



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
DEPARTMENT WIDE

REVISION DATE
6/1/20

PAGE NUMBER
1 of 4

NUMBER
DOC 800.005

POLICY

TITLE
PERSONNEL FILES

REVIEW/REVISION HISTORY:

- Effective: 7/1/83 DOC 804.005
- Revised: 10/1/85
- Revised: 11/1/88
- Revised: 11/15/93
- Revised: 7/23/99
- Revised: 12/27/05 DOC 800.005
- Reviewed: 2/15/07
- Revised: 4/3/08
- Revised: 3/11/09
- Revised: 12/28/09
- Revised: 1/18/11
- Revised: 11/1/13
- Revised: 6/1/20

SUMMARY OF REVISION/REVIEW:

Major changes to include adjusting the amount of sections in the personnel file. Read carefully!

APPROVED:

Signature on file

STEPHEN SINCLAIR, Secretary
Department of Corrections

4/27/20

Date Signed

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REFERENCES:

DOC 100.100 is hereby incorporated into this policy; [RCW 42.56.250](#); [WAC 357-22](#); [DOC 280.510 Public Disclosure of Records](#); [DOC 810.800 Recruitment, Selection, and Promotion](#); [DOC 890.200 Employee Occupational Health Records](#); [42 U.S.C. 1997](#); [Collective Bargaining Agreements](#); [Records Retention Schedule](#)

POLICY:

- I. A current and accurate personnel file will be retained for each employee showing a record of employment and other information which may be required for business and legal purposes. Personnel files will follow employees throughout their employment with the State of Washington.
- II. Department personnel files will be established, maintained, accessed, and disposed of per WAC 357-22 and/or applicable collective bargaining agreements. For represented employees, collective bargaining agreements will prevail if this policy is determined to be in conflict.
- III. Information obtained as part of an injury and/or a required medical examination regarding an employee/applicant's medical condition or history will be collected and maintained on separate forms and in separate medical files, and treated as a confidential medical record per DOC 890.200 Employee Occupational Health Records.

DIRECTIVE:

- I. Responsibilities
 - A. The Appointing Authority is designated as the Records Custodian of personnel files for employees under their authority.
 - B. The Human Resources Director will manage the maintenance, retention, and protection of personnel files.
- II. Information in the Personnel File
 - A. Personnel files will contain 5 sections:
 1. Section 1 - Personnel Action
 2. Section 2 - Employment Information
 3. Section 3 - Training/Policy
 4. Section 4 - Performance
 5. Section 5 - Miscellaneous

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- B. The employee's Appointing Authority may authorize the removal of material from the file if determined appropriate.
1. Material relating to employee misconduct will be removed and destroyed if the employee has been fully exonerated of wrongdoing or the information is determined to be false.
 2. Material will be maintained in an administrative file if:
 - a. Requested by the employee,
 - b. There is related legal action pending, or
 - c. The information has a reasonable bearing on the efficient and effective management of the Department.
- C. Employees may contest information in their personnel file by submitting rebuttals or refuting documentation to the Records Custodian/designee. Rebuttals will be placed in the personnel file, attached to the related information.

III. Access to Personnel Files

- A. The confidentiality of the personnel file will be preserved to the extent possible. Information may be disclosed per RCW 42.56 and DOC 280.510 Public Disclosure of Records.
- B. With proof of identification, personnel files will be reviewed in the presence of the Records Custodian/designee.
- C. Employees will have reasonable opportunity to review their personnel files upon request.
1. Employees will be provided a copy of all performance-related information.
 2. A reproduction fee may be charged for additional copies.
- D. In addition to the employee, the following are authorized access:
1. The employee's representative, with written authorization from the employee.
 2. Official representatives of government agencies, with legal authorization from the employee or third-party litigation.
 3. The State Personnel Resources Board, State Auditor, and Office of Financial Management Director/designee.
 4. Department supervisors and managers in the employee's direct chain of command.

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5. Prospective employers considering the employee for a position, with written authorization from the employee.
 - a. Department supervisors and managers will follow DOC 810.800 Recruitment, Selection, and Promotion.

6. Other Department personnel whose official duties require access.

E. Access will be documented on DOC 03-033 Personnel File Access and retained in the personnel file, including a copy of any authorizations, except access by:

1. The employee, and
2. Department personnel whose official duties require access.

F. Employment verification requests from prospective employers from an institution as defined in 42 U.S.C. 1997 will be directed to the Records Custodian/designee, who will coordinate the review and response.

1. To the extent possible, all available information on substantiated allegations of sexual misconduct or harassment will be provided.

IV. Records Maintenance

A. Personnel files will be maintained per the Records Retention Schedule.

B. [OFM 12-048 Employee Personnel Records Transmittal](#) will be used to transfer personnel files to follow an employee throughout their state employment.

1. When an employee moves between organizational units within the Department, the former unit will complete and forward the form and file to the receiving unit.

DEFINITIONS:

Words/terms appearing in this policy may be defined in the glossary section of the Policy Manual.

ATTACHMENTS:

None

DOC FORMS:

[DOC 03-033 Personnel File Access](#)