

*Section Number: 20-8*

*Effective Date: January 1, 2012*

**Subject: Employee Files and Records**

**Purpose:** To provide guidance on the maintaining and storing employee files and records

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- **Official Personnel File**

- Maintained by the Division of Personnel
- Copy/review available to employee upon request

- **Regional Personnel File**

- Maintained by the Regional Office
- Retained for one year after termination
- Copy/review available to employee upon request

- **Supervisory Working File**

- Maintained by the employees Supervisor
- Copy/review available to employee upon request
- Retained for two years after termination
- DOP Labor Relations HR Solutions attachment provides Supervisor File Guidelines:

- **Regional Medical File**

- Maintained by the Regional Office (this file must be stored separately from the Personnel file)
- Copy/review available to employee upon request
- Retained for one year after termination

**NOTE:** ADA, FMLA, AFLA records must be retained for 3 years after employee terminates.

- Medical Files will not be maintained by Supervisor – all information forwarded to Regional Office. Regional Office will ensure all medical information is provided to their payroll contact.
- Includes: Worker’s Compensation, FLMA, AFLA, ADA, Risk Management information, and any additional medical information
- **Official Medical File**
  - Maintained by the Division of Personnel
  - Copy/review available to employee upon request
  - Employee medical information will be sent to DOP and a copy maintained in the regional medical file.
  - Includes: Worker’s Compensation, FLMA, AFLA, ADA, Risk Management information, and any additional medical information
- **Investigative Files**
  - After determination; stored in the Regional Office
  - Not available for employee review/copy
  - Supervisors must ensure complete documentation of investigatory meetings; managers in attendance will also keep documentation. A copy of all correspondence, meetings and final decisions will be maintained in the investigative file. Once the investigation is complete; all records will be combined into one file and stored in the regional office.
  - Labor Relations will maintain the official investigative file.
- **Grievance/Union Complaint Files**
  - Grievances received within the Region will be forwarded to the Regional Office, the Chief of Field Services and the contact at Labor Relations / Management Services immediately. The Chief will notify the Director of the grievance or complaint.
  - A copy will be maintained by the Regional Office, until resolution.
  - Central Office retains file for five years after closed.
  - Labor Relations recommends grievance files are maintained at the Division level and not the regional level.

- Not available for employee review/copy.
- **Complaint Files (client)**
  - Refer to Administrative Procedures MS 100-11 for the procedure on handling client complaints.
- **Alaska State Commission for Human Rights “complaint file**
  - After determination; stored in the Regional Office
  - Not available for employee review/copy
  - Retained for five years after closed
  - Labor Relations / EEO Officer maintains official file
- **Equal Employment Opportunity Commission “charge file”**
  - After determination; stored in the Regional Office
  - Not available for employee review/copy
  - Retained for five years after closed
  - Labor Relations / EEO Officer maintains official file
- **Timesheet Files**
  - Employees should maintain a copy of their 2 prior timesheets to ensure correct completion of AWW schedules.
  - Timesheet files are maintained by the Regional Office.
  - Regional Office retains for one year after closed
  - Timesheet files are also maintained by the Division of Personnel.
- **Client Case files**
  - Refer to Administrative Procedures Manual section 103 for additional information on managing client case files.
  - Maintained in District Office or Archives
  - Closed files are maintained at the District Office until 1 year after closure

- Volume files are maintained at the District Office until 1 year after the volume date.
- **Protected agency records**
- **Recruitment files**
  - All hiring documents
  - Retained in the Regional Office for 2 years