

 <p>ARIZONA DEPARTMENT OF CORRECTIONS</p> <p>DEPARTMENT ORDER MANUAL</p>	<p>CHAPTER: 500</p> <p>PERSONNEL/HUMAN RESOURCES</p>	<p>OPR:</p> <p>SS D</p>
	<p>DEPARTMENT ORDER: 507</p> <p>EMPLOYEE RECORDS</p>	<p>SUPERSEDES:</p> <p>DO 507 (9-1-96)</p>
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PURPOSE

The Department maintains authorized personnel files at Central Office Human Resources and institution Human Resources offices. As a condition of employment, employees are required to provide their name, address, telephone number and other personal information. This Department Order identifies authorized personnel files and provides guidelines for content and access. Any personnel records other than those identified in this Department Order are unauthorized.

APPLICABILITY

This Department Order applies to all Department employees, except for volunteers and contract employees.

PROCEDURES

507.01 PERSONNEL FILES

1.1 Content of Authorized Personnel Files

1.1.1 Central Office Personnel File and Institution Personnel Files – When applicable, each of these files shall contain copies, or originals if specified, of the following:

1.1.1.1 A copy of the job application or resume for the employee's current permanent position. The original application or resume shall be retained in the Central Office Personnel File.

1.1.1.2 Completed performance appraisal score forms and documentation, including reports contained in files forwarded by an agency from which employees have transferred.

1.1.1.3 Personnel/Payroll Actions documenting authorized changes in:

1.1.1.3.1 Employment status.

1.1.1.3.2 Position.

1.1.1.3.3 Classification.

1.1.1.3.4 Pay.

1.1.1.3.5 Deductions.

1.1.1.3.6 Leave status.

1.1.1.3.7 W-4 forms, if applicable.

1.1.1.4 Any letters of commendation or awards, as determined by the Director, the Deputy Director or any of the following:

1.1.1.4.1 Division Directors.

1.1.1.4.2 Bureau Administrators.

1.1.1.4.3 Wardens.

- 1.1.1.4.4 Deputy Wardens.
- 1.1.1.5 Letters of reprimand and any other documentation acknowledging receipt of disciplinary communications and any objections filed by the employee.
- 1.1.1.6 A copy of the employee’s COTA Graduation Certificate.
- 1.1.1.7 A signed, original Employee Handbook Receipt, Form 511-1.
- 1.1.2 Performance Appraisal for Correctional Employees (PACE) Files – PACE files shall contain copies of the following relating to the current rating period:
 - 1.1.2.1 The Factor Rating Sheets.
 - 1.1.2.2 Documentation or communications supporting favorable or unfavorable comments contained in PACE Forms.
 - 1.1.2.2.1 The employee’s response to comments, if any, shall also be included.
 - 1.1.2.3 The Professional Development Plan (PDP), Form 514-15.
- 1.2 Access to Files
 - 1.2.1 Central Office Personnel Files - Personnel files for covered and uncovered employees are confidential and access shall be limited to the following circumstances:
 - 1.2.1.1 Employees shall have access to their own personnel files, by appointment, and in the presence of the Human Resources Operations Administrator or designee.
 - 1.2.1.2 The following individuals and their designees shall have access to personnel files when required in the performance of their official duties, and when appropriate identification is provided:
 - 1.2.1.2.1 Director.
 - 1.2.1.2.2 Deputy Director.
 - 1.2.1.2.3 Division Directors.
 - 1.2.1.2.4 Employee Relations Officer.
 - 1.2.1.2.5 Equal Opportunity Coordinator.
 - 1.2.1.2.6 Employee Grievance Coordinator.
 - 1.2.1.2.7 Department's representative to the Correctional Officer Retirement Plan (CORP) Local Board.
 - 1.2.1.2.8 Administrative Investigations Unit (AIU) and Criminal Investigation Unit (CIU) Administrators.
 - 1.2.1.2.9 Human Resources Bureau employees.

- 1.2.1.2.10 Human Resources Liaisons.
- 1.2.1.2.11 Assigned Department staff or other officials acting in response to court orders or subpoenas.
- 1.2.1.2.12 Any person assisting in the defense of a lawsuit involving the employee.
- 1.2.1.2.13 Officials (hiring authorities) of a State agency to which the employee has applied.
- 1.2.1.3 The following individuals may access an employee's personnel files, but are restricted to those areas required to address a specific need only in the presence of the Human Resources Operations Administrator or designee.
 - 1.2.1.3.1 Investigators and other personnel assigned to AIU or CIU regarding an authorized investigation. These individuals may have copies of documents made for investigative purposes.
 - 1.2.1.3.2 Audit Unit staff, regarding authorized audits requiring file access.
 - 1.2.1.3.3 First and second-level supervisors for records of employees under their supervision.
 - 1.2.1.3.4 Potential supervisors of employees whose names appear on a hiring or transfer list.
 - 1.2.1.3.5 Wardens, Deputy Wardens, and Bureau Administrators for records of employees under their supervision.
- 1.2.2 Institution Personnel Files
 - 1.2.2.1 The following individuals shall have access to an employee's institution personnel file:
 - 1.2.2.1.1 The employee and/or the employee's first and second-level supervisors, by appointment, and in the presence of the Human Resources Liaison or the Human Resources Operations Administrator or designee.
 - 1.2.2.1.2 Director.
 - 1.2.2.1.3 Deputy Director.
 - 1.2.2.1.4 Division Directors.
 - 1.2.2.1.5 Inspector General.
 - 1.2.2.1.6 Employee Relations Officer.
 - 1.2.2.1.7 AIU and CIU Administrators.
 - 1.2.1.2.5 Equal Opportunity Coordinator.

- 1.2.2.1.9 Employee Grievance Coordinator.
- 1.2.2.1.10 Human Resources Bureau employees.
- 1.2.2.1.11 Human Resources Liaisons.
- 1.2.2.1.12 Wardens, Deputy Wardens or Bureau Administrators, for records of employees under their supervision.
- 1.2.2.2 The following individuals may access an employee’s institution personnel file, but are restricted to those areas required to address a specific need only in the presence of the Director, Deputy Director, Division Director, Human Resources Operations Administrator, or Human Resources Liaison:
 - 1.2.2.2.1 Potential Department supervisors or supervisors from another State agency, for records of employees appearing on a hiring or transfer list.
 - 1.2.2.2.3 Investigators and other personnel assigned to AIU or CIU, regarding an authorized investigation. These individuals may have copies made of documents for investigative purposes.
 - 1.2.2.2.4 Audit Unit staff regarding authorized audits requiring file access.
- 1.2.3 PACE Files - The following individuals have access to an employee’s PACE file:
 - 1.2.3.1 Director.
 - 1.2.3.2 Deputy Director.
 - 1.2.3.3 Division Directors or their designees.
 - 1.2.3.4 Inspector General.
 - 1.2.3.5 Employee Relations Officer.
 - 1.2.3.6 Inspector General Operations Administrator.
 - 1.2.3.7 Equal Opportunity Coordinator.
 - 1.2.3.8 Employee Grievance Coordinator.
 - 1.2.3.9 Human Resources Bureau employees.
 - 1.2.3.10 Human Resources Liaisons.
 - 1.2.3.11 Wardens, Deputy Wardens or Bureau Administrators, for records of employees under their supervision.
 - 1.2.3.12 Potential supervisors from the Department or other State agencies, for records of employees appearing on a hiring or transfer list.
 - 1.2.3.13 The employee's supervisor and second-level supervisor (reviewer).

- 1.2.3.14 Investigators assigned to AIU or CIU, regarding an authorized investigation. These individuals may have copies made for investigative purposes.
 - 1.2.3.15 Audit Unit staff regarding authorized audits requiring file access.
 - 1.2.3.16 The employee, by appointment and in the presence of the supervisor.
- 1.3 Maintenance/Removal of Documents - The Human Resources Operations Administrator, Deputy Director, Division Directors, Bureau Administrators or their designees, Human Resources Liaisons and supervisors shall ensure:
- 1.3.1 Authorized personnel files are current and accurate.
 - 1.3.2 Documents are not placed into authorized personnel files unless copies of the documents are forwarded to the employee or the employee's signature appears on the document, approving the documents' personnel file placement.
 - 1.3.3 Authorized personnel files are not removed from their approved locations without prior authorization from the Human Resources Operations Administrator.
 - 1.3.3.1 Employees shall not remove their own personnel file from the file's approved location under any circumstances.
 - 1.3.4 Documents are not removed from authorized personnel files, unless authorized by the Human Resources Operations Administrator.
 - 1.3.5 Letters of Reprimand are not removed unless the original letters set a one year "pull date", in accordance with Department Order #601, Administrative Investigations and Employee Discipline.
 - 1.3.5.1 Letters of Reprimand, authorizing a "pull date", may be removed from the personnel file upon written request through the employee's chain of command to the Human Resources Operations Administrator after the "pull date" has expired.
 - 1.3.5.1.1 Direct employee requests for removal of written reprimands without the Warden's or Administrator's final approval shall not be honored.
 - 1.3.6 The following information is provided in response to a formal Public Information Request:
 - 1.3.6.1 The employee's name.
 - 1.3.6.2 Date(s) of employment.
 - 1.3.6.3 Current and previous class titles and dates received.
 - 1.3.6.4 Names and locations of current and previous agencies to which the employee is or was assigned.
 - 1.3.6.5 Current and previous salaries and dates of each change.
 - 1.3.6.6 Current or last known supervisor.
 - 1.3.7 When a personnel file is subpoenaed, Human Resources staff shall create a redacted version of the file and provide the redacted version upon Legal Services' content approval.

1.4 Employee Separations or Transfers/Transfer of Files

- 1.4.1 When an employee is separated, dismissed or resigns from the Department, the entire institutional personnel file shall be kept at the institution's Human Resources Office for a period of two years.
- 1.4.2 When an employee transfers within the Department, Human Resources staff shall maintain authorized personnel files and ensure:
 - 1.4.2.1 The Central Office personnel file remains at the Central Office.
 - 1.4.2.2 The institution personnel file is forwarded to the gaining institution within ten calendar days after transfer.
 - 1.4.2.3 The PACE file is forwarded to the new rater in accordance with Department Order #514, Performance Appraisal for Correctional Employees (PACE).
- 1.4.3 When an employee transfers to another State agency, Human Resources staff ensure authorized personnel files are processed as follows:
 - 1.4.3.1 The institution personnel file is closed and housed at the institution for a period of two years.
 - 1.4.3.2 The Central Office personnel file is transferred to the gaining agency within ten calendar days after the employee's transfer.
 - 1.4.3.3 The PACE file is sent to the Human Resources Operations Unit by the Human Resources Liaison for forwarding to the new agency.

507.02 EMPLOYEE HOME ADDRESS AND TELEPHONE NUMBER RECORDS

1.1 Submitting Employee Information

- 1.1.1 New employees and employees with personal and/or work-related information changes shall provide within five work days:
 - 1.1.1.1 Updated personal information by accessing the Your Employee Services (Y.E.S) website or by completing the Employee Information, Form 507-1, and submitting it to their Human Resources Liaison.
 - 1.1.1.2 Updated work contact information by logging into the Novell eGuide. A link to the eGuide website and website instructions is available on the ADC.net.
- 1.1.2 Human Resources Liaisons shall file a copy of a received Employee Information form in the employee's institution/bureau personnel file and forward the original to the Human Resources Operations Unit within two work days of receipt for inclusion in the employee's Central Office personnel file.
- 1.1.3 The Human Resources Operations Unit shall:
 - 1.1.3.1 Ensure Employee Information forms are keyed into the Human Resources Information Solution (HRIS) System within three work days of receipt.
 - 1.1.3.2 File the original Employee Information form in the employee's Central Office personnel file.

1.2 Confidentiality; Contacting Employees Who Are Off-Duty

1.2.1 Employee information, other than work telephone numbers, is confidential.

1.2.1.1 No employee shall divulge an employee's contact information, other than work telephone number without the employee's written permission, unless the information is necessary for a peace officer investigation or in response to a court order.

1.2.2 Only the following positions and capacities have access to an employee's contact information and may contact an employee off-duty concerning official business:

1.2.2.1 The employee's chain of command.

1.2.2.2 Director's Office personnel.

1.2.2.3 Communications Center personnel.

1.2.2.4 Human Resources Operations personnel.

1.2.3 If an employee's phone number is unlisted, only personnel with routine access to the employee's file may contact the employee directly. Other personnel shall contact the employee through the employee's chain of command.

1.2.4 Employees shall not allow inmates to access any personnel file or employee information.

1.2.5 Supervisors may provide their contact information to subordinates.

1.3 Annual Verification - During the first quarter of each fiscal year, supervisors shall:

1.3.1 Ask employees to verify the accuracy of the employee information in their institution/bureau personnel file, including beneficiary information.

1.3.2 Require employees to update their information by going into the Y.E.S. website or by submitting the Employee Information form if there are any changes.

507.03 CORRECTIONAL OFFICER I APPLICANT RECORDS REQUIRED BY ARIZONA PEACE OFFICE STANDARDS AND TRAINING (P.O.S.T)

1.1 Recruitment Unit for Selection and Hiring (RUSH) Files

1.1.1 The RUSH Administrator shall establish and maintain a RUSH File for each Correctional Officer applicant. The file shall include:

1.1.1.1 A copy of the Employment Application, Form 504-2.

1.1.1.2 A copy of the applicant's birth certificate or naturalization certificate.

1.1.1.3 A copy of the applicant's high school diploma, GED certificate or other approved documents verifying education.

1.1.1.4 Psychological and medical results.

1.1.2 When the Correctional Officer applicant is a reinstatement or rehire, the RUSH Administrator shall:

- 1.1.2.1 Obtain the applicant’s hiring status based upon reviews of Central Office and institution personnel files.
- 1.1.2.2 Determine whether the applicant is required to attend the Correctional Officer Training Academy (COTA).
- 1.1.3 The RUSH Administrator or Staff Development/Training Bureau Administrator, as appropriate, shall ensure:
 - 1.1.3.1 When a Correctional Officer applicant passes the written and oral tests but is not hired, the RUSH Files is archived in accordance with applicable retention schedules.
 - 1.1.3.2 When a Correctional Officer applicant is hired or subsequently graduates from COTA, the RUSH File, along with a copy of the COTA graduation certificate, is forwarded to the Backgrounds Investigations Unit (BIU).
- 1.2 Occupational Health Unit (OHU) Files - Medical/physical examination reports and results of psychological examinations shall be maintained by the OHU.
- 1.3 The Background Investigation File
 - 1.3.1 BIU shall maintain a Background Investigation file on each Correctional Officer applicant which shall include, but is not limited to:
 - 1.3.1.1 A Background Questionnaire, Form 602-1, completed by the applicant.
 - 1.3.1.2 A completed fingerprint card.
 - 1.3.1.3 The results of the Arizona Crime Information Center/National Crime Information Center (ACIC/NCIC) check.
 - 1.3.1.4 The results of the driver’s license check.
 - 1.3.1.5 The results of the background check of previous employers.
 - 1.3.1.6 A completed Background Investigation Summary.
 - 1.3.1.7 The RUSH File, upon the Correctional Officer applicant's graduation from COTA or termination prior to graduating.
 - 1.3.2 The Inspector General shall ensure RUSH Files and Background Investigation Files are retained for a period of three years:
 - 1.3.2.1 For applicants not employed by the Department and cadets not graduating from COTA.
 - 1.3.2.2 From the date of termination for Correctional Officers hired by the Department.
 - 1.3.3 Applicants, cadets and unauthorized employees shall not have access to their RUSH File or the Background Investigations Files.
 - 1.3.3.1 Questions regarding access to these files shall be forwarded to the Inspector General Operations Administrator.

DEFINITIONS

BACKGROUND INVESTIGATION FILE - A file compiled by BIU that contains, but is not limited to, original documentation obtained in the verification process of an applicant's background.

BIU BACKGROUND INVESTIGATION SUMMARY - A checklist summarizing the results of BIU's background investigation and indicating whether the applicant is accepted or disqualified.

CENTRAL OFFICE PERSONNEL FILE - The official personnel record for each employee, maintained at the Human Resources Operations Administrator for covered and uncovered employees. A separate file is maintained for each category.

COMMENDATION - Recognition presented to an employee for an achievement beyond what is expected or required of the job.

COVERED EMPLOYEE - A Department employee covered by the Department of Administration's Personnel Rules.

CORRECTIONAL OFFICER APPLICANT - Any individual applying for a position as a Correctional Officer. This shall include new hires, promotionals, reinstatements or transfers from other job classifications.

EMPLOYEE INFORMATION - Information that is required to fully complete the Employee Information, Form 507-1, i.e., whether the information is for a new employee or an employee who may be contacted on an employee's behalf; the effective date of the information; whether the information is a change of name, address or telephone number; the date of the application; the employee's badge number, if applicable; the employee's social security number; the employee's date of birth; the employee's home address; the employee's mailing address; the employee's telephone numbers at home and at work; the facility/division to which the employee is assigned; alternate persons to notify in case of emergency, including their telephone numbers and places of employment; and the employee's ethnic code, handicap code and veteran code. Preferably, employees should submit changes through the Your Employee Services (Y.E.S.) website.

INSTITUTION PERSONNEL FILE - A personnel record for each person employed at an institution or work unit, maintained in a secure area by the institution's Personnel Liaison or by an Division Director or Bureau Administrator.

PERFORMANCE APPRAISAL FOR CORRECTIONAL EMPLOYEES (PACE) FILE – A covered employee's performance record, maintained in a secure location at the supervisor's office or work area by the employee's supervisor. The PACE file shall consist of all performance-related documents as specified in Department Order #514, Performance Appraisal For Correctional Employees (PACE).

PERSONNEL OFFICE - The Human Resources Liaison's office at an institution; and the Human Services Bureau at the Central Office.

RECRUITMENT UNIT FOR SELECTION AND HIRING FILE - An applicant file containing documentation verifying AZ POST **pre-employment** standards. The RUSH File shall be incorporated into the Background Investigations File when the Correctional Officer applicant either graduates from COTA or is terminated prior to graduating.

UNCOVERED EMPLOYEE - A Department employee not covered by the Department of Administration's Personnel Rules.

{Original Signature on File}

CHARLES L. RYAN
DIRECTOR

FORMS LIST

507-1, Employee Information

507-2, Employee Departure Checklist

AUTHORITY

A.R.S. 38-612, Administration of Payroll Salary Deductions

A.R.S. 39-101 et seq, Public Records

A.R.S. 41-1822, Powers and Duties of Board; Definition

20CFR 404.1256, Payroll Deduction Authorization

A.A.C. R2-5-105, Personnel Record

A.A.C. R13-4-204, Records and Reports

A.A.C. R13-4-205, Basic Training Requirements