



MANAGEMENT POLICY

POLICY NUMBER:
101.03

SUBJECT:

Personnel Records

EFFECTIVE DATE:
2/22/2010
REVISED DATE:

I. Purpose

To establish standards by which information contained in personnel records shall be managed to achieve accuracy, privacy, and legal compliance.

II. Scope

This policy applies to all employees of the District

III. Policy

It is the policy of the District to maintain employee files according to all Federal, State and District record keeping requirements.

IV. Procedure

A. Each employee's official personnel information shall be maintained in each of the three following files:

1. Employee Personnel File

- a) Employee application
- b) New employee hire form
- c) Loyalty oath
- d) Personnel change forms
- e) Performance appraisals
- f) Disciplinary action forms
- g) Corrective action plans
- h) Written counseling

2. Employee Certification/Training and Education File

- a) Professional certifications
- b) Professional training courses
- c) Formal education
- d) Sexual harassment training
- e) Healthcare Insurance Portability and Accountability Act (HIPAA) training
- f) Computer use training

3. Employee Medical/Background File

- a) Medical records
- b) Law enforcement background information
- c) Motor vehicle driving records

B. All changes of address, telephone number, family status (i.e. birth, adoption, marriage, death, divorce, and legal separation) shall be reported to the District within 10 administrative working days.

C. Access to personnel files shall be restricted to the Fire Chief or designated representative. Inspection of an employee personnel file may be granted during normal District administrative business hours.

1. Upon request by an employee and in the presence of the Fire Chief or designated representative, an employee may inspect his/her personnel file.
 2. Employees have the right to obtain copies of any documents in the file.
 3. The District shall cooperate with Federal, State and local government agencies investigating an employee if the investigators furnish proper identification and proof of legal authority to investigate. In such cases the District's legal counsel shall be contacted.
- D. The presence of copies of any item listed in Subsection A in any other informational file concerning an employee shall not in itself confer upon such employee any immediate right of access to such file.
- E. The official personnel files shall remain in control of the Fire Chief, unless otherwise ordered by a court of a competent jurisdiction.
- F. Employee personnel files shall be maintained in a lockable file cabinet or a lockable secured area in the administrative office. The cabinet or secured area will be accessible only during administrative working hours, and during these hours only when access is under the control of administrative staff.
- G. Requests for information from employee files shall be directed to the Fire Chief or designated representative.
1. Telephone information requests for personnel records shall be limited to the following:
 - a) Date of hire
 - b) Date of termination
 - c) Most recent position held
 2. Written information requests signed by the employee or former employee may include:
 - a) Date of hire
 - b) Date of Termination
 - c) Salary information
 - d) Job chronology
 - e) Performance information
 3. **Employee home addresses, telephone numbers, and social security numbers are confidential and not subject to disclosure.**
- H. Originals of personnel records will be maintained by the District in compliance with the "State of Arizona Records Retention and Disposition Schedule".
- I. An employee may request the removal non-disciplinary corrective actions (Corrective Action Plans/Written Counseling) and Written Reprimands from his/her personnel file if the following conditions are met:
1. One (1) year has elapsed since the effective date of the action, and
 2. All terms of the disciplinary action, such as Disciplinary Probation or Suspension must have been completed prior to the request for removal, and
 3. The request is reviewed and approved by the Fire Chief
- J. For all other disciplinary actions (Disciplinary Probation, Suspension, Demotion) an employee may request the removal of the disciplinary action from his/her personnel file and documents related to the disciplinary action if the following conditions are met:
1. The employee shall not have received any additional disciplinary action for three (3) years, and
 2. All terms of disciplinary actions, such as disciplinary probation or suspension must have been completed at least three (3) years prior to the request for removal, and

3. The request must be approved by the Fire Chief.
- K. All employee medical files shall be maintained separate from the employee personnel files.
1. Medical files shall contain any information related to one's medical or physical condition including but not limited to such items as: Physical examination results, PSPRS medical review documents shared with the District, Workers Compensation reports, drug screen results, and hazardous materials exposure reports.
 2. Access to medical files shall be restricted to the Fire Chief or designated representative.
 3. Medical information shall be released only upon written authorization of the employee or upon request from other persons or agencies that have legal rights to the information.