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**ADMINISTRATIVE REGULATION
NUMBER**

224

OPR: PERSONNEL

PERSONNEL RECORDS

I. GENERAL

This Alabama Department of Corrections (ADOC) Administrative Regulation (AR) establishes responsibilities, policies, and procedures for the maintenance of personnel records.

II. POLICY

It is the policy of the ADOC to ensure the accuracy, confidentiality, and security of all records pertaining to employees.

III. DEFINITIONS AND ACRONYMS

Employee Personnel (201) File: Employee work history file maintained by the ADOC Personnel Division.

IV. RESPONSIBILITIES

- A. It is the responsibility of the Personnel Division Director to serve as the custodian of employee records, and to ensure that:
 - 1. A current and accurate personnel record is maintained for each employee.
 - 2. All personnel records are kept confidential and secure.
 - 3. An employee has access to his/her individual file.
 - 4. Personnel records are only released by formal authorization of the employee and the mandates of the law.

- B. Wardens and Division Directors are responsible for ensuring the security and confidentiality of all employee facility/division files and allowing the employee, upon request, an opportunity to review his/her Employee (201) File.

V. **PROCEDURES**

- A. The Personnel Division shall maintain a separate and confidential record for each departmental employee. The record shall, at a minimum, contain the following documents:
 - 1. Copies of application forms and appointment letters.
 - 2. Background information.
 - 3. Task and responsibility statements.
 - 4. Probationary and annual performance appraisal reports.
 - 5. Education and training certificates.
 - 6. Change in employment status reports and personnel action forms.
 - 7. Documentation of formal corrective actions (warnings, written reprimand, involuntary demotion, suspension, and dismissal).
 - 8. Copies of awards and commendations.
 - 9. Written release forms.
 - 10. Payroll, insurance, and retirement forms.
- B. Medical information/records shall not be maintained in the Employee Personnel (201) File.
- C. All personnel records shall be kept confidential with information being made available to the employee and authorized departmental personnel.
- D. Information in an employee's personnel file shall be provided to a third party only upon the written authorization (release) by the employee except to:
 - 1. Supervisory personnel in the normal chain of command whose official duties require an understanding of the background and qualifications of the employee.
 - 2. Administrative officials who have a need to know in the performance of their responsibilities.

3. Comply with court orders and subpoenas.
 4. Provide verification that an individual is/was employed, dates of employment, job classification, and salary rate.
- E. Information contained in an Employees Facility/Division file shall not be released to parties outside (not employed with) the ADOC without the approval of the Personnel or Legal Division.
 - F. Upon request, the employee may review his/her Employee Personnel (201) File.
 - G. The employee may obtain electronic or physical copies of any document in his/her file. A small fee established by the ADOC Personnel Division shall be charged for more than one physical copy or employee documents.
 - H. Negative and/or adverse information shall not be placed in the employee's personnel file without his/her knowledge.

VI. DISPOSITION

There are no forms prescribed by this regulation. Therefore, disposition procedures are not necessary.

VII. ANNEXES AND FORMS

This regulation does not implement any annexes or forms.

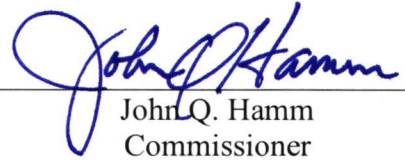
VIII. SUPERSEDES

This Administrative Regulation supersedes AR 224, *Personnel Records*, dated February 16, 2005, and any changes.

IX. PERFORMANCE

This administrative regulation updates policy and procedures pertaining to ADOC personnel records and is based on, but not limited to, the regulations and laws below:

- A. Code of Alabama 1975 § 14-1-1.1 *et seq.*
- B. ADOC Administrative Regulation 213.
- B. Code of Alabama, 1975 (Title 36)
- C. Privacy Act (5 U.S.C).



John Q. Hamm
Commissioner