endorsed in the Form-HR-004 and shall be filed in the personal file. It is not necessary that only the trainings that were provided by World Class Resorts Private Limited need to be included in the endorsements, but the trainings that were undergone by the employee on their own shall also be included. The types of training are
- Orientation training
  - Department trainings
  - Training by external consultants
  - Training provided by an academic institution
- n) An endorsement shall be made by the HR on Form-HR-005 to indicate the awards and recognition received by the employee during his employment with World Class Resorts Private Limited.
- o) Any legal related issue such as police complaints and court orders shall be filed in the personal file.
- p) All disciplinary actions related documents such as
- Inspection reports
  - Memo issued to the employee
  - Response provided by the employee
  - Any appeals made by the employee and subsequent decision
  - Punishment awarded to the employee
  - Termination letter
- q) The resignation letter submitted by the employee shall be filed in the employee personal file.
- r) All the settlement and benefits provided to the employee after separation shall be recorded / filed in the personal file.
- s) In case of a resigned or terminated employee the files shall be transferred to the record room only after completing all the formalities of that employee in the personal file.

# Standard Operating Procedure

## SOP-HR-004: Employee Personal File

- 
- t) HR should collect the nomination form from all the employees once in a year and file it in the employee personal file. When filing a new nomination form, the old nomination form shall be discarded. The nomination shall be obtained in Form-HR-007.
  - u) In case if the existing file of an employee is not sufficient to store the documents, HR can open additional files and should follow the same procedure as opening a new file.
  - v) Some employees may take undue time to submit the documents. In those cases, the head of the department should act firm. If the employee is providing trivial reasons then disciplinary is the course of action.
  - w) Some employees may not be able to provide some documents such as Government ID Proofs. In such cases HR can advise them to get one within a reasonable time frame.
  - x) Not all employees need to submit all the documents that are indicated in this SOP. The HR Manager should reasonably apply his experience to ask for the relevant documents. It depends on the skill set and sensitivity of the position.

#### **4. Relevant Forms:**

##### Form-HR-003: Employee Personal File Label

This form shall be followed in recording the details on the employee personal file. The form contains the following details of the employee.

- First name
- Last name
- Employee ID
- Date of Birth
- Date of Joining World Class Resorts Private Limited
- Department
- Date of Last Working Day
- Date of Discard

##### Form-HR-004: Employee Training Record

This form shall be used to record the training details of the employee and shall be filed in the respective employee's personal file.

- Employee ID
- Name (First, Last)
- Name of Training
- Performance
- Comments

##### Form-HR-005: Awards and Recognition

- Employee ID
- Name (First, Last)
- Name of Event
- Event Performance
- Comments

# Standard Operating Procedure

SOP-HR-004: Employee Personal File

---

## Form-HR-006: SOP Compliance Report

- SOP No & Name
- Records reviewed
- Compliance
- Non-Compliance
- Action Taken

## Form-HR-007: Nomination Form

- Name of the employee
- Employee ID
- Address
- Nominee details

## **5. Frequency Of Review:**

Once in every three months, the Human Resources Manager or someone in that capacity shall review the employee personal files and take necessary action to collect the pending documents that need to be collected from the respective employee. Employees who fail to submit the required documents that govern his/her employment within World Class Resorts Private Limited shall be progressively advised through the below steps:

- Verbal warning – First time
- Memo for calling explanation – Second time
- Removal from service – Third time

Not submitting the documents that forms part of the employment condition amounts to disciplinary action. This review shall happen on 15<sup>th</sup> of January, April, July and October. In case if the review date falls on a holiday, the review shall happen the next working day.

## **6. Relevant Reports:**

Based on the review conducted every three months, the Human Resources Manager shall submit a report to the General Manager regarding the level of compliance with this SOP. The report shall be prepared in Form-HR-006.

## **7. ERP System:**

- a) All employee details shall be updated in the Employee Master file in IDS.
- b) Maintaining the details in IDS doesn't exonerate the provisions indicated in this SOP.
- c) Whenever there is a conflict between the details in IDS and Employee Personal file, the HR Executive should investigate the reason for the difference and resolve it.

# Standard Operating Procedure

SOP-HR-004: Employee Personal File

---

## 8. Interpretations:

- a) For clarifications related to this SOP, please speak to your HR Manager.
- b) In case of multiple interpretations of any provisions of this SOP then clarifications can be sought from HR Manager then General Manager in that order.

## 9. List of Human Resources SOPs

SOP-HR-001:	Recruitment Process
SOP-HR-002:	Joining Formalities
SOP-HR-003:	New Employee Orientation
<b>SOP-HR-004:</b>	<b>Employee Personal File</b>
SOP-HR-005:	Salary Processing and Disbursement
SOP-HR-006:	Provident Fund
SOP-HR-007:	ESI
SOP-HR-008:	Employee Benefits
SOP-HR-009:	Tracking Items Issued to Employees
SOP-HR-010:	Leaves
SOP-HR-011:	World Class Resorts Code of Conduct
SOP-HR-012:	Grievance and Complaints Procedure
SOP-HR-013:	Performance Appraisal, Increment and Promotion
SOP-HR-014:	Grooming Standards
SOP-HR-015:	Health and Safety
SOP-HR-016:	Interaction with Guest, Managers and Colleagues
SOP-HR-017:	List of Employees
SOP-HR-018:	Attendance and Time Office
SOP-HR-019:	Asset Register
SOP-HR-020:	Professional Development and Training
SOP-HR-021:	Disciplinary Proceedings
SOP-HR-022:	Retention and Exit Policy
SOP-HR-023:	Transfer Policy
SOP-HR-024:	Travel Reimbursement Policy
SOP-HR-025:	Rewards and Recognition
SOP-HR-026:	Employee Suggestion Scheme
SOP-HR-027:	IT, Internet, Email and Social Media Policy

\*\*\*\*\*