



## Meeting agenda

**Date:** March 21, 2019

**Time:** 10:00am – 12:00pm

**Location:** DES 1500 Jefferson Building - Conference Center Room 2330

**Attendees:** Open to all Small Agency HR Liaison's

<i>Time</i>	<i>Topic</i>
10:00 am – 10:10 am	<ul style="list-style-type: none"> <li>• Announcements:               <ul style="list-style-type: none"> <li>○ Open DES Works Comp. Position</li> <li>○ Filled HR Specialist position; Welcome Abdul Osman!</li> <li>○ Filled HR Business Partner position; Welcome Shannon Hofstetter!</li> <li>○ New HR Office location</li> </ul> </li> </ul>
10:10am – 10:30am	<ul style="list-style-type: none"> <li>• IT Class Update Presenter: Tony Brown / Laurie Pate</li> </ul>
10:30am – 10:50am	<ul style="list-style-type: none"> <li>• Legislative Updates Presenter: Brandy Chin</li> </ul>
10:50am – 11:00am	<i>Wellness Break</i>
11:00am – 11: 50am	<ul style="list-style-type: none"> <li>• Personnel/Medical/Position/Recruitment File Training Presenter: Laurie Pate</li> </ul>
11:50am – 12:00pm	<i>Roundtable/Questions</i>

**NOTES:**

**Announcements:**

Bailey Ramsdell took a job at Labor & Industries. We are currently hiring for her position. If you are in need of assistance with FMLA and RA related questions, please direct them to your HR Business Partner.

Abdul Osman accepted our vacant HR Specialist role. He will be providing HRMS support along with Jennifer and Casey.

Martina Herington took a job at Ecology. Shannon Hofstetter accepted the vacant HR Business Partner role. She is currently responsible for our Buildings and Grounds Division.

DES HR has moved from the sixth floor of the 1500 Jefferson Building down to the first floor.

### **IT Class Update:**

Tony and Laurie have sent out an email to almost all small agencies indicating where their IT positions have fallen in the tentative new IT structure. If there are any questions regarding your IT position, please direct them to Laurie or Tony.

If you want to update any PDFs for the IT series, April 10 is the due date for the next round of evaluations that are taking place on April 16 and April 17. If you miss that deadline, the final evaluation deadline is May 8 to submit the PDFs. If you miss this deadline and do not submit a PDF for your IT Positions, your IT positions will no longer exist.

A template is in the process of creation for the allocations so it is consistent for all agencies. Once this is completed, we will let you know.

DES HRMS team will be adjusting the salaries for the IT positions. They will be available for questions and guidance. No formal letters will be available until around June.

Tony and Laurie suggest working with EAP to consider the human part of the change. Be aware of the 'identity' change that potentially could affect the employees. EAP is available for managers, supervisors, staff, and liaisons regarding this change. If you are the person providing the notification, you are encouraged to call EAP and get talking tips.

### **Legislative Updates:**

*Handout Included*

Brandy Chin from OFM came and discussed bills that are inactive and bills that are still active. Bills highlighted in green are still active. Inactive bills are included because the Legislatures can reactivate them either this current legislative session or in future legislative sessions. If you have any questions regarding a specific bill or want Brandy to track one in interest to your agency, reach out to her directly.

### **Personnel/Medical/Position/Recruitment File Training:**

*Handout Included*

Personnel File Presentation:

- Keep the copy that is emailed back to you from the HRMS team in the personnel file, not the copy sent for processing to Small Agency HR. The PPDS sent back to you has what is actually entered into the system along with any applicable notes.
- Keep the old P2s in the personnel file. Any old copies with handwritten notes need to be kept but you can remove/shred any duplicates.
- Staff you have resigned go to archives and, after 6 years are destroyed, after the employee separates.
- Evaluations: 3 year retention in records retention schedule but may be superseded by CBA language, it is not in current practice to purge in some agencies.

#### Position File Presentation:

- Retirement Eligibility Worksheet: if the employee is named on this worksheet, then it becomes required to retain or 60 years. If you do not put the employee name on the worksheet, there is no retention schedule. After the position is delimited, the form can be destroyed.

#### I-9 Presentation:

- Time limited documentation to authorize work should be tracked so it can be updated (determine what works best for you – outlook, etc.) There will be a future I-9 training.

#### Roundtable:

- Small agencies would like policy help. We had to remove the templates on the internet due to the inability to keep them up to date. Laurie Pate is available for help regarding policies and DES policies area available for you as templates.
- Training at a Liaison meeting that includes statewide training for employees. This would include what are popular classes to take and why they would be beneficial to your employees.
- Required policies for state and required LMS training on the toolkit. The required policies and required training will be more accessible.
- Remove the “employee” and “supervisor” breakout on the HR toolkit and make it one page. Laurie Pate and Kellie McClintock will work to keep it separate but also make it more user friendly to bounce back and forth since sometimes you need to see both sides.



March 21, 2019

# 2019 Legislative Session

Small Agency Liaison Meeting

**OFM**

OFFICE OF FINANCIAL MANAGEMENT

# Workplace Environment

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## Sexual Harassment/Stalking reporting, protection of information

- Sexual Harassment policies, training and reporting req. (SB 5845)
- Agency employees/harassment ([SHB 1692](#))
- Isolated worker protection ([ESSB 5258](#))

## Meal and Rest Periods

- Meal and rest periods for certain health care workers ([HB 1155/SB 5190](#))
- Concerning meal and rest breaks and mandatory overtime for certain healthcare employees (SB 5373)
- Concerning reasonable accommodation for the expression of breast milk in the workplace ([HB 1930/SB 5911](#))

## Domestic Violence

- D.V./Workplace ([HB 1056](#))
- D.V. Resources in Workplace ([HB 1533](#))
- D.V. monitoring (SB 5149)

# Workplace Environment (Cont.)

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## Leave

- State Employee Child Care (HB 1145)
- Legislative Service Leave (ESB 5294)
- Paid family & Med Leave (SHB 1399/SSB 5449)
- Family & Med leave/Coverage (SB 5539)

## Classification

- The Employee Fair Classification (HB 1515/SB 5513)

# Workplace Rules

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## Scheduling

- Concerning employer and employee scheduling (HB 1491/SB 5717)

## Military/Veteran

- Increasing employment opportunities for spouses of military members (HB 1328/SB 5772)
- Military Spouses (SHB 1812)
- Promoting access to earned benefits and services for LGBT Veterans (HB 1650)

## Wage and salary information

- Wage and Salary Information ([HB 1696](#))
- Wage and Salary Information (SSB 5090)
- Long-Term Services & Support ([HB 1087](#)/SB 5331)
- Industrial insurance wage loss (SB 5217)
- Establishing the Office of Equity (SHB 1783/SB 5776)

# Workplace Rules (Cont.)

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## State Resident Exam Preference

- Establishes the State Employment Resident Hiring Preference Act (SB 5101)

## Unlawful employment practices.

- Prohibiting unlawful employment practices (SB 5807)
- Concerning discrimination based on citizenship or immigration status (SB 5165)

## Staffing

- Concerning staffing committees and limiting the total number of hours nurses can work across all health care settings to sixty hours in a week (SB 5344)
- Immigrants in the workplace (HB 1815/ESSB 5497)



# Public Disclosure

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- Campaign finance ([SHB1195](#)/SB5112)
- Public disclosure committee members (SB5866)
- Employee information disclosure (HB1888)
- FDA non public information (SB5455/[HB1385](#))
- Personal information (2SSB 5064/[SHB 1071](#))
- Exempting the disclosure of names in employment investigation records ([HB2020](#)/SB 5929)
- Public records administration ([ESHB 1667](#)/SB 5667)
- Hours for inspection and copying public records ([SB 5787](#))

# Labor Relations

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- DFW sergeants interest arbitration (HB 2037)
- Correctional employees arbitration (SB 5199)
- Correctional employees arbitration (SSB 5021/SHB 1042)
- Higher education interest arbitration (SB 5022)
- Assistant AG bargaining (HB 1299/SB 5297)
- Administrative law judge bargaining (HB 2017)
- Collective bargaining dues (HB 1575/SB 5623)
- Deduction of union dues (HB 1845)
- Legislature bargaining (SB 5691/SHB 1452)
- Judicial assistant bargaining (HB 1333)
- DFW officer bargaining (HB 1217/SB 5481)

# 2019 Cutoff Dates

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Cutoff Description	Date
Policy Committee Cutoff	February 22
Fiscal Committee Cutoff	March 1
House of Origin Cutoff	March 13
Policy Committee Cutoff - Opposite House	April 3
Fiscal Committee Cutoff – Opposite House	April 9
Opposite House Cutoff	April 17
Last day of Session	April 28



# FOR MORE INFORMATION:

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OFM

OFFICE OF FINANCIAL MANAGEMENT

## **Guidelines for Your HR Records**

*This information is a resource to assist you in following the correct process in maintaining employee information. For represented employees, please also refer to the CBA. For additional guidance, use the [records retention schedule](#) and contact your Human Resource Business Partner.*

### **Personnel File**

- There is only one official personnel file, which is maintained by the Employer for each employee.
- This file follows the employee throughout state employment.
- Your agency will decide where you keep your personnel files and ensure they secure.
- There is a standard for how the file is organized (see attachment 1)

#### **What is in a personnel file?** \*See attachment 1 for a deeper dive\*

- Personnel actions, like a PPDS, appointment letters, schedule change, etc.
- Employment information like applications, resumes, DD214's, etc.
- Training records, policy acknowledgments, confidentiality agreements, etc.
- Performance expectations, disciplinary document, kudos etc.
- Miscellaneous items like file access sheet, record transmittals, and other documents that would not fit in the other areas.

Nothing regarding the employee's performance or discipline can be placed in the personnel file without the employee's knowledge.

#### **What should not be in the personnel file?**

- Medical information or accident reports
- Criminal History information
- Affirmative Action information
- Copies of social security cards
- Direct deposit and other payroll-related information (i.e. copies of benefits paperwork)
- Oral Reprimands; should be copied to the supervisory file and sent to HR
- Information regarding immigration status, i.e. copies of green cards or immigration papers

#### **What if someone wants to view their own file?**

Non-represented: Refer to your personnel records policy or procedure.

Represented: refer to the CBA.

#### **What if a supervisor wants to view their employees file?**

Certain state agencies and agency employees have access to view an employee's personnel file during business hours in the presence of an HR/HR Liaison representative without having to obtain prior authorization. They are:

- Washington State Personnel Resources Board;
- Washington State Auditor;

- Employees may give written authorization to others to review their personnel files;
- The Director or their designee;
- Supervisors and managers

**What if a person not in the employees reporting structure or an outside entity wants to review the file?**

They must provide written authorization from the employee.

**What do I do if an employee goes to another agency or Higher Ed institution?**

You or your records coordinator will need to transfer the file to the receiving agency.

**What do I do if an employee leaves state service?**

The file must be maintained for six years then destroyed per the state records retention schedule.

**What if an employee wants information removed from their personnel file?**

Consult with your HR Business Partner.

*Supervisory files are a different type of file, separate from the personnel file, with its own guidelines. See attachment 2 for details.*

## Stand-alone files

**Position File:**

This where you will keep information for a position.

- Position description form
- Overtime eligibility worksheet
- Retirement eligibility worksheet\*
- Risk class code worksheet

There is no retention for these files, you keep them for as long as the position exists or is no longer needed for agency business.

\*Retention of records relating to an employee’s retirement verification has a retention of 60 years after date of separation from the agency. Retirement Eligibility Worksheets that contain employee information must be retained separately for the required period or incorporated into the payroll file.

**Medical information, including reasonable accommodation:**

These files are protected by HIPPA laws. This information must be secured and is not open to inspection. Medical records are not transferred to another agency like the personnel file. Retention for medical files is 6 years after the date of separation from the agency. What goes in the file?

- All doctors notes provided by the employee or a health care provider. Copies will not exist outside of the medical file or for legal related requests.
- Any written request, medical documentation, or written response for a reasonable accommodation.
- Any medical leave requests and documentation.
- Shared leave requests and documentation.

### **I-9 Forms:**

Employers must have a completed Form I-9, Employment Eligibility Verification, on file for each person on their payroll or otherwise receiving remuneration, who is required to complete the form. Employers must also keep completed Forms I-9 for 3 years after the employee's date of hire or 1 year after separation from your agency, whichever is later.

You should store the completed Form I-9 and any corresponding documentation in a manner that fits your business needs. Remember to:

- Take the measures needed to protect an employee's personal information.
- Keep accessible for inspection requests.
- If you choose to keep copies of the verification documents used when completing the form, you must keep them for all employees.
- You can find more information regarding I-9's on the website for [U.S. Citizenship and Immigration Services](#).

### **Labor and Industry documentation:**

Follow the State retention schedule, which outlines what to keep and for how long, such as:

- Exposure and medical records defined and managed by WAC 296-0802
- Audiology history records
- Industrial Hygiene monitoring
- Records related to claims filed by employees injured on the job
- Safety data sheets
- Safety Records
- Wellness programs

Some records will contain personal information, which must be protected and secured per HIPPA.

### **Affirmative Action information:**

Affirmative action information should be treated as confidential and kept separately from the personnel file. This information does not follow an employee throughout their career; additionally, it has no retention. It should be retained at your agency until the employee leaves and then destroyed. This includes:

- Employee questionnaires
- Employee affirmative action profiles
- Supplemental profile data forms
- Any other form that contains person-specific data on race, ethnicity, gender, age

### **Emergency contact information:**

Your agency should have current emergency contact information on file for each active employee. This information should be kept separately from the personnel file, and be easily accessible and transportable in the case of an emergency. There is no retention for this information and it does not follow an employee's career path should they transfer. Only the most current information for each employee needs to be retained; additionally, it can be destroyed upon an employee's separation from your agency.

### **Payroll Files:**

For most of you, your DES payroll team manages and retains your payroll records. If you have questions about these files, please contact your payroll consultant. Some of the information kept in a payroll file are:

- Employee pay history
- Documentation of personnel actions
- IRS reports
- Time worked
- Retirement verification documents



# Standard Personnel File Sections

Section Names	Section Descriptions	Example Document Types
<b>Personnel Action</b>	Personnel actions documentation including requests for actions, documentation of completed actions, and notifications to employees	alternate work schedule agreements; date computations; leave of absence requests/approvals; location code change; name/address change documentation notification letters including: appointment letters including new hires, promotions, transfers, elevations, demotions, extension of non-permanent appointment letters, layoff letters including layoff, rescind, and temporary layoff, overtime eligibility status letters, reallocation approval/denial letters, separation letters, etc.; personnel action requests (PARs); personnel transactions ("pers tran"/P2s) including: class studies, disciplinary action, off payrolls, other agency, periodic increase date (PID), system change, etc.; print screens of completed actions; salary request approvals including appointment above the minimum approvals; WMS salary progression documentation
<b>Employment Information</b>	Documentation that employee met requirements for state appointments	applications; DD214s; licenses and certifications; promotional examination rating notices; resumes; transcripts; verification of education
<b>Training / Policy</b>	Policy acknowledgments, training records, and onboarding checklists	confidentiality agreements; contact with offenders agreement forms; developmental assignment agreements; employee safety checklists; new hire checklists; outside employment forms; policy review acknowledgments; training attendance rosters; training profiles/histories; use of private vehicle agreements
<b>Performance</b>	Performance expectations and performance evaluations, development plans, just cause/disciplinary documents, recognition documents	awards; commendations/kudos; disciplinary letters and memos including: demotions, dismissals, reductions-in-pay, suspensions, and written reprimands; performance expectations and evaluations including: Employee Development and Performance Plans (EDPPs), Manager Development and Performance Plans (MDPPs), and Performance and Development Plans (PDPs); recognition documents
<b>Miscellaneous</b>	Personnel file access documentation; miscellaneous documents that don't fit into the other tabs	authorizations for file access; authorizations to release information; Electronic Personnel File Receipt Verification; Employee Personnel Records Transmittals; file access logs; file release forms; miscellaneous memos and unique documents from current & prior agencies that don't fit into other tabs; personnel file audit forms; requests for copies of personnel file

Tip: To search within this document press **Ctrl+F** and enter the search terms.

HR Imaging Workgroup  
May 2013

## What is a supervisor file?

- It is a 12-month working file maintained by the supervisor, typically times with an annual evaluation.
- The file should only hold documents relevant to the performance of the employee during their evaluation period.
- Documents in the file should be destroyed after annual review or 12 months and a new twelve-month file begins.
- You are able to retain information beyond the 12-month time period is if there are current performance issues being addressed and documented.

## What should not be in the supervisory file?

- Medical information or accident reports
- Criminal History information
- Affirmative Action information
- Copies of social security cards
- Direct deposit information
- Information regarding immigration status, i.e. copies of green cards or immigration papers