

Wood County Board of Developmental Disabilities

PROCEDURE

Procedure #: 02-ALL-ALL-0139 (HR)
 Effective Date: 04-07-88
 Person Responsible: Human Resources Coordinator

Subject: Personnel Records
 Last Revision: 06-24-2024

Approvals/Date: Brent Chan 6/25/24 Date
 Superintendent, WCBDD
Julie Spurgeon 6/24/24 Date
 Department Director/Coordinator

<p>The following definitions will apply:</p> <p>Access – The ability or the means necessary to read, write, modify, or communicate data/information or otherwise use any system resource.</p> <p>Active Files – Those personnel files/folders maintained on staff who are active/currently employees of the Board providing regular services and who are considered to have active pay status or an active work status.</p> <p>Confidentiality – The property that data or information is not made available or disclosed to unauthorized persons or processes.</p> <p>Dissemination – Records/documents as maintained in an employee's file will not be copied, shipped, mailed, or otherwise scattered in the public domain without one of the following: employee approval/request, legal mandate/need or perfunctory need for Personnel Action on behalf of the employee.</p> <p>Destruction – No personnel record shall be destroyed until such time as other permanent means of maintenance has been developed/executed (scanned electronically) with access in facility as well as distant storage location and then destruction of the original paper record(s) shall occur in a manner as approved by legal mandate and stipulated in Personnel Records Procedure for destruction.</p> <p>Human Resources Coordinator – The individual employed by the Board and supervised by the Superintendent and assigned the responsibilities of operating the offices for the purpose of effective implementation of agency personnel program, policies, procedures and records.</p> <p>In-Active Files – Those personnel files/folders maintained on individuals who are no longer active/currently employed by the Board providing services and who are considered to be resigned, terminated, removed with no pay/work status.</p> <p>Maintains/Maintenance – Agency ownership of, control over, responsibility for, or accountability for systems' paper or data base, and includes, but is not limited to, depositing information with a data processing center or paper file for storage, processing or dissemination.</p> <p>Personnel Designee – The individual supervised by the Human Resources Coordinator and assigned duties to assist with the implementation of agency personnel programs, policies, procedures and records.</p> <p>Personnel Records – All forms and written communications relevant to staff employment, inclusive of but not limited to; name, address, position description, sick leave, vacation, certification or license, medicals, in-service documentation, Personnel Action forms, evaluations, corrective action, etc. and such other information as may be required by state or federal government or considered pertinent by the Superintendent or designee.</p> <p>System – Any collection or group of related records that are kept in an organized manner and are under the control of a state or local agency from which information is retrieved by name of the person or by some identifying number, symbol, or other identifying particular assigned to the person. "System" includes both records that are manually maintained and records that are stored using electronic data processing equipment.</p>
<p>1. A personnel file will be established/initiated by Human Resources Coordinator/Designee, and separated into forms, important papers, education and training, leaves, and letters categories and placed in Personnel files, at time of intake.</p>
<p>2. Original forms will be copied for file maintenance and originals distributed appropriately, as soon as possible and before the payroll period in which employee appears. Forms shall include but not be limited to: employment application, authorization/release of previous work records; applicable contracts; city, state, and federal tax forms; Ohio Public Employees Retirement System (OPERS)/Ohio State Teachers Retirement System (OSTRS) application; family disclaimer; health, dental and life insurance applications; Sheriff/Bureau of Criminal Identification and Investigation (BCI) record checks/information; contingency of hire form; employment eligibility form I-9; medicals; Equal Employment Opportunity/504 forms (EEO); Position Description; Personnel Action forms; Hire card information; certification; licensure; corrective action/disciplinary records; wage and hour forms. Records of completed employee orientation/training, Form 03-ALL-ALL-0307; Signed employee acknowledgement Form 03-ALL-ALL-0130 that they understand all policies.</p>
<p>3. The cumulative/running records of employees shall be forwarded by all departments, after signature/proper routing/approval to HR Department for storage/file/maintenance. Human Resources Coordinator/Designee shall be accountable for filing all forms/records.</p>
<p>4. All files will remain active so long as employee is actively employed.</p>
<p>5. Upon termination of employment, closure conference with employee, records shall be processed, copied and distributed per need of employee and payroll criteria, Administrative Services, etc. When completed, the employee's file will be stored/maintained in "in-active" files.</p>
<p>6. Information from in-active files may be pulled upon written request of ex-employee or designee, Board staff anticipating a re-hire, request from government agent, etc. There will be proof of just cause and a signed release of confidentiality for retrieval of file and forwarding of information by Human Resources Coordinator or designee. Individual/agent must allow personnel department at least three (3) work days for restoration/distribution.</p>
<p>7. Access:</p> <p>A. Access to personnel files will be limited to certain individuals (see definitions Policy and Procedure).</p>

- B. Verbal approval for access by designated staff shall be obtained from Human Resources Coordinator/Designee before entering a file.
- C. All files will be accessed in the HR Department unless specific cause for removal from HR Department warrants a special approval by the Human Resources Coordinator, the cumulative record will be signed out/signed in.
- D. No original document will be removed from a Personnel file except for reproduction purposes or upon order to be expunged. Unless mandated by rule, all original records will be returned to file. If an original is to be disseminated, a copy will be restored to file.
- E. Human Resources Coordinator/Designee will assist any designated staff at any time for access to files and replacement, upon request/need.
- F. Each employee will have the right upon written request to review the contents of his/her personnel file under the following conditions:
 - 1. Address need with immediate supervisor first, prior to access;
 - 2. Schedule time for access/review with Human Resources Coordinator prior to access;
 - 3. Employee is accompanied by supervisor for access or review, at time of access;
 - 4. Supervisor may sign off or waive this right to the Human Resources Coordinator, who will be in attendance during review, prior to access;
 - 5. Access and review will occur in the HR Department/Administrative Office at time of access.

8. Documentation of in-service training, seminar/workshop attendance/conference attendance will be part and parcel of an employee's file.
- A. Each department will be responsible for the acquisition of in-service training and the documentation of same for their respective employees.
 - B. The cumulative in-service training records may reach a personnel file for maintenance in a manner as devised by the component i.e., as training occurs, or at end of a school year, or at end of a fiscal year.
 - C. It **will not** be the responsibility of the HR Department to monitor or secure this documentation. HR Department shall be responsible for the maintenance/storage of employee in-service training records only.

9. The Human Resources Coordinator will act as liaison for Department of DD certification and/or specific licensure. However, each department and/or supervisors shall be responsible for the monitoring of certification/licensures as necessary for their respective staff. HR Department shall be responsible for the maintenance/storage/and retrieval of certification documents only.
- A. It shall be the responsibility of those employees whose positions mandate certification/licensure to procure their own certification/licensure renewal, upgrade, update, validation, etc. and to see that the information is forwarded to HR Department. Employee's failure to maintain and present evidence of **VALID CURRENT** certification/licensure (as applicable to his/her position) will result in possible loss of position/work status.
 - B. It will be the sole responsibility of those individuals who acquire educational – postgraduate – credits, degrees and/or course work to provide documentation of credits earned to supervisor and to assure that HR Department is properly notified of same with proof of acquisition of credits (transcript/course grades/hours). Such notification shall be made upon attainment in a progressive manner (as accumulated). When additional course work/degree acquired meets specifications/criteria for a salary schedule change (re-assignment) employee shall so notify supervisor and assure that HR Department is notified as well so the issue may be addressed properly with payroll functions. Employee's failure to comply in a timely manner will result in possible loss of income.

10. As a Human Resources procedure, emergency data will be kept for all employees. Emergency information shall include but not be limited to: Name/Signature of Employee; Person to notify in case of emergency – and telephone number (work and home); Relationship to Employee; Physician choice and telephone number; Medical alert – Allergies; Additional Information; Insurance Coverage Information.
- A. Emergency data will be updated as necessary due to change and at least annually.
 - B. Emergency data will be housed in a specific location within each department business office. This information may also be entered into a computer database.
 - C. Each department shall be responsible for maintenance and acquisition of emergency data.
 - D. Each department shall forward emergency data as acquired for duplicate maintenance in the HR Department. Computer printout is acceptable.

11. As a Human Resources procedure, there will be a position description for each position (title, PCN) which appears on the Table of Organization as approved by each respective Board. In addition, all substitute positions will have a Position Description as applicable for classification. All Position Descriptions will be subject to approval by the Superintendent.
- A. It shall be the responsibility of the HR Department to devise, revise, and maintain all Position Descriptions. Each component director and/or manager will work with the HR Department on their respective position descriptions.
 - B. The HR Department will be responsible for the dissemination of the Position Descriptions and personnel file maintenance and acquisition of title and PCN from Administrative Services.

12. As a Human Resources procedure, there shall be instances where certain/specified documents may cease to have force and effect in an individual's personnel file folder.
- A. All necessary employment forms (insurances, taxes, PERS, applications, wage and hours, etc.) shall not be subject to deletion from any personnel file.
 - B. Those forms/written communications eligible FOR CONSIDERATION for deletion shall include, but not be limited to: correction action/disciplinary forms/letters; correspondences/communications containing erroneous/invalid information.
 - C. Forms will cease to have force and effect according to Board policy, upon approval.
 - D. Before any consideration to cease to have force and effect a form/written communication from a person's file, the employee shall

present a written request to the Superintendent/Appointing Authority that he/she conduct an investigation of the record as identified in accordance with Ohio Revised Code 1347.09.

- E. If a record is to cease to have force and effect after the investigation process, the Appointing Authority/Superintendent shall so notify the Human Resources Coordinator in writing and stipulate the date for action. Human Resources Coordinator will then be authorized to label specified record from file on date as stipulated by notice. Employee will be so notified as well.
- F. All written communications addressing the labeling of a record shall be copied for placement in employee's file, upon receipt.
- B. The procedure for ceasing to have force and effect of a record in a personnel file shall not be applicable for any individual who is not a current, active status employee, i.e., no records will be labeled from "in-active" files nor will records be labeled in a file of an employee who is no longer employed prior to the date of notice to cease to have force and effect.
- C. There will be no internal appeal process relevant to the labeling of records from a Personnel file.

13. Method of destruction will be implemented according to mandates, Records Commission of Wood County and any directions as issued by the Wood County Prosecuting Attorney.

14. As a Human Resources records procedure, all information contained in an employee's files will remain confidential.

- A. Any person having access to the Personnel Files will not disclose any information from a file to anyone, except in the professional performance of his/her duties as it relates to status, pay and/or change for the benefit of the employee.
- B. Any person disclosing file information not benefiting the business/professional usage of that information SHALL be subject to disciplinary corrective action.

Forms: 03-ALL-ALL-0130
 03-ALL-ALL-0307

tar\procedure\hr0139