

STATE OF ALASKA  
DEPARTMENT OF ADMINISTRATION  
DIVISION OF PERSONNEL & LABOR RELATIONS  
STANDARD OPERATING PROCEDURE

## Employee Records DOPLR-06

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**Addenda**

Addendum A	Recognition & Location of Employee Specific Records
Addendum B	Authorization to Release Confidential Employee Records
Addendum C	Employee Records – Business Access Request & Authorization

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**I. Record Types**

A. Purpose

This section describes the type and the content and recognizes as ‘official’ the position and personnel records that permanently reside at the Employee Records Unit (ERU), Employee Planning and Information Center (EPIC), Division of Personnel & Labor Relations (DOPLR).

Also recognized are ancillary position, personnel or employee-specific records that exist at other DOPLR units or sections and may also exist outside the DOPLR, at a Human Resource office of a particular state department or agency, at an established internal affairs unit of another department or agency, or at an administrative or business office of a particular department or agency. (*Ref: Recognition & Location of Employee-Specific Records; Addendum A*)

Records specific to a current or to a former state employee that are held at the DOPLR or at another department or agency are subject to the applicable authorities, guidance, privacy (confidentiality), access and security conveyed under this standard operating procedure or other relevant administrative or lawful authority.

B. Scope

This section applies to records maintained for a current or a former employee of the State of Alaska, Executive Branch, classified or partially-exempt executive branch service and for certain current or former employees of the exempt service.

C. Authority

AS 39.25	State Personnel Act
39.25.080	Personnel records confidential; exceptions
39.25.150	Scope of the rules
AS 23.10	Employment Practices and Working Conditions
23.10.430	Access to personnel files.
AS 40.25	Public Records Disclosures
40.25.110	Public records open to inspection and copying; fees.
2 AAC 07.910	Personnel Records

D. Overview

*Personnel record* documents and information shall be kept confidential, in locked cabinet or secured area and not open to public inspection except as specifically provided by a state or federal statute or regulation, or by a court of competent jurisdiction, or as determined by DOPLR Labor Relations unit or by the state Department of Law. An employee does have a right to examine their own personnel record and may properly authorize others to examine their record. A personnel record also may be characterized as an ‘employee file’, ‘supervisory file’, ‘performance file’ or ‘employee medical file’. The non-medical and medical personnel records

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shall be maintained separately and not be combined together as one record. At no time is it permissible for a supervisor or manager to maintain employee medical files or records.

*Position record* documents and information is not confidential and is open to public inspection. A position record should not contain personnel record documents or information. A position record also may be characterized as a ‘PCN file (position control number)’ or as a ‘PD file (position description)’ a ‘Classification file’ or as an ‘OPD submission (on-line position description)’.

*Employee relation record* notes, inquiries, research and analysis shall be kept confidential, in locked cabinet or secured area, and is not open to public inspection except as specifically provided by a state or federal statute or regulation or a court of competent jurisdiction or as is determined by the DOPLR Labor Relations Unit or the state Department of Law. An employee relation record also may be characterized as a ‘grievance file’, ‘complaint file’, ‘disciplinary file’, ‘investigation file’, ‘case file’ or ‘arbitration’ file.

1. Personnel Record. General content of a personnel record follows. The content list may not be fully inclusive. A document or action which affects or changes the personnel or position status of a current or former employee can be appropriate to include in the record.

a. Non-Medical

- Personnel Actions(PAs)
- Letters of Appointment or Resignation
- Performance Evaluation Reports
- Commendations & Awards
- Disciplinary Actions
- Layoff Notices/Documents
- Statewide Employment & Technology Policy Acknowledgements
- Applicant Profiles
- Job Qualification Summaries
- Employment Resumes
- Pre-Hire & Applicant Certifications
- Employment Eligibility Verification & Documents
- Residency Verification Affidavits/Documents
- Nepotism Waivers/Documents
- Training or Professional Certifications
- College or Vocational Training Transcripts
- Union & Job Service Referrals
- DVR (Vocational Rehabilitation) Referrals (medical detail redacted)
- Payroll & Leave Documents (medical detail redacted)

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- b. Medical
- Workers' Compensation Forms
  - Workers' Compensation Correspondence/Reports
  - Medical/Physician Reports, Notes and Letters
  - Certification of Health Provider Forms
  - Request for ADA Accommodation
  - Medical History Information
  - Payroll & Leave Documents
2. Position Record. General content of a position record follows. The content list may not be fully inclusive. A document or action which affects or changes the position status of a current or former employee can be appropriate to include in the official or in the unofficial record.
- Position Descriptions (PDs)
  - Position Allocation Memoranda
  - Job Review Notes, Information & Work Examples
  - Organizational Charts
  - Flex Training Plans
  - Position and Job Class History
  - Job Class & Position Surveys
3. Employee Relation Record. General content of an employee relation record consists of documents relevant to the investigation of a grievance, complaint, discipline, hearing or arbitration of a current or former state employee. The record is kept separate from the personnel or position record. Record may include:
- Copy of grievance or complaint filings & responses
  - Disciplinary Actions & Documentation
  - Investigation interviews, notes & analysis
  - Investigation support exhibits & findings
  - Comparative case and legal research & analyses
  - Case preparation and deliberative notes & commentary
  - Copies of documents contained in the personnel and/or position record

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With certain applied parameters, an employee or former employee has a right to examine their own record and may authorize others to examine their record. Ordinarily, deliberative process and related ongoing case product or material is not released.

Redaction of certain information in an employee relation record may be determined appropriate to protect the unwarranted invasion of third party rights. (*Ref: Redacted Records; Section III, F.*)

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The possessor of a record is required to consult with the DOPLR, Labor Relations unit prior to permitting access. Common possessors of an employee relation record are individuals who are assigned to a human resource office or an internal affairs unit of a particular department or agency or who exercises supervisor and/or manager authority over one or more employees. The DOPLR, Labor Relations unit also is a possessor of employee relation records.

At the full completion of an employee relation inquiry or matter, regardless of outcome, the record is regarded as a personnel record. An individual, section or unit who holds the record must comply with applicable privacy and access standards. An employee relation record is not transferred to or permanently retained at the ERU, but rather is retained by the originator and is subject to prevailing state records and archives requirements for the department or agency where the record resides.

4. Other Records Maintained.

- a. *Official.* Recruitment, application and assessment/examination records reside with a designated state hiring manager or at a Human Resource office of a particular state department or agency. Records may also reside with the Recruitment unit at the DOPLR. These official state employment records are required to be kept for not less than two years after an appointment is made to a position. For complete guidance on retention and access to these records refer to WorkPlace Alaska hiring manager guidelines or contact the DOPLR Recruitment Program.
- b. *Unofficial.* Position and personnel records reside at the Classification Section, Payroll Services Center (PSC), Professional Training and Development Program, Labor Relations unit and with other DOPLR officials. Records also may reside at a Human Resource office or an internal affairs unit of a particular state department or agency.
- c. *Business-Related.* Certain employee-specific records and information may reside at other state business offices. These are ancillary unofficial records that are kept for an essential business purpose. (*Ref: Recognition & Location of Employee-Specific Records; Addendum A*)

Control and release of employee or applicant specific records or information is subject to applicable statute, regulation or a collective bargaining unit agreement and to relevant guidance under DOPLR standard operating procedure, written policy or requested decision incidents. At minimum, position, personnel and employee relation records maintained outside the purview of the DOPLR must conform to the standards established under this SOP and to other relevant DOPLR SOP and to state record retention requirements.

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5. Records Excepted

Equal Employment Opportunity Program (EEOP) formal complaint and investigation records are not covered under this SOP. Ordinarily, EEOP records are not open to public inspection or to inspection by a current or a former state employee or an applicant for employment who has filed a complaint or who is party to a complaint. Contact the DOPLR, EEOP for specific guidance.

Workplace Alaska recruitment and hiring process records are not covered under the Employee Records SOP. Certain documents are open to public inspection and certain records are not open to inspection. Contact the DOPLR, Recruitment Program for specific guidance.

Also excepted may be other employee or employment-related records not specifically identified in this SOP. Questions about specific coverage of the SOP will be determined by the DOPLR.

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**II. Submitting Documents to Official Record**

A. Purpose

This section provides for the permanent placement of documents in the official record kept at the Employee Records Unit (ERU), Employee Planning and Information Center (EPIC), Division of Personnel & Labor Relations (DOPLR).

Additionally, this section serves guidance to other DOPLR units and sections and to a state supervisor or manager for the proper and secure retention of official or unofficial (ancillary) position, personnel and employee relation records.

B. Scope

This section applies to the content of public and private (confidential) position, personnel and employee relation records described at Record Types; Section I, D(1)(2)and(3).

Ordinarily, official documents are submitted to the ERU from other units and sections of the DOPLR and from a department or agency Human Resource office. A state supervisor, manager, employee or a particular business office of the state may have an appropriate reason to submit documents for placement in an official record. Although not absolute, the former parties typically will submit documents for placement through their department or agency human resources office or through a section of the DOPLR.

The ERU will review and determine whether a submitted document is appropriate for placement.

C. Authority

- AS 39.25 State Personnel Act
- 39.25.080 Personnel records confidential; exceptions
- 39.25.150 Scope of the rules.
- 2 AAC 07.910 Personnel Records
- 2 AAC 07.295(e), Personnel Evaluation
- ADA Title I, 42 U.S.C 12101, CFR 1630 b (1), Medical Records

D. Procedure

1. Personnel Documents

*Non-medical* record forms and documents shall be submitted to the ERU under secure cover and marked 'confidential'. Ordinarily, documents placed in the official record will be an original unless a copied document is determined to be appropriate. Documents determined as inappropriate for placement will be returned to the submitter by the ERU. Unofficial non-medical records maintained at the DOPLR, Payroll Services Center (PSC), or at a Human Resource office of a department or agency are subject to state record retention policy.

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*Medical* record forms and documents are legally required to be kept separated from a non-medical personnel record. Employee-specific medical records typically originate and are kept at the DOPLR, PSC, but also may be kept at a Human Resource office of a department or agency. At no time is it permissible for a supervisor or manager to maintain employee medical files or records.

Upon separation from state service, the entire medical file shall be submitted to the ERU. When duplicate medical files are received, the ERU may merge the files into one complete record for permanent retention at the unit. The PSC or a Human Resource office of a particular state department or agency may request a copy of a permanent medical record from the ERU when conditions provide an appropriate reason to provide the record of a rehired employee.

2. Position Documents

Position records are typically submitted from the DOPLR, Classification Section or from a department or agency Human Resource office. The ERU may accept documents from other sources if determined appropriate to place in the official record. Ordinarily, a document placed in an official record will be original or a fully legible photo or electronic copy of the original. If not found suitable for placement, the ERU will return the document to a submitter for appropriate action.

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**III. Records Access and Release**

A. Purpose

This section provides access and release requirements for public and private records kept at the Employee Records Unit (ERU), Employee Planning and Information Center (EPIC), Division of Personnel & Labor Relations (DOPLR).

Additionally, this serves guidance to DOPLR sections and units and to a department or agency Human Resource office, state business office, supervisor or manager for the secure access and release of both the official and unofficial records.

B. Scope

This section applies to the public and private (confidential) records of a current or a former employee of the State of Alaska, Executive Branch, classified or partially exempt service and to certain current or former employees of the exempt service.

C. Authority

- |   |   |
|---|---|
| AS 39.25                                    | State Personnel Act                                 |
| 39.25.080                                   | Personnel records confidential; exceptions          |
| 39.25.150                                   | Scope of the rules                                  |
| AS 23.10                                    | Employment Practices and Working Conditions         |
| 23.10.430                                   | Access to personnel files                           |
| AS 40.25                                    | Public Records Disclosures                          |
| 40.25.110                                   | Public records open to inspection and copying; fees |
| 40.25.120                                   | Public records; exceptions; certified copies        |
| 40.25.123                                   | Supervision and regulation                          |
| 40.25.124                                   | Public records disclosure; appeals                  |
| 2 AAC 07.910                                | Personnel Records                                   |
| 2 AAC 96.335 - .350                         | Public Records Denial and Appeal of Denial          |
| ADA TitleI, 42 U.S.C. 12101, CFR 1630.14 b; | Medical Records                                     |

D. Private and Public and Records

*Personnel record* is defined at *Record Types; Section I, D.1*. State law requires that personnel records, including employment applications and examinations and other assessment materials are confidential and are not available for public inspection except as follows:

- the names and position titles of all state employees;
- the position held by a state employee;
- prior positions held by a state employee;
- whether a state employee is in the classified, partially-exempt or exempt service;
- the dates of appointment and separation of a state employee;
- the compensation authorized for a state employee; and

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- Whether a state employee has been dismissed or disciplined for a violation of AS 39.25.160(l) (interference or failure to cooperate with the Legislative Budget and Audit Committee).

A current or former employee or an applicant for employment has the right to examine their own personnel record and may request another person be granted access to their record.

*Position record* is defined at *Record Types; Section I, D.2*. Ordinarily, these records are not confidential and are open to public inspection.

*Employee relation record* is defined at *Record Types; Section I, D.3*. Ordinarily, these records are confidential and are not open to public inspection. Examination by a current employee or by a former employee is guided and accomplished as provided by Section I, D.3 and/or as provided by applicable statute, regulation, court order, or collective bargaining agreement.

*Other Records Maintained* is defined at *Record Types: Section I, D.4*. Certain records are open to public inspection and certain records are not open to public inspection. Examination by a current employee or by a former employee is guided by relevant application of this SOP and/or by applicable statute, regulation, court order, or collective bargaining agreement.

#### E. Response Timeline and Fees

Records access request ordinarily will be approved and completed by not later than ten (10) work days from when the ERU received a request. Response time may vary according to the degree of difficulty to identify and compile the requested records and by the number of staff available at the unit to process a request. Requestors will receive timely notice if completing a records access request will take longer than ten (10) work days.

A fee of \$.25 per page is charged to copy requested documents open to public inspection. Actual salary and benefit costs also can be assessed for staff time necessary to complete a record search or to copy documents open to public inspection. Ordinarily, the first five (5) hours of ERU staff time will be borne by the state. Requestors will be notified in advance if actual labor cost will be assessed and an estimate of labor time and cost will be provided.

The ERU may reduce or waive fees when determined to be in the public interest. Fee reduction or waiver is to be uniformly applied among persons similarly situated. Normally, fees to recopy documents previously provided will not be waived.

#### F. Redacted Records

The release of a public or private record must be in compliance with confidentiality requirements of state and federal law or regulation. The ERU or a department or agency Human Resource office is responsible for the close review and correct redaction of released documents to ensure proper privacy conditions are met. The ERU or the Labor Relations unit of the DOPLR can provide guidance on correct document redaction.

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G. Access to Authorized Individuals

Requests for access to a public or private record(s) should be directed to the ERU and made either in person, in writing, or by phone.

Requestors may be required to complete an ‘*Authorization to Release Confidential Employee Records*’; *Addendum B*, prior to authorizing access or copying and releasing a record. Identity verification by presentation of business credentials and/ or a driver’s license or proper photo-identification may be required prior to the access or release of records.

The original access request/authorization is retained by the ERU and/or by the Human Resource office of a state department or agency. The date a record is accessed or released and the name of the person who permitted the access or release shall be recorded. Access authorization is valid for ninety (90) calendar days from the date of a signed release or another date that is specified in a release. The official release form of another state or business entity or a signed and dated letter of release may be determined a suitable alternative to the *Addendum B* form if it contains the necessary information and acknowledgments.

1. Employee and Employee Representative Access

A state employee or former state employee or applicant for employment has the right to examine their own records and may request other persons be granted access to their records. Persons include but are not only limited to:

- 1) Union official
- 2) Legislative and Judicial branch official (*AS 24.20.271(6) and AS 24.20.301(a)*)
- 3) Worker Compensation adjustor
- 4) Legal or personal representative
- 5) General public member

Authorization by a state employee, a former state employee, or an applicant for employment to release their own record to another individual is provided on the ‘*Authorization to Release Confidential Employee Records*’; *Addendum B*, on an accepted alternate official release form or by presenting an original written, dated and signed request for release. An alternate form or a written release must specify the records to be accessed and must contain a statement that releases the record keeper from any liability which may arise from permitting such release.

A photocopy of a signed release is acceptable only if the release specifically states a photocopy carries the full release authority of the signed original.

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2. Routine Business Access

2 AAC 07.910(1) provides for the authorization of routine records access to those individual state employees or agents who require regular business access to perform their normal position duties and responsibilities. An employee or agent who requires regular business access is required to sign a non-disclosure of confidentiality and the Director of the Division of Personnel & Labor Relations or an official designee of the Director must authorize the access. Ordinarily, approval is limited to the staff of:

- Division of Personnel & Labor Relations
- Department or agency Human Resources Office
- Other divisions within the Department of Administration whose director or the HR official of the department or agency has certified there is a legitimate business need for routine access

Authorization is obtained on the '*Employee Records – Business Access Request & Authorization*'; *Addendum C*. The form is completed and signed by a requestor and, where applicable, authorized by the requestor's department or agency Human Resource office and is sent to the ERU for final approval. The ERU retains the original authorization and a copy is provided to the requestor and to other authorizers on the form.

3. Restricted Business Access

Certain state or federal agencies or official(s) of such agencies may be authorized restricted records access by provision of 2 AAC 07.910(c) or by another state or federal statute or regulation. Examples include but are not only limited to:

- Division of Employment Security, Department of Labor & Workforce Development
- Division of Child Support Enforcement, Department of Revenue
- Child Support Enforcement division or agency of another state
- Alaska Human Rights Commission
- Equal Employment Opportunity Program, Department of Administration
- Legislative Audit
- Federal Bureau of Investigations (FBI)

Record access authorization is obtained on the '*Employee Records – Business Access Request & Authorization*'; *Addendum C*. The form is completed and signed by a requestor and, where applicable, authorized by the requestor's department or agency Human Resource office and is sent to the ERU for final approval. The ERU retains the original authorization and a copy is provided to the requestor and to authorizers of the form.

4. Court Ordered Access

A court order or subpoena issued by competent authority to the DOPLR or to another department, division or agency of the state may be sufficient to authorize the release of personnel records provided, the subpoena or court order is accompanied by a '*Authorization*

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*to Release Confidential Employee Records’; Addendum B*, or by a written and signed release(s) of the current or a former state employee(s). Upon the receipt of a court order or subpoena for records, the DOPLR, Labor Relations unit shall be consulted to determine the method and propriety for release.

Personnel record(s) released under this subsection must comply with the privacy (confidentiality) requirements of state and federal law and/or applicable regulation. The ERU or a department or agency Human Resource office is responsible for the close review and appropriate redaction of released records to ensure proper privacy is maintained (*Ref: Redacted Records, Section III, F.*). Care must be taken to ensure the record(s) release fully complies with but does not exceed the stated requirements of the court order or subpoena.

Unless specifically barred from doing so by the court order or subpoena, the ERU or the department or agency Human Resource official will make reasonable effort to provide a current or former state employee named in a court order or subpoena with a general description of the record(s) that was released and the date of the release. The ERU or a department or agency Human Resource official will maintain a copy of the court order or subpoena and will document the date the record(s) was released.

#### H. Denied Access to Records

Denial of a written request to access a record must be issued in writing by the ERU or by the record possessor. A denial letter must identify the statute, regulation, or court decision that supports the denial and be dated and signed by the Director, a person who is delegated by the Director to issue the denial, or by an individual in a department or agency who has specific authority to deny a request on behalf of that department or agency. A record identified in a denied access request shall not be destroyed or transferred from the custody of the possessor unless the record is transferred to state archives and records according to an approved records retention schedule.

If record access is denied because a record could not be located, but is believed to exist, the record possessor will continue to search until the record is located or until it appears the record is not in possession. The requestor will be periodically updated on progress of a search.

Denied access to record(s) requires the denied party to have right of appeal. An appeal shall be submitted in writing to the Director of the Division of Personnel & Labor Relations and must be signed and dated by the appealing party. An appeal must specifically state the basis and legal fact(s) to support the request and must enclose a copy of the initial written denial and any written follow up to the initial denial.

Ordinarily, the Director will issue a written determination within ten (10) work days of receiving an appeal. The decision of the Director may be appealed in writing to the Commissioner of the Department of Administration and must be filed by not later than sixty (60) work days from the postmarked date of the Director’s written denial. The decision of the Commissioner is final. Judicial appeal of the final determination may be pursued under AS 45.25.124; Public Records Disclosure; Appeals.

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## STATE OF ALASKA RECOGNITION & LOCATION OF EMPLOYEE-SPECIFIC RECORDS

Official personnel and position records for a current or a former state employee of the Executive Branch are permanently on file at the Division of Personnel & Labor Relations (DOPLR), Employee Records Unit (ERU), Employee Planning and Information Center. Personnel, position, employee relation, training and development, time and attendance and pay records may also exist at other DOPLR units or at a Human Resource office or with a supervisor or manager at a particular department or agency. Moreover, employee-specific records that are necessary to an essential business purpose may exist at other state business locations. Records kept outside purview of the DOPLR are not subject to direct access, security or control of the division but they are subject to the access, security and control of applicable state or federal statute, regulations, or administrative policy.

When responding to a written request for access, the ERU will ensure proper authority is in place to release or to approve the release of confidential record(s) and will make good faith effort to identify all relevant record(s) that exist both within and outside of the DOPLR.

Following is a prospective list and location of employee-specific records that may be kept outside of the DOPLR. Based on applicable circumstances, a current or a former employee may not have each record listed.

<i><u>Type of Record</u></i>	<i><u>Location of Record</u></i>
Employee Travel & Per Diem Record	Administrative Services division of any department or agency.
Recruitment, Application & Hiring Assessment Record	Human Resource office, specialized recruitment unit or hiring manager at any department or agency.
Pre/Post Employment Background Investigation	Human Resource office or specialized recruitment unit of the departments of Public Safety, Corrections, Transportation & Public Facilities or any other state department or agency required to conduct pre/post-employment background check.
Employee Training Record	Human Resource office, safety office or a specific program at any department or agency.
Retirement & Employment Benefit Record	Division of Retirement & Benefits (DOA).
Employee Emergency Contacts, Oaths & Affidavits & Wage/Travel/Basic & Optional Insurance Beneficiaries	Division of Finance, Payroll Operations (DOA)
Workplace Injury or Illness Report & & Wage/Travel/Basic & Optional Insurance Beneficiaries	Division of Risk Management (DOA). Administrative Services division, Human Resource office or safety office at any department or agency.
ADA Workplace Accommodation Record	State ADA Coordinator Office (DOA). Designated ADA Coordinator at any department or agency. Human Resource office or specialized recruitment unit at any department or agency.



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AUTHORIZATION TO
RELEASE CONFIDENTIAL
EMPLOYEE RECORDS

I hereby authorize the Division of Personnel & Labor Relations, Employee Records Unit, to release or to approve the release of confidential records maintained by the State of Alaska, as disclosed on the reverse (page 2 of 2) and as specified below.

[ ] ALL RECORDS (to include, personnel, performance, training, instruction, discipline, pay, attendance)

[ ] ONLY THE FOLLOWING RECORDS:

\_\_\_\_\_  
\_\_\_\_\_

Record Examples: employment application, performance, pay, attendance, medical, job accommodation, training, travel, work injury/illness, etc. (See: reverse (Page 2 of 2))

Sample Only.

Access HR forms

online at

http://doa.alaska.gov/dop/resources/hrForms/

RELEASE TO:

Name

Phone(s)

Mailing Address

Email Address

City

State

Zip

ACKNOWLEDGEMENT: I understand, had I not authorized this release, my employee records contain certain confidential information that is private and protected from disclosure under AS 39.25.080 and Personnel Regulation 2 AAC 07.910. Further, by signing this authorization, I am releasing the state record holder(s) from all liability that may arise from the information disclosure. This authorization remains in effect for ninety (90) calendar days from the date signed.

Authorizer: Print Name (First, Last, MI)

Employee ID or SSN

Daytime Phone

Email

Authorizer: Signature

Date

**STATE OF ALASKA  
RECOGNITION & LOCATION  
OF EMPLOYEE-SPECIFIC  
RECORDS**

Official personnel and position records for a current or a former state employee of the Executive Branch are permanently on file at the Division of Personnel & Labor Relations (DOPLR), Employee Records Unit (ERU), Employee Planning and Information Center. Personnel, position, employee relation, training and development, time and attendance and pay records may also exist at other DOPLR units or at a Human Resource office or with a supervisor or manager at a particular department or agency. Moreover, employee-specific records that are necessary to an essential business purpose may exist at other state business locations. Records kept outside purview of the DOPLR are not subject to direct access, security or control of the division but they are subject to the access, security and control of applicable state or federal statute, regulations, or administrative policy.

When responding to a written request for access, the ERU will ensure proper authority is in place to release or to approve the release of confidential record(s) and will make good faith effort to identify all relevant record(s) that exist both within and outside of the DOPLR.

Following is a prospective list and location of employee-specific records that may be kept outside of the DOPLR. Based on applicable circumstances, a current or a former employee may not have each record listed.

<u><i>Type of Record</i></u>	<u><i>Location of Record</i></u>
Employee Travel & Per Diem Record	Administrative Services division of any department or agency.
Recruitment, Application & Hiring Assessment Record	Human Resource office, specialized recruitment unit or hiring manager at any department or agency.
Pre/Post Employment Background Investigation	Human Resource office or specialized recruitment unit of the departments of Public Safety, Corrections, Transportation & Public Facilities or any other state department or agency required to conduct pre/post-employment background check.
Employee Training Record	Human Resource office, safety office or a specific program at any department or agency.
Retirement & Employment Benefit Record	Division of Retirement & Benefits (DOA).
Employee Emergency Contacts, Oaths & Affidavits & Wage/Travel/Basic & Optional Insurance Beneficiaries	Division of Finance, Payroll Operations (DOA)
Workplace Injury or Illness Report & & Wage/Travel/Basic & Optional Insurance Beneficiaries	Division of Risk Management (DOA). Administrative Services division, Human Resource office or safety office at any department or agency.
ADA Workplace Accommodation Record	State ADA Coordinator Office (DOA). Designated ADA Coordinator at any department or agency. Human Resource office or specialized recruitment unit at any department or agency.





STATE OF ALASKA
EMPLOYEE RECORDS – BUSINESS ACCESS
REQUEST & AUTHORIZATION

Routine Business Access

In the course of employment with the State of Alaska, my job duties require my routine business access to confidential records maintained in the Division of Personnel & Labor Relations.

Note: Approved routine business access will remain in effect until the requestor no longer holds the position (PCN) shown under Acknowledgment or until the requestor no longer holds a position that is assigned to the Confidential Employees Unit.

Limited Business Access

In the course of employment with the State of Alaska, the regular job duties of the individual named in the Acknowledgment require him/her to have limited business access to confidential records maintained in the Division of Personnel & Labor Relations, as further explained in the sections below.

Note: Limited business access will expire ninety (90) calendar days from the date approved, unless an alternate date is specified in 'Business Purpose'.

Specific Records to be Accessed:

Business Purpose for the Requested Access:

Sample Only.
Access HR forms
online at
http://doa.alaska.gov/dop/resources/hrForms/

ACKNOWLEDGMENT

I understand approved business access will grant access to certain confidential information that is otherwise protected from disclosure under AS 39.25.080 and Personnel Regulation 2 AAC 07.910.

Further, I understand AS 39.25.900(a) provides that a willful violation of confidentiality requirements imposed by AS 39.25.080 and/or Personnel Regulations 2 AAC 07.910 constitutes a misdemeanor and AS 39.25.900(b) provides that upon conviction a state employee immediately forfeits his or her office or position.

I certify that I have read and will comply with the applicable statutes and regulations reiterated on the reverse (page 2 of 2) of this authorization form and with all prevailing conditions, policy or procedure that may apply to access records.

Requestor: Print (First, Last, MI) Department or Agency Daytime Phone
Job Title & PCN Requestor: Signature Date

AUTHORIZATION

Signature: Department or Agency/HR Authorizer (if applicable) Date
Signature: Authorized Approver; Division of Personnel & Labor Relations Date

**STATE OF ALASKA**  
**EMPLOYEE RECORDS – BUSINESS ACCESS**  
**REQUEST & AUTHORIZATION**

**Alaska Statute 39.25.080**

Sec. 39.25.080. Personnel records confidential; exceptions.

- (a) State personnel records, including employment applications and examination and other assessment materials, are confidential and are not open to public inspection except as provided in this section.
- (b) The following information is available for public inspection, subject to reasonable regulations on the time and manner of inspection:
  - (1) the names and position titles of all state employees;
  - (2) the position held by a state employee;
  - (3) prior positions held by a state employee;
  - (4) whether a state employee is in the classified, partially exempt, or exempt service;
  - (5) the dates of appointment and separation of a state employee;
  - (6) the compensation authorized for a state employee; and
  - (7) whether a state employee has been dismissed or disciplined for a violation of AS 39.25.160 (l) (interference or failure to cooperate with the Legislative Budget and Audit Committee).
- (c) A state employee has the right to examine the employee's own personnel files and may authorize others to examine those files.
- (d) An applicant for state employment who appeals an examination score may review written examination questions relating to the examination unless the questions are to be used in future examinations.
- (e) In addition to any access to state personnel records authorized under (b) of this section, state personnel records shall promptly be made available to the child support services agency created in AS 25.27.010 or the child support enforcement agency of another state. If the record is prepared or maintained in an electronic data base, it may be supplied by providing the requesting agency with access to the data base or a copy of the information in the data base and a statement certifying its contents. The agency receiving information under this subsection may use the information only for child support purposes authorized under law.

**Alaska Statute 39.25.900**

Sec. 39.25.900. Penalties.

- (a) A person who willfully violates a provision of this chapter or of the personnel rules adopted under this chapter is guilty of a misdemeanor.
- (b) A state employee who is convicted of a misdemeanor under this chapter or the personnel rules adopted under this chapter immediately forfeits the employee's office or position.

**2 AAC 07.910. Personnel records**

- (a) This section applies to the records of applicants for state employment and to the employment records of current and former classified and partially exempt employees.
- (b) As provided in AS 39.25.080, the following information, if available, is open for public inspection:
  - (1) names and position titles of all state employees;
  - (2) the position held by a state employee or a former employee;
  - (3) the prior positions held by a state employee;
  - (4) whether the employee or former employee is, or was, in the classified, partially exempt, or exempt service;
  - (5) the dates of appointment and separation of a state employee; and
  - (6) the compensation authorized for a current state employee.
- (c) All other records of applicants for employment and employees in the classified and partially exempt service, including applications and resumes, are confidential and will be released only under the following conditions:
  - (1) to a state agency, for personnel related activities; the director shall establish and maintain a list of state officials and employees whose duties require the use of state personnel records; those state officials and employees on the list will be granted access to personnel records for use in connection with activities related to the state system of personnel administration; the state official or employee who requests information must sign an agreement that confidential information will not be released or made public;
  - (2) to the child support services agency created under AS 25.27.010 or the child support agency of another state; the custodian of a state personnel record, in the custodian's discretion, shall request identification to verify that the person requesting the record is authorized by statute to receive the record; if satisfied that the person requesting the record is authorized by statute to receive the record, the custodian shall promptly make the record available;
  - (3) to a state agency for any other purpose; information maintained in personnel records will be released upon receipt of a written authorization from the employee, former employee, or applicant for employment whose records are requested; if no such authorization is submitted, personnel records will be released to other state officials and employees who are authorized by statute to review such state documents, upon receipt of a subpoena issued by competent authority and the execution of an agreement that confidential information will not be released or made public;
  - (4) to the public, upon receipt of a written authorization from the employee, former employee, or applicant for employment whose records are requested, or upon receipt of an order of a court of competent jurisdiction;
  - (5) a request for records not covered by paragraphs (1) - (4) of this subsection will be addressed to the director; the director or director's designee shall review the request and may approve the release of information if that release would be in the best interests of the state and can be accomplished without violation of the employee's, former employee's, or applicant's right to privacy.