

Policy and Procedures

CHAPTER:		Administration and Management	1. 3. 15
SECTION:		Personnel	EFFECTIVE DATE: 7 / 21 / 2020
SUBJECT:		Staff Working Files	
STANDARDS: ACA – 4 – AL D F: 7E-02			
APPROVED:			REVIEW DATE: 7 / 21 / 20
<hr/> Dale Glass COMMISSIONER OF CORRECTIONS			REVISION DATE: 7 / 30 /20
Rescind: 1.3.15 dated 2 /10/ 2010 Cancel: Personnel Files dated 2/10/2010			

I. POLICY

It is the policy of the St. Louis City Division of Corrections to maintain working files for each active employee of the Division and ensure its accuracy, confidentiality, and security.

II. RESPONSIBILITIES

All Division of Corrections staff will adhere to the following procedures.

III. DEFINITIONS

None

IV. PROCEDURES

A. General Information

1. Staff working files will be maintained for each divisional employee and will be secured in the Division’s Business Office Section.
2. Staff working files must be stored in locked cabinet to prevent unauthorized access.

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3. Supervisors can maintain routine record folder to track and document job actions and information relevant to their routine supervisory duties and activities with staff under their supervision. This file is not considered official staff working file, for the purposes of this policy. Notwithstanding, the record folder remains property of the Division. No staff confidential information will be maintained in this folder.
4. Supervisors are responsible for ensuring that staff records of general nature as provided in item #6 below, medical nature, payroll nature and training records are promptly forwarded to Business Office Manager or Payroll Supervisor for filing.
5. Each employee will have three working files in the Business Office Section and one file in the Division's Training Academy. The files will be:
 - (1). The General File – will contain:
 - a. Copies of application forms and appointment letters,
 - b. Copies of background information
 - c. Task and responsibility statements
 - d. Copies of employee evaluations,
 - e. Copies of education certificates,
 - f. Employee status forms,
 - g. Award certificates,
 - h. Letters of commendation.
 - i. Insurance, and retirement forms,
 - j. Disciplinary actions.
 - (2). The Confidential Medical File – will be red colored folder. The file will contain:
 - a. Staff medical information,
 - b. Workman's Compensation,
 - c. FMLA information, and

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- d. Drug testing results.
6. The Payroll/Time and Attendance File – will contain:
 - a. Weekly attendance records,
 - b. Sick leave,
 - c. Vacation leave, and
 - d. Compensatory Time requests,
 - e. Changes in payroll status forms, and
 - f. Other information deemed appropriate by Business office Supervisor.
7. The Training File – will contain staff training records, policy and procedure distribution acknowledgements, and will be kept in the Divisional Training Academy as part of staff working file.
8. Staff confidential information will be promptly forwarded to City's Dept. of Personnel by Business Office Supervisor.

B. Information Availability and Public Disclosure

1. Personnel information to the public is provided by Department of Personnel in accordance with Rule XIV Section 4 of the Civil Service Regulations, e.g., record of employee name, class title, and salary range.
2. Information in an employees' individual working files will not be provided to a third party, only to the employee, with the following exceptions:
 - a. Supervisory staff whose official duties require an understanding of the background and qualifications of the employee.
 - b. Administrative officials who regularly access such files in the performance of their duties.
 - c. In order to provide employment verification dates of employment, job classification, and salary rate only.
3. Information contained in employees' medical file will not be released to a third party.

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C. Employee Access to Staff Working Files

1. Staff will be given access to examine their personal working file if they request to do so. Upon written request through the Payroll Supervisor, staff may review their working file.
2. Staff may challenge any information in their working file and may petition to have the information removed. Staff will follow grievance procedure as provided in Policy #1.3.23: Employee grievances.

V. FORMS

The following forms are referenced and/or attached with this procedure and work rule:

Employee Grievance Form

VI. SEVERABILITY CLAUSE

If any part of this procedure and work rule is, for any reason, held to be in excess of the authority of the appointing authority, such decisions will not affect any other part of this policy.

VII. TRAINING:

None.