

	State of Alaska Department of Corrections Policies and Procedures		Index #: 202.09	Page 1 of 4		
			Effective: 4/23/2014			Reviewed:
			Distribution: Public	Due for Rev: 4/2018		
	Chapter:	Personnel				
Subject:	Personnel Records Within Operation Units					

I. AUTHORITY:

In accordance with 22 AAC 05.155, the Department of Corrections will establish and maintain a manual of policies and procedures to interpret and implement the statutory and regulatory duties of the Department.

II. REFERENCE:

Alaska Statutes:

39.25.080

Alaska Administrative Code:

2 AAC 07.910

III. PURPOSE:

It is the policy of the Department of Corrections to maintain personnel records in the official files maintained by the Division of Personnel & Labor Relations (DOPLR) in accordance with the Standard Operating Procedure No. 6. This policy is to address Supervisory/Institution files and Employee Relation Files maintained within the Department of Corrections.

IV. APPLICATION:

To all employees of the department and especially to those employees responsible for the maintaining of employee information for recruitment, training, performance and other official employee activities within operational units.

V. DEFINITIONS:

- A. **Supervisory/Institutional File:** A single personnel record maintained within the Department of Corrections by a supervisor or unit manager.
- B. **APSC Training File:** A single personnel record maintained within the Department of Corrections at the Training Academy under regulation by the Alaska Police Standards Council.
- C. **Recruitment File:** Recruitment documentation of a position(s) maintained by the hiring manager and/or the Human Resource Section.
- D. **Employee Relation Record:** A personnel record defined by DOPLR SOP No. 6 which is maintained with the Department of Corrections Human Resources Office.

Effective Date:	Index #:	202.09	Page: 2 of 4
Subject:	Personnel Records Within Operational Units		

VI. POLICY:

It is the policy of the Department of Corrections to maintain personnel records in the employee's official files maintained by the Division of Personnel and Labor Relations of the Department of Administration (DOPLR).

VII. PROCEDURES:

A. File Maintenance

All Personnel Records, as defined by the DOPLR Standard Operating Procedure will be forwarded to the appropriate section within DOPLR to be placed in the applicable file. Upon confirmation of receipt from DOPLR, the Department of Corrections will securely destroy its copy. The following are exceptions:

1. Medical Information:

- a. The Department of Corrections will forward all medically-related personnel information and documents to the official medical file within the Payroll Services Center (PSC).
- b. Upon confirmation of receipt, the Department's copy may be securely destroyed. It is not permissible for the supervisor or unit manager to maintain a separate medical file.
- c. All requests for reasonable accommodations under Title I of the American with Disabilities Act will be forwarded to, and maintained by, the ADA Coordinator.

2. Supervisory/Institutional File:

- a. Information in the supervisory file includes examples of performance and is generally used to prepare the annual or interim performance evaluations.
- b. The file will be maintained under lock & key by the unit manager or supervisor.
- c. Upon transfer or movement within the Department, the supervisory file will be forwarded (electronically or by mail as appropriate) to the new supervisor.
- d. Upon separation from the Department, the manager must maintain the file for two-years after date of separation.
- e. Examples of items to be contained in the Supervisory File include, but are not limited to:
 - i. Copies of new-hire/onboarding information and forms as applicable;
 - ii. Current position description;
 - iii. Current completed evaluation report;
 - iv. Previous completed evaluation reports while in position;
 - v. Correspondence and/or notations relating to performance between evaluation reports;
 - vi. Letters/memos of praise, thanks, commendations;
 - vii. Letters of discipline;
 - viii. Examples of work products;

Effective Date:	Index #:	202.09	Page: 3 of 4
Subject:	Personnel Records Within Operational Units		

ix. Training.

- f. Supervisory files are open to inspection by the employee, or designee, as defined by the applicable Collective Bargaining Agreement or under 2 AAC 07.910.

3. APSC Training File:

- a. Training files required by APSC regulations shall be maintained with the Department's Training Academy.
- b. Upon leaving the Department of Corrections, the employee's APSC Training file must be maintained as required by APSC regulations.

4. Recruitment Files:

- a. The hiring manager is required to maintain records related to recruitment of a position(s) for a minimum of two years.
- b. Files maintained in accordance with regulations under the Alaska Police Standards Council will be maintained by the Human Resource Office or designee. All files related to the recruitment and background check of an APSC candidate will promptly be forwarded to the Recruitment section of DOC Human Resources.

5. Employee Relations File:

- a. All employee relation records as defined by DOPLR SOP No. 6 will be maintained by the DOC Human Resource Manager or designee. Employee relation records may include:
- i. Union grievances or complaints, and applicable responses;
 - ii. Disciplinary actions and supporting documentation;
 - iii. Investigation information, notes, and analysis;
 - iv. Comparative case research, and legal research analysis;
 - v. Deliberative notes and documentation.

B. File Access:

1. Confidentiality:

- a. All employment records are confidential under AS 39.25.080.
- b. Records releases must be in compliance with the appropriate collective bargaining agreement or 2 AAC 07.910.
- c. All records shall be maintained in accordance with HB 165.
- d. The area where records are stored shall be adequately secured by locking devices to prevent unauthorized entry. The records shall be stored in cabinets except during preparation, assembly, and review of material.

2. Records Review:

- a. Actual operating procedure for accessing records will be established by each unit manager. Procedures are to include the following:
- i. Reviews of the supervisory file should be conducted under visual observation of an employee designated by the unit manager.

Effective Date:	Index #:	202.09	Page: 4 of 4
Subject:	Personnel Records Within Operational Units		

- ii. If the review reveals a need to update information (e.g., recently completed educational or training courses, awards, or special achievements), the unit manager shall update the file accordingly.
 - iii. An employee may contest information contained within the supervisory file, in writing to the unit manager. The unit manager shall respond in writing within 10 working days.
3. Records Requests:
- a. Supervisory Files
 - i. Employees may make a written request for a copy of their supervisory file from the supervisor or unit manager.
 - ii. The supervisor or unit manager shall have a reasonable amount of time to produce a copy and shall note in the file the date a copy was provided.
 - iii. Union requests for the supervisory file will be made through the Human Resource Manager.
 - b. Employee Record Files
 - i. Employee and/or union requests for copies or production of an Official Personnel, Medical, or Payroll file should be made in writing to the Department of Administration, DOPLR Employee Records Unit.
 - ii. Employee or union requests for production of employee relations records or files shall be made to DOPLR Employee Records Unit.
 - c. Other requests: Requests for personnel information or files by individuals or entities other than the employee themselves shall be forwarded to the Human Resources Manager, who will forward the request to DOPLR Employee Records Unit.

VIII. IMPLEMENTATION:

This policy and procedure is effective upon being signed by the Commissioner. Each Manager shall incorporate the directions outlined in this document into local procedures. All Standard Operating Procedures must conform to these directions.

4/23/2014

 Date

signature on file

 Joseph D. Schmidt, Commissioner
 Department of Corrections