

CHAPTER: 500
Personnel/Human Resources

DEPARTMENT ORDER:
507 – Employee Records

OFFICE OF PRIMARY
RESPONSIBILITY:
DD

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ACCESS

Contains Restricted Section(s)

Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual



David Shinn, Director

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STANDARDS *[Revision – February 11, 2021]*

American Correctional Association (ACA) Standards: 5-ACI-1C-20 and 5-ACI-1C-21

PURPOSE

This Department Order establishes guidelines for maintaining the Department’s official personnel files at Central Office, Human Resources and Development Group (HRDG), Human Resources Operations Unit and the institution Human Resources offices. Any personnel records other than those identified in this Department Order are unauthorized.

APPLICABILITY

This Department Order does not create a contract for employment between any employee and the Department. Nothing in this Department Order changes the fact that all uncovered employees of the Department are at-will employees and serve at the pleasure of the appointing authority.

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

PROCEDURES

1.0 PERSONNEL FILES

1.1 Content of Official Personnel Files

1.1.1 Central Office Personnel Files 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 Arizona Department of Administration (ADOA) Employment Application or resume for the employee’s current position.

1.1.1.2 A copy of all completed paper performance appraisals.

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 and A-4 forms, if applicable.

1.1.1.4 Any letters of commendation or awards, as determined by the:

1.1.1.4.1 Director.

1.1.1.4.2 Deputy Director.

1.1.1.4.3 Assistant Directors.

- 1.1.1.4.4 Bureau Administrators.
- 1.1.1.4.5 Wardens.
- 1.1.1.4.6 Deputy Wardens.
- 1.1.1.5 Letters of reprimand, suspension, demotion or dismissal.
- 1.1.1.6 Documentation acknowledging receipt of letters of reprimand or other disciplinary communications.
- 1.1.1.7 Employee objections or responses to disciplinary communication that are not filed as complaints or grievances, if the objection or response is received within 30 calendar days of the date of the disciplinary action or letter of reprimand.
- 1.1.1.8 A copy of the employee's Correctional Officer Training Academy (COTA) Graduation Certificate.
- 1.1.1.9 A signed, original Employee Handbook Receipt, Form 511-1.
- 1.1.2 Employee performance appraisal files are kept by supervisors and contain documentation related to an employee's work performance for the current rating period.
- 1.2 Access to Central Office personnel files, institution personnel files and employee performance appraisal files shall be in accordance with Attachment A, Access to Files. {5-ACI-1C-20}
[Revision – February 11, 2021: Sections 1.2 and 1.3]
- 1.3 Maintenance/Removal of Documents – The Human Resources Operations Administrator, Deputy Director, Assistant Directors, Bureau Administrators or designees, Human Resources Liaisons and supervisors shall ensure: {5-ACI-1C-21}
 - 1.3.1 Official personnel files are current and accurate.
 - 1.3.2 Documents are not placed into official personnel files unless copies of the documents are forwarded to the employee or the employee's signature appears on the document.
 - 1.3.3 Official 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 official personnel files, unless authorized by the Human Resources Operations Administrator
 - 1.3.4.1 An employee may petition a letter of reprimand be removed from his or her official personnel file ONLY if the original letter contains verbiage authorizing the removal, and only after the specified time period identified in the original letter is satisfied. If the letter of reprimand does not have a subsequent removal dated, the letter shall not be removed.

1.3.4.1.1 Requests to remove letters of reprimand shall be made in writing through the chain of command, to the Human Resources Operations Administrator.

1.3.4.1.2 Direct employee requests for removal of letters of reprimand without the Warden's or Administrator's final approval shall not be honored.

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 institution 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 official 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 Human Resources Office within ten calendar days after transfer.

1.4.2.3 The employee performance appraisal file for the current rating period is forwarded to the new supervisor.

1.4.3 When an employee transfers to another State agency, Human Resources Operations staff shall ensure the official personnel file is processed as follows:

1.4.3.1 The institution personnel file is deactivated and archived at the institution Human Resources Office for a period of two years.

1.4.3.2 The Central Office official personnel file is transferred to the gaining agency within 20 business days of the receipt of the request.

1.5 Court Order or Subpoena – When a personnel file is subpoenaed, the Human Resources Operations staff shall create a redacted version of the personnel file and provide the redacted version to the Legal Services. (See Department Order #201, Legal Services – Records Release.)

1.6 Public Records Request – When a public records request is received, the Human Resources Operations Administrator shall ensure only the following information about a current or former employee is provided to any person making a public records request under Arizona Revised Statute (A.R.S.) Title 39, Chapter 1, Article 2:

1.6.1 Name of employee.

1.6.2 Date(s) of employment.

1.6.3 Current and previous class titles and dates of appointment to the class.

1.6.4 Current and previous agencies to which the employee has been assigned and the location of the main office for each agency.

1.6.5 Current and previous salaries and dates of each change.

- 1.6.6 Name of employee's current or last known supervisor.
- 1.6.7 Records that are reasonably necessary or appropriate to maintain accurate knowledge of the employee's disciplinary actions, including the employee responses to all disciplinary actions unless providing this information is contrary to law.

2.0 EMPLOYEE HOME ADDRESS AND TELEPHONE NUMBER RECORDS – As a condition of employment, employees are required to provide their name, address, telephone number and other personal information.

2.1 Submitting Employee Information

- 2.1.1 New employees and employees with personal and/or work-related information changes shall update, within five workdays, their personal information by accessing the Your Employee Services (YES) website, or by completing the Employee Information, Form 507-1, and submitting it to their Human Resources Liaison.
- 2.1.2 Human Resources Liaisons shall file a copy of a received Employee Information form in the employee's institution/bureau personnel file and forward a copy to the Human Resources Operations Unit within two workdays of receipt for inclusion in the employee's Central Office personnel file.
- 2.1.3 The Human Resources Operations Unit shall:
 - 2.1.3.1 Ensure Employee Information forms are keyed into the Human Resources Information Solution (HRIS) System within three workdays of receipt.
 - 2.1.3.2 File the original Employee Information form in the employee's Central Office personnel file.

2.2 Confidentiality; Contacting Employees Who Are Off-Duty

- 2.2.1 Employee information, other than work telephone numbers, is confidential.
 - 2.2.1.1 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, Incident Command System (ICS), or in response to a court order.
- 2.2.2 Only the following positions and capacities have access to an employee's contact information and may contact an employee off-duty concerning official business:
 - 2.2.2.1 The employee's chain of command.
 - 2.2.2.2 The Warden's Office may maintain personal, off-duty telephone numbers for those who are assigned for duty at their complex, regardless of the direct chain of command.
 - 2.2.2.3 Director's Office personnel.
 - 2.2.2.4 Communications Center personnel.
 - 2.2.2.5 Human Resources Operations personnel.

2.2.3 Employees shall not allow inmates to access any personnel file, employee information, or areas in which personnel files are housed.

2.2.4 Supervisors may provide their contact information to subordinates.

2.3 Annual Verification – During the first quarter of each calendar year, supervisors shall:

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

2.3.2 Require employees to update their information by going into the “YES” website or by submitting the Employee Information form if there are any changes.

3.0 CORRECTIONAL OFFICER I APPLICANT RECORDS REQUIRED BY ARIZONA PEACE OFFICE STANDARDS AND TRAINING (AZPOST)

3.1 The Recruitment Unit for Selection and Hiring (RUSH) Administrator shall establish and maintain temporary RUSH files for each Correctional Officer applicant in accordance with AZ POST and applicable Department written instructions.

3.1.1 When a Correctional Officer applicant passes the written and oral tests but is not hired, the RUSH files shall be archived in accordance with applicable retention schedules.

3.1.2 When applicants are hired, the RUSH file is separated and the documents are distributed to the Backgrounds Investigations Unit, Human Resources Operations Administrator and Occupational Health Unit Administrator.

3.2 The Background Investigation File – The Backgrounds Investigations Unit shall maintain a Background Investigation File on each Correctional Officer applicant in accordance with Department Order #602, Background Investigations.

3.3 Occupational Health Unit Files – Medical/physical examination reports shall be maintained by the Occupational Health Unit. {5-ACI-1C-20} [*Revision – February 11, 2021*]

DEFINITIONS

Refer to the Glossary of Terms

ATTACHMENTS

Attachment A – Access to Files {5-ACI-1C-20} [*Revision – February 11, 2021*]

FORMS LIST

507-1, Employee Information

AUTHORITY

A.R.S. Title 39, Chapter 1, Article 2

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. R2-5A-105, Records
A.A.C. R13-4-204, Records and Reports
A.A.C. R13-4-205, Basic Training Requirements

ATTACHMENT A

[Revision – February 11, 2021]

ACCESS TO FILES {5-ACI-1C-20}

Authorized Reviewers	Central Office Personnel Files	Institution Personnel Files	Employee Performance Appraisal Files
	<p>Central Office personnel files for employees are confidential and access shall be limited.</p> <p>The following individuals and their designees shall have access to Central Office personnel files when required in the performance of their official duties, and when appropriate identification is provided:</p>	<p>The following individuals have access to an employee's institution personnel file:</p>	<p>The following individuals have access to an employee's performance appraisal file:</p>
Employee	<p>Employees shall have access to their own personnel files, by appointment, and in the presence of the Human Resources Operations Administrator or designee.</p>	<p>Employees shall have access to their own personnel files, by appointment, and in the presence of the Human Resources Liaison or the Human Resources Operations Administrator or designee.</p>	<p>The employee, by appointment and in the presence of the supervisor.</p>
Director	X	X	X
Deputy Director	X	X	X
Assistant Director	X	X	X
Inspector General	X	X	X

Authorized Reviewers	Central Office Personnel Files	Institution Personnel Files	Employee Performance Appraisal Files
Employee Relations Officer	X	X	X
Equal Opportunity Coordinator	X	X	X
Employee Grievance Coordinator	X	X	X
Department's representative to the Correctional Officer Retirement Plan (CORP) Local Board	X		
Human Resources Office employees	X	X	X
Human Resources Liaisons	X	X	X
Wardens, Deputy Wardens or Bureau Administrators for records of employees under their supervision	X	X	X
Any personnel in the employee's chain of command	May access an employee's personnel files by appointment	May access an employee's personnel files by appointment	X
Investigators assigned to the Administrative Investigations Unit or Criminal Investigations Unit, regarding an authorized investigation. These individuals may have copies made of documents for investigative purposes.	X	X	X
Assigned Department staff or other officials acting in response to court orders or subpoenas.	X	X	X

Authorized Reviewers	Central Office Personnel Files	Institution Personnel Files	Employee Performance Appraisal Files
The employee's attorney or an individual who has written authorization from the employee to review the personnel file.	X		
An official from an agency of the federal government, state government, or political subdivision.	X		
Officials (hiring authorities) of a State agency to which the employee has applied.	X		X