



DEPARTMENT OF CORRECTIONS
Human Resources



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| Title: | Maintenance and Access to Employee Records | DOC Policy: 20.5.12 |
| Supersedes: | DOC Policy 20.5.12, "Maintenance and Access to Employee Records" dated 07/15/98 | |
| Applicability: | All employees | |
| Directives Cross - Reference: Administrative Rule 105-10-011, State Policy 10.011.01, Secretary of State Archive Records Retention Schedule; DOC collective bargaining agreements. | | |

I. PURPOSE

The Human Resources Personnel Records unit maintains an official employee personnel file on every permanent and temporary employee working for the department. Supervisors may retain on-site working files in accordance with this procedure and the labor agreement.

II. POLICY

- A. The official personnel file and the working file are confidential. Access to these files is limited to those persons identified in state administrative rule, state policy and applicable collective bargaining agreement.
- B. The official file and the working file are the property of the department. The official file contains those documents required by state policy and labor agreements. Other documents related to the employee's work assignment and work history may be included at the supervisor's discretion. The working file contains documents related to the employee's work performance.
- C. An employee may review the contents of the employee's own official file in the Personnel Records offices during normal business hours. The employee must show valid picture identification before having access to the file. An employee may authorize an official representative to review the employee's file. Such authorization shall be in writing and signed and dated by the employee.
- D. An employee may review the contents of the employee's own working file upon request with approval of the supervisor. An employee may authorize an official representative to review the employee's file; such authorization shall be in writing and signed and dated by the employee.
- E. An employee may request a copy of the employee's own official file and/or the working file, for a copying fee of \$.20 per page plus postage charges if applicable. An employee's official representative, with written authorization, may request a copy of the employee's file for the same fee.

- F. The Secretary of State Archive Records Retention Schedule and applicable collective bargaining agreement govern retention dates for personnel documents. The official employee personnel file shall contain the following mandatory documents:
1. Employment application for first state job;
 2. Employment application for employee's current position;
 3. Personnel actions;
 4. Performance evaluations;
 5. Code of Ethics;
 6. Oaths of office;
 7. Summary of record of service prior to 1946;
 8. Letters of commendation and recommendation;
 9. Notices of disciplinary actions;
 10. Notices of layoff;
 11. Document of resignation;
 12. Employee emergency information;
 13. Report of family relationship CD;
 14. Unemployment compensation claim records;
 15. Miscellaneous correspondence.
- G. Employee medical records shall be maintained in a file separate from the official personnel file. Documents include employee physical exam results, immunization records, and medical conditions of employment.
- H. Position files shall be maintained for every position in the department. The files shall contain position history information and position descriptions.
- I. The Department of Corrections Staff Training Unit shall maintain employee-training records.

III. IMPLEMENTATION

This policy will be adopted immediately without further modification.