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COMMISSIONER

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ADMINISTRATIVE REGULATION
NUMBER 224

OPR: PERSONNEL

PERSONNEL RECORDS **Alabama Department of Corrections**

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. DEFINITION(S) AND ACRONYM(S)

201 file: Refers to an employee's personnel file.

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 institutional/divisional personnel records and allowing the employee, upon request, an opportunity to review his/her 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 disciplinary 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's personnel/201 file.
- C. All personnel records shall be kept confidential and maintained in a physically secure area.
- 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 employee's institutional/divisional 201 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 personnel file.
- G. The employee may obtain copies of any documents in his/her file. The first three copies will be at no expense to the employee. A small fee established by the ADOC Personnel Division shall be charged for additional copies.
- H. Negative and/or adverse information shall not be placed in the employee's personnel file without his/her knowledge.
- I. An employee may challenge any information in his/her file in accordance with the ADOC grievance process as prescribed in Administrative Regulation 213.

VI. DISPOSITION

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

VII. FORMS

This regulation does not implement any forms.

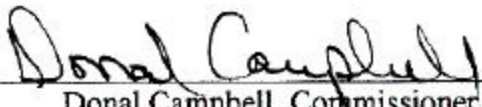
VIII. SUPERCEDES

This Administrative Regulation supercedes Administration Regulation 224 dated January 2, 1986, as amended.

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. Privacy Act (5 U.S.C)
- B. Code of Alabama, 1975 (Title 36)
- C. ADOC Administrative Regulation 213



Donal Campbell, Commissioner