



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
DEPARTMENT WIDE

REVISION DATE
11/1/13

PAGE NUMBER
1 of 5

NUMBER
DOC 800.005

POLICY

TITLE
PERSONNEL FILES

REVIEW/REVISION HISTORY:

- Effective: 7/1/83 DOC 804.005
- Revised: 10/1/85
- Revised: 11/1/88
- Revised: 11/15/93
- Revised: 7/23/99
- Revised: 12/27/05 DOC 800.005
- Reviewed: 2/15/07
- Revised: 4/3/08
- Revised: 3/11/09
- Revised: 12/28/09
- Revised: 1/18/11
- Revised: 11/1/13

SUMMARY OF REVISION/REVIEW:

Adjusted policy applicability to include represented employees
 Policy statement I. - Added content on collective bargaining agreements
 I.A., III.C., and IV.A.3. & B.2. - Added clarifying language
 II.A. - Removed language for clarification
 Added III.D. on disclosing available information on sexual misconduct to institutional employers seeking employment verification
 V.A. - Removed form usage


APPROVED:

Signature on file

BERNARD WARNER, Secretary
 Department of Corrections

9/20/13

 Date Signed

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REFERENCES:


DOC 100.100 is hereby incorporated into this policy; [RCW 42.56.250](#); [WAC 357-22](#); [ACA 4-4067](#); [ACA 4-4068](#); [ACA 7E-11](#); [ACA 7E-12](#); [DOC 280.510 Public Disclosure of Records](#); [DOC 890.200 Employee Occupational Health Records](#); Collective Bargaining Agreements; PREA Standards 115.17(h) and 115.217(h)

POLICY:

- I. [4-4067] [7E-11] A current and accurate personnel file will be retained for each employee, showing a record of employment and other information which may be required for business and legal purposes. Department personnel files will be established, maintained, accessed, and disposed of per WAC 357-22 and/or the provisions of applicable collective bargaining agreements. For represented employees, collective bargaining agreements will prevail if this policy is determined to be in conflict.
- II. Personnel files will follow employees throughout their employment with the State of Washington.
- III. [4-4067] [7E-11] Information obtained as part of an injury and/or a required medical examination regarding an employee/applicant's medical condition or history will be collected and maintained on separate forms and in separate medical files, and treated as a confidential medical record per DOC 890.200 Employee Occupational Health Records.


DIRECTIVE:

- I. Responsibility
 - A. The Appointing Authority is designated as the Records Custodian of personnel files for employees in Department facilities and offices under their authority. The Human Resources Director will manage the maintenance, retention, and protection of personnel files.
- II. Availability
 - A. Employees will have reasonable opportunity to review their personnel files upon request.
 1. With proof of identification, employees may examine their personnel file in the presence of the Records Custodian/designee.
 2. Employees will be furnished a copy of all performance related information placed in their personnel files. A reproduction fee may be charged for any additional copies of these materials.

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III. Confidentiality

- A. The confidentiality of the personnel file will be preserved to the extent possible under the state's public disclosure law. [4-4067] [7E-11]
- B. Some information contained in employee personnel files may be disclosable.
 1. Information subject to public disclosure will be managed per DOC 280.510 Public Disclosure of Records. Employees will be notified of any requests for disclosure of information from their file prior to the disclosure.
 2. The following types of information commonly found in personnel files are specifically exempted from disclosure:
 - a. Residential addresses and telephone numbers, Social Security numbers, information regarding spouses/state registered domestic partners or children, and other personal information regarding employees as listed in RCW 42.56.250(3).
 - b. Job applications, résumés, and other related materials.
- C. Only authorized individuals will have access to personnel files.
 1. In addition to the employee him/herself, the following are authorized access to personnel files:
 - a. The employee's representative, with written authorization from the employee. The authorization will be retained in the employee's personnel file.
 - b. Official representatives of government agencies (e.g., Office of Financial Management's State Human Resources Director, Attorney General's Office personnel, State Auditor, Federal Auditor, Equal Employment Opportunity Commission, and Human Rights Commission Investigators) with legal authorization to review personnel files for specific purposes.
 - c. Department supervisors and managers in the employee's direct chain of command.
 - d. Supervisors and managers employed by the State of Washington considering the employee for a position.
 - e. Other Department personnel whose duties require access to the files.

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2. After access has been approved by the Records Custodian/Human Resources Manager/designee, an entry must be made on DOC 03-033 Personnel File Access, located in the personnel file. Exceptions to this process include access by:
 - a. Appropriate Human Resources personnel,
 - b. The designated Records Custodian/designee,
 - c. Payroll representatives required to access files in the performance of their duties, and
 - d. The employee.

D. To the extent possible, institutional employers seeking employment verification will be provided all available information on substantiated allegations of sexual misconduct or harassment.

1. Employment verification requests from institutional employers will be directed to the Appointing Authority, who will coordinate the review and response.


IV. Information in the Personnel File

A. Personnel files will contain 4 sections:

1. Section 1 - Personnel action information,
2. Section 2 - General employment information,
3. Section 3 - Policy acknowledgments and other personal information related to employment, and
4. Section 4 - Job performance and development information.

B. Information in the personnel file relating to employee misconduct must be maintained per WAC 357-22.

1. Generally, information placed in a personnel file will remain, but the employee's Appointing Authority may authorize the removal of material from the file if determined appropriate. [4-4068] [7E-12]
2. Material in personnel files relating to employee misconduct will be removed and destroyed if the employee is exonerated or the Appointing Authority determines the information is false, unless the employee requests the information be kept or there is related legal action pending, in which case the material will be maintained in an administrative file. [4-4068] [7E-12]
3. Material relating to employee misconduct in the performance of official duties will be maintained per the Records Retention Schedule.

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Employees may request it be removed and destroyed at the conclusion of the retention period, but the Department reserves the right to retain the information if it has a reasonable bearing on the efficient and effective management of the Department.

- C. [4-4068] [7E-12] Employees contesting information in their personnel file may submit rebuttals or refuting documentation to the Records Custodian for placement in their personnel file. Such rebuttals will be attached to the related document(s).

V. Records Maintenance

- A. Office of Financial Management form [OFM 12-048 Employee Personnel Records Transmittal](#) will be used to transfer personnel files to follow an employee throughout his/her state employment.
 - 1. When an employee moves between organizational units within the Department, the former unit will complete the form and forward it and the file to the receiving unit.
- B. Criminal history documents specific to Department of Corrections employment will be archived soon after an employee separates from the Department.
 - 1. Criminal history documents will be kept in folders separate from the personnel files.
- C. When an employee separates from state service, the form and file contents will be archived.
- D. Personnel files will be handled per the Records Retention Schedule.

DEFINITIONS:

The following words/terms are important to this policy and are defined in the glossary section of the Policy Manual: Institutional Employer. Other words/terms appearing in this policy may also be defined in the glossary.

ATTACHMENTS:

None

DOC FORMS:

[DOC 03-033 Personnel File Access](#)