

State of Iowa Department of Corrections

Policy and Procedures

Policy Number: AD-PR-02

Applicability: DOC, CBC

Policy Code: Public Access

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Chapter 1: ADMINISTRATION & MANAGEMENT

Sub Chapter: PERSONNEL

Related DOC Policies: N/A

Administrative Code Reference: 201-5.14(5)

Subject: PERSONNEL RECORDS – ACCESS

PREA Standards: N/A

Responsibility: Susie Pritchard

Effective Date: March 2023

Authority:

1. PURPOSE

To describe general procedures for establishing and accessing official personnel files for all Iowa Department of Corrections (IDOC) employees.

2. POLICY

It is the policy of the IDOC to ensure that appropriate confidential records are maintained in employee personnel files in the institutions, in the Community Corrections Districts, and in Central Office, in a manner that protects each employee's privacy rights. All IDOC employees shall have access to their personnel records and shall have the opportunity to question information contained therein.

CONTACTS

- A. Maintenance of Files
- B. Personnel Record Contents
- C. Additional Records Kept by Personnel Staff
- D. Access
- E. Copying

3. DEFINITIONS – As used in this document:

- A. Consolidated Omnibus Budget Reconciliation Act (COBRA) – A federal program giving former employees, retirees, spouses, and dependent children the right to temporary continuation of health coverage.
- B. Iowa Department of Administrative Services/Human Resources Enterprise (DAS/HRE) – State agency responsible for all human resource matters.
- C. Equal Employment Opportunity (EEO) – The right of all persons to apply and be evaluated for job opportunities without regard to their race, color, national origin, sex, religion, age, creed, political affiliation, and mental or physical ability.
- D. Human Resources Associate – Personnel representative who performs assignments of technical and specialized nature in one of the established personnel programs of the DAS/HRE.
- E. Workers' Compensation – The law that requires most employers to provide medical and lost time benefits to eligible employees who have injuries or illnesses arising out of and in the course of employment.
- F. See IDOC Policy **AD-GA-16** for additional Definitions.

4. PROCEDURES

A. Maintenance of Files

- 1. Current, accurate personnel records shall be maintained on all IDOC and Community Corrections District employees.
- 2. Personnel files shall contain only such information as is needed to conduct IDOC operations or is required by federal, state or local law.
- 3. The confidentiality of employee personnel file information shall be properly safeguarded by storage in locking file cabinets. Only authorized personnel may access personnel files.

B. Personnel Record Contents

The information specified below shall be maintained by the Human Resources Associate at the location at which the employee is stationed. This information, maintained at the institutional or Community Corrections District level, may include, but is not limited to, the following examples:

1. New employee information form
2. Payroll information
3. Other deduction authorization
4. Performance appraisals and commendations
5. Letters of appointment or promotion
6. Discipline
7. Authorizations to change personal information (name change, address change, deductions, etc.)
8. Nominations for exceptional job performance or other extra pay
9. Termination information

C. Additional Records Kept by Personnel Staff

Human Resources or other staff designated by the Warden or District Director must maintain the following information separately from the general personnel records:

1. Medical records
2. Workers compensation information (Safety)
3. Active or inactive Equal Employment Opportunity information (EEO Coordinator)
4. Training and education information (Training Coordinator)
5. Criminal Record Check Data
6. Reference Checks
7. The employee's grievances and appeals
8. Investigative material related to the employee
9. Results of mandatory CDL drug testing

D. Access

1. Only authorized management personnel who have a legitimate need may inspect personnel records.
2. Employees may review their personnel file at any time by making a request for such review to the local Human Resources Associate during normal business hours.
 - a. All letters of reference and other reference information, all evaluation material used during the hiring process, management records, and other files separate from the official personnel file are considered confidential and shall not be made available for employee review.
 - b. Records must be reviewed in the presence of a designated Human Resources Office staff member.

E. Copying

An employee may receive copies of any material/documents in that individual's personnel record. Copies shall be provided at no cost.