



LEADERSHIP.  
EXCELLENCE  
AGILITY.  
DISCOVERY.

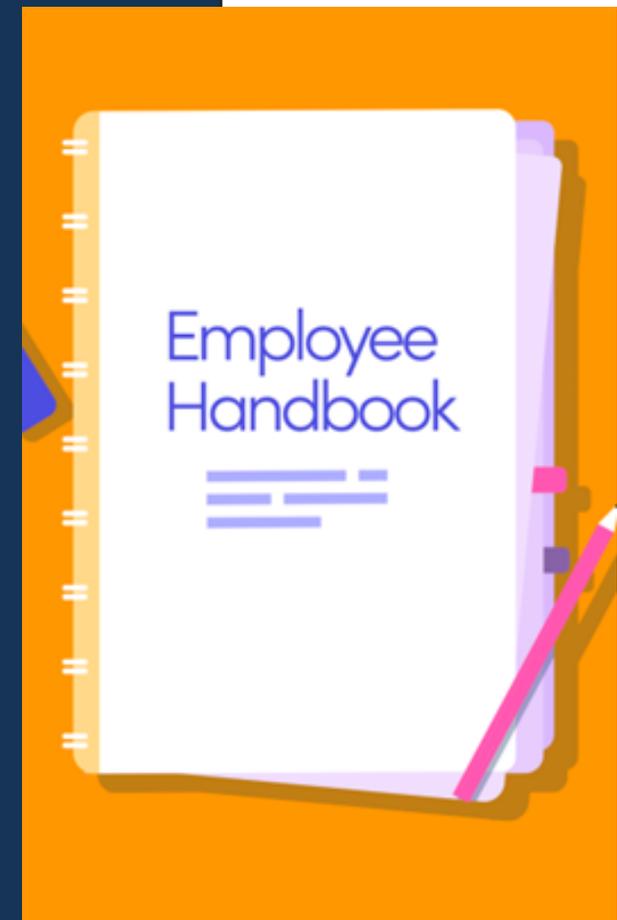
# QUADRENNIAL TRAINING 2025

# Personnel Policies and Best Practices



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# Employee Handbook



# Employee Handbooks



01

A valuable resource for both the employer and employees.

02

Should include the organization's:

- **Mission and Vision statements**
- **Policies and Procedures**
- **Benefits**

03

Provides an overview of what is expected from employees and reflects the employers' standards and objectives relating to various activities.

# Employee Handbooks

- Each policy should begin on a **new** page.
- Handbooks should include a written **acknowledgement** of receipt stating that an employee has received the handbook and is responsible for familiarizing themselves with the policies and procedures.
- Signed acknowledgement forms should be collected and kept in the employee's personnel **files**.
- Handbooks should be easily **accessible** to all employees.
- An employment **attorney** should review the employee handbook.

# Recommended Policies



## Employment Policies



**At-Will Employment Clause:** Clarify the nature of the employment relationship.



**Anti-Discrimination and Harassment:** Policies against workplace harassment, bullying, and discrimination with reporting procedures.



**Accommodation Policy:** Guidelines for providing reasonable accommodations for disabilities and religious practices.

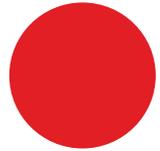


**Equal Opportunity Statement:** A commitment to diversity, equity, and inclusion.

# Recommended Policies



## Workplace Conduct and Expectations



**Code of Conduct:** Behavioral expectations, including ethical practices and professionalism.



**Attendance and Punctuality:** Rules regarding working hours, tardiness, and absenteeism.



**Dress Code:** Guidelines on acceptable workplace attire, if applicable.

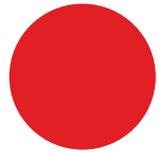


**Confidentiality and Data Protection:** Expectations for safeguarding company and client information.

# Recommended Policies



## Compensation and Benefits



**Pay and Payroll:** Details on salary structure, pay periods, and overtime policies.



**Benefits Overview:** Health insurance, retirement plans, and other perks.



**Leaves of Absence:**

- Vacation and Paid Time Off (PTO) Sick Leave
- Family and Medical Leave (FMLA)
- Parental Leave

# Recommended Policies



## Safety and Security



**Workplace Safety:** Procedures for maintaining a safe environment, including OSHA compliance.



**Substance-Free Workplace:** Policies regarding drug and alcohol use.



**Cybersecurity:** Guidelines on using company systems and avoiding breaches.



**Guns in the Workplace:** Adherence to state laws.

# Recommended Policies



## Performance Management



**Performance Reviews:** Frequency, process, and criteria for evaluations.



**Corrective Action:** Steps for addressing policy violations, up to and including termination.

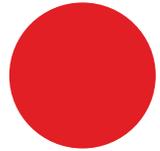


**Grievance Procedures:** Steps for resolving workplace disputes or complaints.

# Recommended Policies



## Technology and Social Media Use



**Acceptable Use Policy:** Rules for company-provided devices and internet access.



**Social Media Policy:** Guidelines for representing the company online and avoiding conflicts of interest.

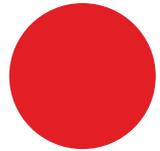


**Remote Work Policy:** Expectations and tools for telecommuting employees.

# Recommended Policies



## Termination and Resignation



**Notice Periods:** Requirements for employee resignation and employer termination.



**Exit Interviews:** Process for collecting feedback from departing employees.



**Return of Company Property:** Procedures for returning equipment, badges, and documents.

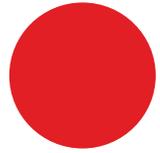


**Severance Policy:** Standardized process specifying severance formula and eligible benefits when reductions in force occurs.

# Recommended Policies



## Legal and Compliance Policies



**Conflict of Interest:** Disclosure requirements for potential conflicts.



**Non-Compete and Non-Disclosure Agreements** (if applicable): Protection of company interests.

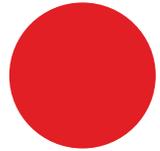


**Compliance with Laws:** Acknowledgment of adherence to local, state, and federal regulations.

# Recommended Policies



## Acknowledgment and Receipt

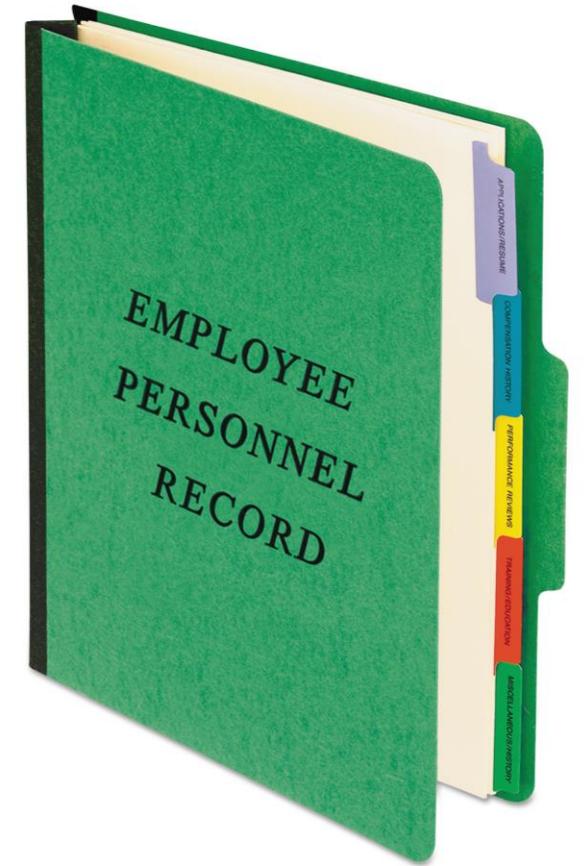


**Employee Signature:** Acknowledgment of understanding and agreement to comply with the handbook.



**Updates and Revisions:** Explanation of how and when policies may be updated.

# Employee Files



# Employee Files



- For ADA compliance purposes, all employee files should be kept in a secure cabinet at all times.
- I-9 forms should be kept together in a separate file.
- Medical files (FMLA, benefits, etc.) should be kept in a separate locking file cabinet.
- Have 1-2 designated persons that can access employee personnel files.

# Employee Files

## Personnel Files



All documents pertaining to hiring information such as application, background checks, reference checks, work history information, W-4, etc.



Promotion/transfer records  
Performance evaluations  
Disciplinary records  
Personal commendations



Vacation/PTO days  
Pay records

# Employee Files

## Personnel Files

When an employee is terminated the following records should be added to their Personnel File:

- Exit interview form
- Copy of the State Separation Notice
- Layoff information – selection process
- Firing for cause information
- Resignation letter

# Employee Files

## Benefit Files

- All medical information including doctors' statements
- Benefit enrollment forms
- 401(k) enrollment forms and documentation
- Change forms and/or waiver forms
- Workers' compensation information including injury reports
- Beneficiary designations
- Drug test results

# Employee Files

## Benefit Files

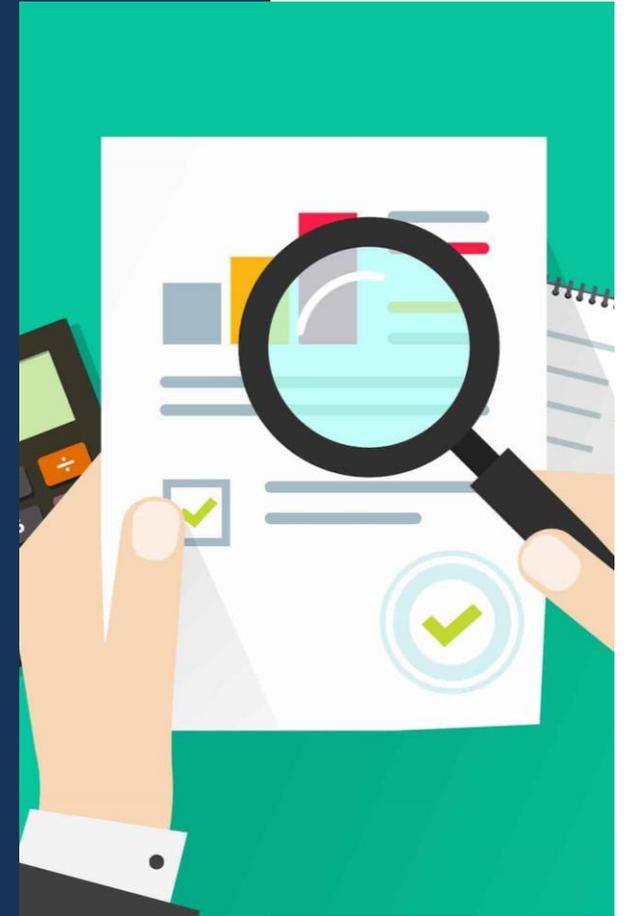
- Benefits information is to be kept in strict confidence and access should be extremely limited to those individuals who have a recognized need for such information.
- Even inadvertent or accidental disclosure of information can result in legal liability for employers.
- Written consent from employees should be required for medical information disclosures.

# File Retention



- Recommended to keep employee personnel and benefit files 7 years after termination.
- Recommended to keep I-9 Forms 1 year after termination or 3 years after date of hire, whichever is later.
- Recommended to keep time sheets 3 years.

# Self Audits



# Best Practices – Self Audits



- It is recommended that employers conduct a complete review of employee files to ensure compliance with the separation of personnel and benefits information.
- For example, if you receive a Notice of Inspection from ICE, you only have 3 days to gather all I-9's.
- A self-audit is a good way to maintain compliance and ensure that any mistakes are caught before you get fined.

# Best Practices – Self Audits



To conduct a self audit:

- Gather all forms.
- Get rid of old forms.
- Identify missing forms.
- Find and correct mistakes.
- Make notes of any changes and who made the changes.

# Form I-9 and E-Verify



The illustration shows a person sitting at a desk with a large computer monitor. The monitor displays a Form I-9 and E-Verify document. The document is titled "Employment Eligibility Verification" and "Form I-9" with the USCIS logo. It includes sections for "Employee Information and Attestation" and "Employer Attestation". The form is filled out with sample information for "Sally Ride" in La Jolla, CA. A magnifying glass is shown over the "Signature of Employee" field, which is signed "Sally Ride". The background is a stylized pink and purple gradient.

USCIS  
Form I-9  
08/09 Rev. 03/17 (E)  
English (I-9)

**Employment Eligibility Verification**  
Department of Homeland Security  
U.S. Citizenship and Immigration Services

**START HERE:** Employees must review the form instructions and available to employees when completing this form. Employees are being asked to comply with the requirements for completing this form. See below and the [instructions](#).

**ANTI-DISCRIMINATION NOTICE:** All employees can choose which acceptable documentation to present for Form I-9. Employers can't ask employees for documentation to verify information in Section 1, or verify which acceptable documentation employees will present for Section 2 or Supplement 1. Race/ethnicity and birth date/age are not acceptable for verification purposes. Immigration status, or national origin may be the only acceptable information for verification purposes.

**Section 1: Employee Information and Attestation:** Employees must complete and sign Section 1 of Form I-9 no later than the first day of employment, but not before accepting a job offer.

Last Name (Family Name): **Ride** First Name (Given Name): **Sally** Middle Initial (if any): **K** Other Last Names used (if any):

Address (Street Number and Name): **7505 Draper Ave.** City or Town: **La Jolla** State: **CA** ZIP Code: **92037**

Date of Birth (mm/dd/yyyy): **05/26/1951** U.S. Social Security Number: **1 2 3 4 5 6 7 8 9** Employment Authorization Document (EAD) Number: **sallyride@gmail.com** Department Number: **055355-5555**

I am aware that Federal law provides for employment verification for take statements, or the use of false information, in connection with the completion of this form. I attest under penalty of perjury that the information, including my selection of the box attesting to my citizenship or immigration status, is true and correct.

Check one of the following boxes to attest to your citizenship or immigration status (See page 2 and 3 of the instructions).  
 I am a citizen of the United States.  
 I am a national naturalized citizen of the United States. (See instructions.)  
 I am a lawful permanent resident (LPR) under USCIS (or A-Number).  
 I am a noncitizen national (see USCIS Numbers 3 and 5, above) authorized to work with this type of card (if any).

Print USCIS Form Number 4, enter one of the following:  
USCIS A-Number: \_\_\_\_\_ of Form I-9 Administration \_\_\_\_\_ USCIS Form Number and County of Issue

Signature of Employee: *Sally Ride*

**New I-9 Form**

[www.onbclick.com](http://www.onbclick.com)

# Form I-9



- Determines an individual's authorization to work in the United States.
- Cannot be completed until after an offer of employment has been accepted.
- Form I-9 has two sections.
  - 01 Section 1 must be completed by the employee.
  - 02 Section 2 must be completed by the employer.

# Form I-9



- Penalties for incomplete or missing forms.
- Range from \$110 to \$1,100 per violation or form.
- Could be issued for failure to produce a Form I-9.
- Forms must be retained for terminated employees.
- 1 year from date of termination or 3 years from date of hire, whichever is later.

# Form I-9

## Section 1



### Employment Eligibility Verification

Department of Homeland Security  
U.S. Citizenship and Immigration Services

USCIS  
Form I-9

OMB No. 1615-0047

Expires 05/31/2027



**Section 1. Employee Information and Attestation:** Employees must complete and sign Section 1 of Form I-9 no later than the **first day of employment**, but not before accepting a job offer.

Last Name (Family Name)		First Name (Given Name)		Middle Initial (if any)	Other Last Names Used (if any)				
Address (Street Number and Name)			Apt. Number (if any)	City or Town		State	ZIP Code		
Date of Birth (mm/dd/yyyy)	U.S. Social Security Number		Employee's Email Address			Employee's Telephone Number			
<b>I am aware that federal law provides for imprisonment and/or fines for false statements, or the use of false documents, in connection with the completion of this form. I attest, under penalty of perjury, that this information, including my selection of the box attesting to my citizenship or immigration status, is true and correct.</b>		Check one of the following boxes to attest to your citizenship or immigration status (See page 2 and 3 of the instructions.):							
		<input type="checkbox"/> 1. A citizen of the United States							
		<input type="checkbox"/> 2. A noncitizen national of the United States (See Instructions.)							
		<input type="checkbox"/> 3. A lawful permanent resident (Enter USCIS or A-Number.)							
		<input type="checkbox"/> 4. A noncitizen (other than <b>Item Numbers 2.</b> and <b>3.</b> above) authorized to work until (exp. date, if any) _____							
		If you check <b>Item Number 4.</b> , enter one of these:							
		USCIS A-Number		OR	Form I-94 Admission Number		OR	Foreign Passport Number and Country of Issuance	
Signature of Employee					Today's Date (mm/dd/yyyy)				

If a preparer and/or translator assisted you in completing Section 1, that person **MUST** complete the [Preparer and/or Translator Certification](#) on Page 3.



# Form I-9

## Section 2

**Section 2. Employer Review and Verification:** Employers or their authorized representative must complete and sign **Section 2** within three business days after the employee's first day of employment, and must physically examine, or examine consistent with an alternative procedure authorized by the Secretary of DHS, documentation from List A **OR** a combination of documentation from List B and List C. Enter any additional documentation in the Additional Information box; see Instructions.

	List A	OR	List B	AND	List C
Document Title 1					
Issuing Authority					
Document Number (if any)					
Expiration Date (if any)					
Document Title 2 (if any)		<b>Additional Information</b>			
Issuing Authority					
Document Number (if any)					
Expiration Date (if any)					
Document Title 3 (if any)		<input type="checkbox"/> Check here if you used an alternative procedure authorized by DHS to examine documents.			
Issuing Authority					
Document Number (if any)					
Expiration Date (if any)					
<b>Certification:</b> I attest, under penalty of perjury, that (1) I have examined the documentation presented by the above-named employee, (2) the above-listed documentation appears to be genuine and to relate to the employee named, and (3) to the best of my knowledge, the employee is authorized to work in the United States.					First Day of Employment (mm/dd/yyyy):
Last Name, First Name and Title of Employer or Authorized Representative			Signature of Employer or Authorized Representative		Today's Date (mm/dd/yyyy)
Employer's Business or Organization Name			Employer's Business or Organization Address, City or Town, State, ZIP Code		

# Form I-9

## Section 2 Documents

LIST A Documents that Establish Both Identity and Employment Authorization	OR	LIST B Documents that Establish Identity	AND	LIST C Documents that Establish Employment Authorization
<ol style="list-style-type: none"> <li>1. U.S. Passport or U.S. Passport Card</li> <li>2. Permanent Resident Card or Alien Registration Receipt Card (Form I-551)</li> <li>3. Foreign passport that contains a temporary I-551 stamp or temporary I-551 printed notation on a machine-readable immigrant visa</li> <li>4. Employment Authorization Document that contains a photograph (Form I-766)</li> <li>5. For an individual temporarily authorized to work for a specific employer because of his or her status or parole:               <ol style="list-style-type: none"> <li>a. Foreign passport; and</li> <li>b. Form I-94 or Form I-94A that has the following:                   <ol style="list-style-type: none"> <li>(1) The same name as the passport; and</li> <li>(2) An endorsement of the individual's status or parole as long as that period of endorsement has not yet expired and the proposed employment is not in conflict with any restrictions or limitations identified on the form.</li> </ol> </li> </ol> </li> <li>6. Passport from the Federated States of Micronesia (FSM) or the Republic of the Marshall Islands (RMI) with Form I-94 or Form I-94A indicating nonimmigrant admission under the Compact of Free Association Between the United States and the FSM or RMI</li> </ol>		<ol style="list-style-type: none"> <li>1. Driver's license or ID card issued by a State or outlying possession of the United States provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address</li> <li>2. ID card issued by federal, state or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address</li> <li>3. School ID card with a photograph</li> <li>4. Voter's registration card</li> <li>5. U.S. Military card or draft record</li> <li>6. Military dependent's ID card</li> <li>7. U.S. Coast Guard Merchant Mariner Card</li> <li>8. Native American tribal document</li> <li>9. Driver's license issued by a Canadian government authority</li> </ol> <p style="text-align: center;"><b>For persons under age 18 who are unable to present a document listed above:</b></p> <ol style="list-style-type: none"> <li>10. School record or report card</li> <li>11. Clinic, doctor, or hospital record</li> <li>12. Day-care or nursery school record</li> </ol>		<ol style="list-style-type: none"> <li>1. A Social Security Account Number card, unless the card includes one of the following restrictions:               <ol style="list-style-type: none"> <li>(1) NOT VALID FOR EMPLOYMENT</li> <li>(2) VALID FOR WORK ONLY WITH INS AUTHORIZATION</li> <li>(3) VALID FOR WORK ONLY WITH DHS AUTHORIZATION</li> </ol> </li> <li>2. Certification of report of birth issued by the Department of State (Forms DS-1350, FS-545, FS-240)</li> <li>3. Original or certified copy of birth certificate issued by a State, county, municipal authority, or territory of the United States bearing an official seal</li> <li>4. Native American tribal document</li> <li>5. U.S. Citizen ID Card (Form I-197)</li> <li>6. Identification Card for Use of Resident Citizen in the United States (Form I-179)</li> <li>7. Employment authorization document issued by the Department of Homeland Security</li> </ol> <p>For examples, see <a href="#">Section 7</a> and <a href="#">Section 13</a> of the M-274 on <a href="https://uscis.gov/i-9-central">uscis.gov/i-9-central</a>.</p> <p>The Form I-766, Employment Authorization Document, is a List A, <b>Item Number 4</b>, document, not a List C document.</p>
<p><b>Acceptable Receipts</b></p> <p>May be presented in lieu of a document listed above for a temporary period.</p> <p>For receipt validity dates, see the M-274.</p>				
<ul style="list-style-type: none"> <li>• Receipt for a replacement of a lost, stolen, or damaged List A document.</li> <li>• Form I-94 issued to a lawful permanent resident that contains an I-551 stamp and a photograph of the individual.</li> <li>• Form I-94 with "RE" notation or refugee stamp issued to a refugee.</li> </ul>	OR	<ul style="list-style-type: none"> <li>• Receipt for a replacement of a lost, stolen, or damaged List B document.</li> </ul>		<ul style="list-style-type: none"> <li>• Receipt for a replacement of a lost, stolen, or damaged List C document.</li> </ul>

# Form I-9



## Section 2 Documents

- Employee must provide required documents within 3 business days after date of hire.
  - For example: If an employee is hired on Monday, they must provide forms by end of day Thursday.
- You **cannot** require employees to bring certain documents and cannot ask them to bring in **more** than what is required.
  - If they bring in more on their own, do not document, or make copies of them!
- Documents cannot be expired.
- Copies of documents must be legible.

# E-Verify

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- Web based system that allows employers to confirm the eligibility of their employees to work in the United States.
- You may not verify current employees, only those newly hired.
- Requirements to enroll are based on state.

## States that Require E-Verify

Alabama	Arizona	Colorado	Florida	Georgia	Michigan
Idaho	Indiana	Louisiana	Nebraska	North Carolina	Minnesota
Oklahoma	Pennsylvania	South Carolina	Tennessee	Texas	
Utah	Virginia	West Virginia	Mississippi	Missouri	

- States that require E-Verify for all or most employees.

# E-Verify

- E-Verify is voluntary, on the federal level but many states have enacted state laws requiring employers to enroll.
- <https://www.e-verify.gov/employers>

## EMPLOYERS

This section provides information for employers and other participants about the verification process, including detailed instructions on handling an employee's Tentative Nonconfirmation and other related topics.

For the latest about E-Verify, check out [What's New](#).

To stay up-to-date, [subscribe to E-Verify emails via GovDelivery](#).

If you are not already enrolled in E-Verify, [explore the program](#) and what it can do for your business, then [learn how to enroll](#).

### Login to E-Verify

If you are already enrolled in E-Verify and would like to **login** now.

[LOGIN TO E-VERIFY](#)



### ENROLLING IN E-VERIFY

Begin your E-Verify enrollment here

[E-VERIFY ENROLLMENT](#)



### VERIFICATION PROCESS

Create a case, get results and close the case

[VERIFICATION PROCESS](#)



### MONITORING & COMPLIANCE

E-Verify compliance activities

[MONITORING & COMPLIANCE](#)



# Thank you!



WEBSITE  
[WWW.GCFA.ORG](http://WWW.GCFA.ORG)



EMAIL  
[CCONGDON@GCFA.ORG](mailto:CCONGDON@GCFA.ORG)

