

1089.0 EMPLOYEE PERSONNEL FILES

The purpose of this policy is to establish rules of the Department of Human Services (DHS) regarding employee personnel files and access to those files. This policy is applicable to all DHS employees.

1089.1.0 Substantive Rules

A file will be maintained on each DHS employee in the Personnel Section of the Office of Finance and Administration that contains information pertaining to the employee.

1089.2.0 Procedural Rules

1089.2.1 Items Contained in Personnel Files:

A. The following items are contained in each employee's personnel file, when applicable, and are removed from the files only upon written direction from the employee's Division Director/designee or as the result of a grievance:

- Disclosure Forms
- Proof of Prior Service form
- DHS 1161 – Request for Personnel Action
- Request to Change Address
- Request for Change of Name
- Disciplinary Action Documents (including Non-Disciplinary Counseling Statements)
- Immigration and Naturalization Service, Employment Eligibility Verification (I-9)
- Employment application and resume
- Personnel Performance Evaluations (PPE)
- Letters of commendation or recognition
- Selective Service forms
- Training Certificates
- Reference check forms
- Arkansas Public Employees Retirement System (APERS) forms
- New Employee Check List

B. The files are accessible for review by the employee and the employee's supervisor upon request and presentation of a photo ID. Those unable to personally perform the review may indicate a designee via written request that the designee must present along with a photo ID before accessing the file.

- C. Hiring officials may review the files of job applicants on a hire list by presenting a photo ID and a signed Release Authorization Form, and completing a Request for Reviewing Personnel File form.
- D. Employees may receive a copy of their own personnel file upon request with presentation of a photo ID. Personnel contacts and supervisors may receive copies of files after consulting with the Manager of Personnel Processing or the File Room Supervisor.

1089.2.2 FOI Requests:

- A. Personnel files are considered public records and therefore subject to the Freedom of Information Act (FOI) (see Policy 1053 – Freedom of Information Act) which states that all public records shall be open to inspection and copying by any citizen of the State of Arkansas during the regular business hours of the custodian of the records.
- B. FOI requests are referred to the Office of Chief Counsel (OCC) for review and to provide guidance to personnel staff and OFA/HR sends written notice to the employee whose file will be reviewed.
- C. Personnel records are non-exempt from FOI except where disclosure would constitute an unwarranted invasion of personal privacy.
- D. Before viewing per an FOI request, personnel files will be sanitized to obscure items which may not be disclosed per the FOI Act. To assure the employee's privacy is maintained, confidential information will be blocked out to prevent public viewing. Personnel staff is also present at all times during the review to guard against removal of any records from the file.

1089.2.3 Terminations:

Upon an employee's termination the employee's personnel file will be scanned and maintained in an electronic database.

1089.3.0 Originating Section/Division Contact

Office of Finance and Administration
Personnel Records
P.O. Box 1437 – Slot WG1
Little Rock, Arkansas 72203-1437
Telephone: (501) 682-6118