



DEPARTMENT OF CORRECTIONS
Employee Services



Title:	Maintenance and Access to Employee Records	DOC Policy: 20.5.12
Effective:	2/6/24	Supersedes: 6/7/02
Applicability:	All employees except where in conflict with an applicable collective bargaining agreement	
Directives Cross-Reference:	DAS Policy 10-011-01 OAR 166-300-040	

I. PURPOSE

To maintain personnel records, including files containing individual employee records, in accordance with Department of Administrative Services, Chief Human Resources Office (CHRO) policy [10-011-01](#) Personnel Records and the Secretary of State Archives Division rule [OAR 166-300-0040\(9\) Personnel Records](#). Supervisors may retain on-site working files in accordance with this policy and labor agreements.

II. POLICY

- A. The official personnel file and the working file are confidential, and the contents within those falls into the document sensitivity classification of Level 3 Restricted (at a minimum). Access to these files is limited to those persons identified in state administrative rule, state policy, and applicable collective bargaining agreement.
- B. The official personnel file and the working file are the property of the department.
 - 1. The official personnel file contains those documents required by state policy and labor agreements. Other documents related to the employee’s work assignment and work history may be included at the supervisor’s discretion.
 - 2. The supervisor’s working file contains documents related to the employee’s work performance.
 - 3. Access to the official personnel file:
 - a. An employee may review the contents of the employee’s own official personnel file in the state human resources information system. If a paper file exists, it is available from Department of Corrections Workday Operations upon request. The employee must show valid picture identification before having access to the file.

- b. An employee may authorize an official representative to review the employee's own file. Such authorization shall be in writing and signed and dated by the employee.
- 4. Access to the supervisor's working file:
 - a. An employee may review the contents of the employee's own working file upon request with approval of the supervisor.
 - b. An employee may authorize an official representative to review the employee's own file. Such authorization shall be in writing and signed and dated by the employee.
- 5. An employee may request a copy of the employee's own official personnel file or working file. An employee's representative may request a copy of the employee's file with written authorization from the employee. Employee Services will determine any applicable copy fees that may apply.
- C. The Secretary of State Archives Division records retention schedule governs retention dates for personnel records. The official personnel file shall contain the documents outlined in OAR 166-300-0040(9) Personnel Records.
- D. The supervisor's working file shall include the documents listed on the Supervisor's Working File Checklist (CD1526).
- E. Employee medical records are kept in a restricted section of the state human resources information system. Employees have access to and can print out their own information. The FMLA/OFLA unit maintains all medical files.
- F. Employee training records are kept in a specified section of the state human resources information system. Employees have access to and can print out their own information. The Professional Development Unit maintains all training records.

III. IMPLEMENTATION

This policy will be adopted immediately without further modification.

Certified: _____signature on file_____
 Julie Vaughn, Rules Coordinator

Approved: _____signature on file_____
 Heidi Steward, Deputy Director