


DEPARTMENT OF PUBLIC SAFETY OPERATING PROCEDURES MANUAL		
CHAPTER 122	PERSONNEL FILES	
	Effective: 10/31/2012	Commissioner Approval: 
	Authorities: AS 39.25.080 ; AS 09.65.160 ; 2 AAC 07.915	
	Applicability: All Department Employees	
	Special Instructions: Click here to enter text.	

122.100 INTRODUCTION

The department recognizes the need for accurately documenting the activities of all DPS employees to include all background, performance, and medical related information as it pertains to the employee's ability to perform their job.

The department will collect, utilize, and store this information to accurately preserve an employee's work history while ensuring to recognize the direction provided by applicable bargaining unit contracts, state law, state policies, and State of Alaska retention schedules.

This chapter defines the various employee files in use by the department, what those files contain, where those files are maintained, the retention of those files, and instructions for purging those files.

122.300 PERSONNEL FILES

A. *Personnel files.* The Department of Administration (DOA), Division of Personnel/Labor Relations (DOP/LR) maintains the official employee personnel files for the department. Questions concerning what material is included within the files should be directed to the DOA DOP/LR office in Juneau.

It is recommended that DPS employees contact DOA DOP/LR and make arrangements to review their own Personnel File before separating from employment to confirm what documents are contained within the file.

122.310 EMPLOYEE FIELD FILES

A. *Employee field file.* For AST and AWT, Commanders shall designate an individual(s) to be responsible for the administrative handling of the field files, including the purging of documents and forwarding of file contents for long-term storage. For all other divisions, the Division Director or designee shall identify the individual(s).

B. *Contents of employee field files.* These files include:

1. Payroll records, transactions outside normal pay.
2. Leave records or documents regarding unusual leave transactions or audits.
3. Personnel Actions and supporting documents; transfer letters, address changes, status changes, etc.

4. Emergency contact information.
5. General correspondence.
6. Commendations.
7. Hiring and terminating paperwork.
8. Benefits forms.
9. Training records.
10. Discipline letters and memos.
11. Evaluations and rebuttals.

C. *Information NOT ALLOWED in employee field files.*

1. Medical information, including medical-related hardship transfer requests.
2. Grievance files or supporting documents.
3. Human rights or EEO complaint documents.
4. Administrative Investigations.

D. *Format of the employee field file.* Employee field files will be kept in a three-ring binder separated by nine (9) tabbed sections.

1. Tab one will be titled "Employee Information". Contents will include:
 - a. Current color photograph, measuring at least 4" x 6", of the employee's state ID photo. Employees who do not possess a state ID card shall have a photo taken and added to the file.
 - b. Emergency contact information form(s), updated annually or as needed.
2. Tab two will be titled "Employee History". Documents shall date back to the employee's date(s) of hire/rehire, and be filed in chronological order with the most recent document on top. Contents will include:
 - a. Current Personnel Action Request Form (PARF)
 - b. List of duty station assignments and dates
 - c. List of special assignments and dates (e.g. SERT, Dive Team, special schools, etc.)
 - d. Letters identifying transfers / reassignments
 - e. Letters identifying promotions / demotions
 - f. Declaration of Familial Relationships and Nepotism Waivers forms as they would currently apply to the employee's situation
 - g. Hiring packets and documentation for civilian employees

3. Tab three will be titled "Performance Evaluations". Retention of these documents shall include the employee's last three performance evaluations and associated documentation.
 - a. Performance evaluations (inclusive of annual and interim evaluations)
 - b. Rebuttals
 - c. Associated documents
4. Tab four will be titled "Commendations". Contents will include:
 - a. Commendation letters
 - b. Memorandums of appreciation
 - c. E-mails or other communication with similar content, including Blue Team entries, not already documented by commendation or memorandum. Documents of this type may be purged if they have been referenced within the employee's performance evaluation.
5. Tab five will be titled "Discipline". Certain disciplinary documents may be subject to purging based on the provisions of the employee's collective bargaining agreement (CBA), and authorizations to purge such documents shall come from the Commissioner's Office in Juneau. Contents will include:
 - a. All disciplinary documents such as warnings, reprimands, suspensions, demotions, and termination
 - b. Corrective actions such as memorandums of instruction or counseling
 - c. E-mails or other communication with similar content, including Blue Team entries, not already documented by disciplinary document or corrective action. Documents of this type may be purged if they have been referenced within the employee's performance evaluation.
6. Tab six will be titled "Training". Contents will include:
 - a. All Alaska Police Standards Council (APSC) certificates
 - b. All APSC instructor certificates
 - c. Training requests
 - d. Transcripts of post-secondary education paid for by DPS
 - e. Other job-related training paid for by the employee may be included at the employee's discretion
 - f. Transcripts from advanced management schools (FBINA, SPI, etc.)
 - g. Policy acknowledgments
 - h. Notary Public certification
 - i. Firearms qualifications*
 - j. Physical fitness training results*

- k. Training certificates with associated Training/ Certification Record Form*
- l. Current APSIN training summary – On the employee’s evaluation date, the prior year(s) training certificates (see those marked with *) will be purged and an updated training summary will be added
- 7. Tab seven will be titled “Inventory”. Contents will include:
 - a. [DPS Inventory Form](#) summarizing the items of value assigned to the employee—items listed on the form shall be verified through visual inspection by the employee’s supervisor, who shall be responsible for ensuring the accuracy of the listing
 - b. Any other inventory forms not applicable to the other categories in the file
- 8. Tab eight will be titled “Payroll”. Regular payroll sheets, timesheets, or leave slips are maintained in a separate administrative payroll file and are not included in the employee field file. Contents will include:
 - a. Premium pay eligibility (e.g. Investigator, SERT, Instructor, college degree, APSC, etc.
 - b. Payroll adjustments
 - c. Flexible time and Alternate work week agreements
 - d. Rural incentive and/or extension pay
- 9. Tab nine will be titled “Miscellaneous”. Documents that should be considered part of the field file but do not fall into the above categories are filed in this section. Contents may include, but is not limited to:
 - a. Correspondence relating to special requests
 - b. Non-medical hardship transfer requests
 - c. Building identification/access card requests
 - d. Airport identification/access card applications

E. Review of employee field files. During the performance evaluation review with the employee, the employee’s supervisor shall conduct an audit and review of the employee’s field file to ensure the accuracy of the information contained therein. The supervisor shall bring to the attention of the individual(s) responsible for maintaining the field files any items needing to be updated.

F. Required notification. Documents placed in the field files of employees represented by PSEA will be initialed by the employee and a copy will be provided to them. Electronic copies may be emailed to the employee with a request for a return receipt. A copy of the email indicating the document provided shall be placed in the field file.

Documents placed in the field files for all other employees do not require initials or copies unless requested.

G. *Retention of employee field files.* Except as otherwise noted above, the contents of field files will consist of information for the entire work history of the employee and will be retained two years after the employee separates. The field files are to be retained at the geographic location from which the employee separated. After the two-year retention, employee field files shall be sent to the Commissioner's Office in Juneau.

122.320 ANECDOTAL FILES

A. *Anecdotal files.* Each division may format anecdotal files at the respective Director's discretion. Supervisors may store anecdotal information electronically. These files will be maintained in a confidential area in the supervisor's office.

B. *Contents of anecdotal files.* These files may include:

1. Anecdotal file notes
2. Blue Team entries
3. General correspondence to be used for the performance evaluation
4. Commendations, discipline, and similar documentation

C. *Information NOT ALLOWED in anecdotal files.*

1. Medical information, including medical-related hardship transfer requests
2. Grievance files or supporting documents
3. Human rights or EEO complaint documents
4. Administrative Investigations

D. *Access to anecdotal files.* Employees shall have access to their anecdotal files upon request. Electronically stored files may be printed or made available for electronic viewing.

E. *Retention of anecdotal files.* For employees covered under the PSEA collective bargaining agreement, anecdotal notes and documents will be provided them after presentation of the annual or service step evaluation. For all other employees, anecdotal notes or documents will be purged after presentation of the annual or service step evaluation. All purged documents will be shredded.

122.330 MEDICAL FILES

A. *Medical files.* Medical files are to be separate from any employee's personnel file.

B. *Contents of DPS medical files.* These files may include:

1. Workers' Compensation / Jones Act claims/ Family leave/Injury leave
2. Medical records – biennial physicals, doctor's reports, releases, etc.
3. Limited Duty requests and documentation
4. Medical-related hardship transfer requests
5. Blood borne Pathogens records and investigations
6. Vaccination records
7. Claims or applications for disability benefits
8. Medical information from human resources, insurance adjustors
9. Any other documents related to medical issues

C. *Retention of Medical files.* Medical Files shall be retained as outlined in the State of Alaska [General Administrative Records Retention Schedule #100.3](#).

122.340 FIELD MEDICAL FILES

A. *Field medical files.* Medical information must be kept in a file physically separate from any other files. Field medical files will be retained at AST/AWT Detachment Headquarters by Commanders or at the supervisor's office for all other departmental employees.

B. *Contents of field medical files.* These files include:

1. Workers' Compensation/Jones Act claims/Family leave/Injury leave
2. Medical records – biennial physicals, doctor's reports, releases, etc.
3. Limited Duty requests and documentation
4. Blood borne Pathogens records and investigations
5. Vaccination records
6. Claims or applications for disability benefits

C. *Retention of field medical files.* Field medical files shall be retained for two (2) years from the date of onset of medical condition or until completion of treatment or the condition no longer exists, whichever is longer. Field files shall then be forwarded to the Commissioner's Office in Juneau for any further retention.

122.350 ACCESS TO INFORMATION IN EMPLOYEE FILES

CHAPTER 122 PERSONNEL FILES

A. *Public information.* The following is considered public information and may be given to a requestor. All other information is confidential and cannot be disclosed unless a waiver signed by the employee is provided. Refer requests for information that require a waiver to the Commissioner's Office.

1. Names
2. Position Title
3. Prior state employment positions held
4. Whether the employee is in classified, partially exempt, or exempt service
5. Dates of appointment and separation as a state employee
6. Compensation authorized

B. *Subpoenas or Court Orders for personnel files or information.* All subpoenas or court orders for personnel files, medical files, or information contained in them will be forwarded to the Commissioner's Office in Juneau for processing.

C. *Access to confidential information.* The Commissioner, Deputy Commissioner, Division Directors, Deputy Directors and immediate supervisors may access the confidential files of their employees without further authorization. All requestors must have a business reason to access confidential information.

1. Employee field files may be accessed by members of a promotional board for use in the consideration of the employee for a promotional opportunity.
2. Background files may be accessed by the Recruitment Unit supervisor and certain information may be shared with employees who are participating in file reviews and serving on oral boards for the selection of academy candidates.

D. *Employees to be provided copies of items placed in files.* Employees are to be aware of all personnel file or medical files retained regarding them and are provided with a copy of items placed in their personnel file or medical file upon request. Refer any questions to the Commissioner's Office in Juneau.

CHAPTER 122 PERSONNEL FILES

122.360 BACKGROUND FILES

A. *Background files.* Background files are maintained by the Recruitment Unit and consist of investigations of applicants for hire as a Trooper, CSO, or Deputy Fire Marshal.

B. *Contents of DPS Background files.* Files include the following list dependent upon the appointment or non-appointment of the applicant:

Initial application Section 1	Subsequent Application document Section 2	Research Documents Section 3	Background Investigation Section 4	Conditional Job offer Section 5	Final hire paperwork Section 6
Create Workplace Alaska Profile	F-3	Birth Certificate	Pre-Interview Forms	Elements of Consideration form	Job Offer packet
Workplace Alaska Job Qualification Summary	Background Questionnaire	HS Diploma/ GED	Career Aspirations	Conditional Job Offer packet	F-4
Results of PFT- AK residents	Notice of Intent	College Diploma or transcripts provided, if applicable	Applicant Interview	Results of PFT - Out of state resident's	F-23 – Completion of Field Training
	Waivers	DD214(s) and / or the NGB-22(s)	Conduct Interviews: Supervisor, co-worker, personal reference, landlord/ neighbor spouse, ex-spouse, domestic partner	Letter of medical appt.	Request for FTEP extensions
	Workplace Alaska Notifications Form	US and/or Interpol Criminal Check(s) (APSIM, III, NCIC)	Emails / faxes to and from the applicant and investigative contacts	F2A-F2B Medical report	Request for extension of Probation
	Missing document letter, if applicable	US and/or Foreign Driving Histories	Police or other Incident Reports	Drug Screening Results	APSC Certification
		Credit check	Military Records Checks arrive	Polygraph waiver	Fingerprint results received
		Police Certificates	Background Report completed	Notice of Polygraph schedule	Misc. correspondence
		Certificates		Polygraph questionnaire	
		Employee Evaluations (if applicable)		Polygraph results	
		<i>APP discloses military service:</i> Criminal.Records.Center Military Check		Psychological Evaluation Results	
		<i>APP claims no military service:</i> Verification of Military Service request. request		Suitability Recommendation	
				Misc. correspondence	

C. *Retention of background files*

- For applications hired as a Trooper, Trooper Recruit, Deputy Fire Marshal, or CSOs, the file retention is fifty (50) years. The files are maintained by the Commissioner's Office in Juneau immediately after hire and remains there for the duration of employment plus two years after separation. The background file is then archived with the personnel file for the remaining years.

CHAPTER 122 PERSONNEL FILES

2. For applicants not hired into these job classifications, the file retention is twenty (20) years. The files are maintained by DPS for that duration and then destroyed.
3. For applicants not hired, but eventually hired into one of these job classifications during a subsequent process, all background files shall be merged into one file and retained for fifty (50) years as described above.

D. Access to records The documents within the background files are considered the property of department and are not open for review except as approved by the Commissioner. Selection Committees will be provided only sufficient information to make a reasonable hiring decision.

122.370 DOCUMENT REMOVAL FROM PERSONNEL FILE

An employee may request a document to be removed from their personnel file in accordance with their collective bargaining agreement.

122.380 REQUESTS FOR AND TRANSFERS OF EMPLOYEE FILES

A. Personnel Files retained by DOA DOP/LR. Persons authorized to request all or part of an employee's personnel file shall do so in the following manner:

1. Requests should be made in writing—electronic is acceptable.
2. All requests should be forwarded through the chain-of-command to the DPS Special Assistant to the Commissioner responsible for human resources issues.
3. If the file contents are to be forwarded to anyone outside DPS, a written release-of-information form signed by the employee will be required.
4. The Special Assistant will forward the request to the DOA DOP/LR. Upon receiving copies of the requested documents, the Special Assistant will arrange distribution to the requestor, either by hand-delivery or by tracked-shipping methods.
5. The copies received from DOA DOP/LR need not be returned.

B. Employee Field Files. Persons authorized to request field files shall do so in the following manner.

1. Requests can be made by verbally or in writing.
2. Requests should be routed to the office where the field file is being retained.
3. Promotional board requests should be made by the board chair person or designee to the administrative person responsible for maintaining the competing employee's file.
4. Field files shall be hand-delivered or sent by tracked-shipping method to the requestor or to the office of the promotional board chair person.

5. Field files should be returned, either by hand delivery or tracked-shipping method, to the office from which it was received.
6. Employee transfers within the department require the holder of the employee field file to forward that file to the new detachment, bureau, or regional headquarters.

C. *Anecdotal Files.* The employee's current supervisor is responsible for maintaining the anecdotal files.

1. If a "change of rater" performance evaluation is required, the departing supervisor shall complete that evaluation and forward the contents of an employee's anecdotal file to the new supervisor. A "change of rater" performance evaluation is required when the employee's supervisor is leaving the position responsible for preparing the evaluation.
2. All anecdotal files (hard copy and electronic) shall remain in the control of the incoming supervisor.
3. If the employee is transferring or moving to a new position within the department, the anecdotal files shall be hand-delivered or sent by tracked-shipping method to the new supervisor's office/location.

D. *Medical and Field Medical Files.* Procedures for requesting all types of medical files shall follow the same procedures set forth for requesting personnel files. See 122.390 A.

E. *Background Files.* Background files for Trooper, Deputy Fire Marshal, and CSO positions are retained at the Recruitment Unit and the Commissioner's Office in Juneau based on hiring status. Background information for civilian employees can be found in the personnel and/or employee field files.

1. Exempt or commissioned employees background file requests should be directed to the Division Director's office where the files are being retained. These files may only be requested by the Commissioner, Deputy Commissioner, or the respective Division Director or Deputy Director of the division for which the employee is employed or applying.
2. Trooper, CSO, and Deputy Fire Marshal recruit background file requests should be directed to the Recruitment Supervisor.
3. Background files shall not be copied.
4. Once requested by an authorized person, DPS Background files shall not leave the office area where they are retained. Persons authorized to view the files shall do so within the confines of the location where they are stored.
5. The Recruitment Supervisor may provide information from the Background files to the selection committees for use during the hiring process.

122.900 DEFINITIONS

Anecdotal Files – Working files for the supervisor’s use in completing annual and interim performance evaluations. These files are also referred to as a supervisory working file. The files may be stored electronically.

Background Files – Documents accumulated during the course of the background investigation of applicants for hire as a Trooper, CSO, or Deputy Fire Marshal and retained by the Recruitment Unit. These files can also include hiring-packet information for applicants for non-commissioned positions, but are stored by a hiring manager or at Division Headquarters.

Employee Field Files – Employee files kept at the supervisory, detachment, or division level. These files are maintained in a three-ring binder and have nine tabs dividers for employee information.

Field Medical Files – Documentation of medical issues retained at the same geographic location as the Employee field file. These files must be secured and separate from any other employee personnel file.

Hired – For purposes of retaining an employee’s background file information, an employee is considered “hired” when the administrative hiring packet is completed during the first week of academy training. See 122.370 C1.

Medical Files – Documentation of medical issues. Medical files may exist with the DOA DOLP/LR, DPS Commissioner’s Office, or Director’s Office; and those files are to be separate from any employee’s personnel file(s).

Personnel Files – These files contain records which cover the entire history of each employee’s service with the state. DOA, DOP/LR maintains the official employee personnel files for department employees.

RESOURCES

DPS Inventory Form – [Link to form](#)