

LDWA PERSONNEL POLICIES AND PROCEDURES

SECTION XVIII: RECORD KEEPING

1. **GENERAL POLICY.** Federal law requires employers to keep detailed data about their employees.
2. **CONFIDENTIALITY.** Employee records are maintained in compliance with the law.
 - A. Confidentiality must be maintained at all times with access limited to employees approved by majority vote of the LDWA Board.
 - B. LDWA policy is that only relevant, job-related information is maintained on its employees, that such information is held in strict confidence, and that access is limited only to those who require it for legitimate business reasons.
 - C. Employees have the opportunity to review their own files in the presence of an LDWA Board member on LDWA premises during regular business hours.
3. **PERSONNEL FILE REQUIREMENTS.**
 - A. General.
 - (1) Personnel files are maintained on each employee in a locked file kept at the LDWA Office. Access to personnel files shall be maintained by LDWA Board. The record copy (original) of all appropriate personnel information, as set forth hereafter, related to an employee shall be filed in the employee's personnel file.
 - (2) No information from any record placed in an employee's personnel file will be communicated to any person or organization except by the LDWA Board.
 - (3) Employees, or their representative designated in writing, may examine the employee's personnel file upon request during normal working hours at the LDWA office. When a Board member requires access to the personnel file of an employee under their supervision for the handling of personnel matters, the Board member must obtain written authorization from the LDWA Board or their designee.
 - B. Contents.
 - 1) An employment record will include the employees' job application, resume, interview forms, Employment Eligibility Verification (Form I-9), Employees Withholding Allowance Certificate (Form W-4), etc.

- (2) A signed copy of the Policies and Procedures Statement and Acknowledgement Form, providing employee's acknowledgment of receiving a copy of the personnel policies and procedures manual; and the performance standard for the position the employee currently occupies.
 - (3) All personnel action forms, including:
 - (a) Performance evaluations.
 - (b) Promotions or transfers.
 - (c) Wage rate changes.
 - (d) Disciplinary action taken. The employee will be asked to sign the disciplinary action form. If the employee refuses to sign this form; the LDWA Board will so state.
 - (5) Any information the employee wants included in response to any of the above actions.
 - (6) Records of citations for excellence or awards for good performance.
 - (7) Record of any other pertinent information having a bearing on the employee's status.
- C. Employee Information/Change of Employee Status. Employees are responsible for ensuring that personal employee information contained in their personnel files is current and accurate. Employee information (any change in number of dependents, marital status, address, telephone number, etc.) should be updated by completing an Employee Information/Change of Status Form and giving it to the LDWA Board, or designee to file in their personnel file.
- D. Giving References. LDWA limits information given in a reference to the following:
- (1) Verification that the employee worked, full-time or part-time, for LDWA during a stated period.
 - (2) A description of the position held.
 - (3) Verification that the employee achieved a given salary range.

4. **OTHER FILES REQUIREMENTS.** Records related to the items listed below should be kept for a period of at least one (1) year. In addition, records should be examined annually to keep the files current and to save those records that management feels should be kept longer.
 - A. Job applications, resumes, and letters of interest.
 - B. Test papers completed by job applicants or candidates for any position.
 - C. Any advertisements or notices relating to job openings, promotions, training programs, or opportunities for overtime work.
 - D. Records of promotion, demotion, transfer, selection for training, layoff, rehire, or termination of any employee. These should also be signed by the employee.

5. **SALARY/WAGE REQUIREMENTS.** The Federal Labor Standards Act (FLSA) requires LDWA to keep all of the following data on all employees for a period of at least three (3) years.
 - A. Employee's gender.
 - B. Time and day workweek begins.
 - C. Hours worked each day and total hours worked each week.
 - D. Total daily or weekly straight-time earnings.
 - E. Total additions to, or deductions from, wages paid each pay period, including an explanation of items that make up additions and deductions.
 - F. Date of payment and pay period covered.
 - G. Total overtime above regular compensation for workweek.

6. **OTHER REQUIREMENTS.** There are record keeping requirements under other federal and state laws over which the personnel record keeping function has jurisdiction:
 - A. Occupational Safety and Health Act (OSHA) record of injuries.
 - B. Employee Retirement Income Security Act (ERISA) record of pensions.
 - C. The Immigration Reform and Control Act (IRCA) of 1986 requires verification of status forms to be kept for three (3) years after the person is hired or for one (1) year after employment is terminated, whichever is later.