PERSONNEL POLICIES AND PROCEDURES
OREGON MILITARY DEPARTMENT
AGP POLICY 99.100.05

Subject: Employee Personnel Records

Applicability: All Managers and Supervisors of State Employees. The provisions of this policy will be adhered to unless in conflict with collective bargaining agreements. This policy does not apply to Payroll and Benefits records maintained in the Office of the Director of Financial Administration.

Effective Date: 1 October 2009

I. **PURPOSE:** To ensure consistent records management for State employees throughout the Oregon Military Department. The intent of this policy is to protect the privacy of the employee while making appropriate information available to the Supervisor.

II. **GENERAL POLICY:** At the time of hire and throughout their career, employees must be provided protection against improper disclosure of information and against the possibility of identity theft.

III. **DEFINITIONS:**

A. Department of Administrative Services Human Resource Division Policy 10.000.01 - Definitions

B. Oregon Administrative Rule 105-010-0000 - Definitions Applicable Generally to Personnel Rules and Policies

IV. **REFERENCES:**

A. Department of Administrative Services Human Resource Division Policy 10.011.01 - Employee Personnel Records

B. Oregon Administrative Rule 166-300-0040 - Personnel Records

V. **STANDARDS:**

A. Upon hire, AGP will initiate an official Personnel File, contents of which are guided by references A and B above.

B. Enclosure 1 to this policy contains the general file layout for the official file in AGP.

C. Enclosure 2 to this policy contains a list of documents which may be maintained by the direct supervisor.

D. Retention of records in addition to those listed in Enclosure 2 may result in disciplinary action. Unauthorized release or improper disclosure of records may result in disciplinary action.

VI. **RESPONSIBILITIES:**

A. **The Adjutant General:** Has overall responsibility for ensuring the Department is in compliance with this policy.

B. **State Personnel Director:** Manages the implementation of this policy.

C. **First Line Supervisor:** Safeguards personal information and retains only the documentation authorized in enclosure 2 of this document.

D. **Employee:** Updates information provided to Supervisor/AGP as needed. Maintain copies of their forms and elections in a secure location, preferably at home or away from their work location. That is a protection for the employee in the event of a catastrophic incident which could potentially destroy their official file, the Supervisor's file and the employee's copies if they were to be co-located.

Raymond F. Rees

RAYMOND F. REES
Major General
The Adjutant General

Enclosures
as

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CONTENTS OF OFFICIAL PERSONNEL FOLDER

Left Outer Tab

Current Emergency Information Form

Screen print of F1 Screen (Address and Telephone number)

Documentation to Back-up changes to Home address and/or phone number.

Right Tab - Opposite Left Outer Tab

Personnel Action Forms (PD 124-2) - Chronological newest on top.

Supporting documents not maintained elsewhere in the file will be attached to the PD 124-2.

Left Inner Tab

Current Position Description

Approved Work Out of Class Documents

Approved Lead Work Documents

Right Inner Tab

Performance Appraisals and any enclosures or rebuttals. Three most recent only, current on top.

Left Tab - Opposite Right Outer Tab

Certificates of Training

Pertinent Correspondence not filed elsewhere.

Most recent certificate of service (if applicable).

Checklist received from employee documenting compliance with directive to review policies.

Letters of Reprimand.

Right Outer Tab

Position Appointment Information Sheets

Welcome letters.

Current PD 100

Announcement from current position if competitively appointed.

Initial PD 100 for State government service.

FILES MAINTAINED SEPARATELY IN AGP

Equal Employment Opportunity (EEO) Self Identification Form

Employment Eligibility Verification Form (I-9)

Employment Verification Inquiries (mortgages, car loans, etc.)

Worker's Compensation claim information

Grievance information

Investigatory information

Position History including position descriptions

Recruitment information

Medical records, as prescribed by the Americans with Disabilities Act

Family Medical Leave Act/Oregon Family Medical Leave Act information

Note: The above listed records and copies thereof are not authorized to be maintained in the Supervisor's file, nor are they authorized to be maintained in any other location outside of AGP unless specifically listed for inclusion in Enclosure 2, below.

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SUPERVISOR'S FILE

Contents of the Supervisor's file are limited to the following. In the event of questions or concerns, contact AGP for clarification:

Performance Appraisals (last three)

Documentation used to develop performance appraisals

Complimentary letters and commendations

Client complaints

Letters of Expectation. Other than a work-site general letter of expectation, letters of expectation more than three years which have not been updated or expounded upon (with documentation) are generally useless and to be purged and shredded.

Letters of Reprimand (up to three years old unless a subsequent similar action justifies longer retention.)

Performance notes - include date-time-group (DTG) and specific comments regarding the substance of the conversation.

Records of counseling and coaching - include DTG and specific comments regarding the substance of the conversation/instructions.

Correspondence between the supervisor and employee, including e-mail correspondence

A copy of the Employee Emergency Information Form - obtained from the AGP website ONLY AUTHORIZED FORM FOR THIS PURPOSE.

Medical work restrictions (Original to AGP)

FMLA/OFLA letter designating status of medical leave

Work schedule, timekeeping records

Leave balance

Job rotation, work out of class and leadwork agreement

Current licenses and certifications

Records of training or transcripts

Current position description

Driving restrictions