

	STANDARD OPERATING PROCEDURE <small>State Form 39870(R/S-06)</small>	Reference Number HMR-005
	Subject Personnel Files	
	Special Instructions Replaces HMR-005 dated February 16, 2011	Effective Date March 1, 2015

I. PURPOSE

Establish guidelines for the management of personnel files for employees and applicants.

II. POLICY

Upon being hired, all employees of the Department shall be given a permanent record personnel file. Applicants reaching a designated part of the selection process will be given temporary applicant files. All personnel files shall be maintained by the Human Resources Division and access to personnel files shall be restricted as outlined in this procedure.

III. PROCEDURE

A. Personnel Files shall typically include documentation of the employee's working career with the State of Indiana. Typical contents include the Application for Employment, PERF forms, Request for Leave, Performance Appraisals, memorandums, correspondence, miscellaneous notes, and Add, Rehire, Transfer, Change forms (as applicable) from the Office of the Auditor of the State.

B. Access to personnel files is limited to:

1. An employee or a designated legal representative to view the employee's personnel file;
2. The Superintendent or a designated representative to view all personnel files; and
3. Employees of the Human Resources Division who may access and review all Department personnel files in the performance of their authorized daily duties.

C. Background Investigations and Character References.

1. The termination or promotion to permanent status of an employee shall cause the removal and destruction of the employment background investigation to include all character references contained in the file.
2. When a background investigation has been conducted and character references obtained for an applicant who is not subsequently hired such reports shall be retained by the Department for one (1) calendar year then sent to the Records Center for two (2) additional calendar years and then destroyed.
3. No unsuccessful applicant, employee, or legal representative will at any time be allowed to view the applicable background investigation or character references.

D. Upon separation of employment, any division or district administrative file(s) shall be forwarded to the Assistant Chief of Staff (AC/S) Human Resources and Administration during

out-processing for inclusion into the Personnel File. All duplicate forms or copies will be destroyed.

E. Personnel files shall be maintained in the original form for three (3) years. The file shall then be microfilmed or electronically retained indefinitely and the original destroyed.

F. This procedure is to be used in conjunction with all relevant Department regulations, rules, policies, and procedures.