	CLERK OF THE COURT INTERNAL POLICY	
	Area: Administrative Services Document Number: POL-ADMIN-1006 Subject: Employee Records and Privacy Page: 1 of 3	Effective Date: 3/3/91 Revision Level: D Last Revised Date: 4/6/15

PURPOSE:

It is the purpose of this policy to establish standards by which information contained in employee records will be managed to achieve accuracy, privacy and compliance with regulations.

POLICY:

There are two categories of personnel records: Official Files and Supervisory Working Files (SWF).

Official Files:

Official employee files will be retained by the Clerk of Superior Court (COSC) Human Resources (COC HR) department. All employee files will be maintained in accordance with regulations.

Access to employee files is restricted by statute, Court rule and/or policy. When an employee or supervisor wishes to review a file, a written request must be made to the COC HR Manager.

Relevant events in each employee's history with the Clerk's Office will be recorded and kept in the employee's file. See the definitions section for a listing of typical documents kept in the file.


All medical documentation pertaining to an employee will be maintained in a separate "Medical File" which is secured from access by unauthorized persons.

Requests for information from employee files received from other County agencies, as well as inquiries from outside the County (including requests for references regarding past employment), shall be directed to the COC HR Manager.

Supervisors and other employees are prohibited from supplying personal or employment references on former or current employees, including writing letters of recommendation, unless authorized by the Clerk of the Court.

Supervisory Working Files:

Supervisory Working Files (SWF) are prepared and retained by an employee's supervisory chain to provide a reference source for preparation of appraisals and other personnel actions. Under no circumstances should medical information be kept in the

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SWF. Supervisors should consult with COC HR when questions arise as to the suitability of information placed in SWF's.

SWF will be secured from access by unauthorized persons. Access to SWF is limited to an employee's supervisory chain, although the contents of SWF may be disclosed through proper and timely administrative procedures to support actions involving the employee.

Upon an employee's transfer/termination, the SWF must be sent to COC HR for proper retention and destruction. The SWF may be transferred through COC HR to another supervisor if the employee transfers within the Clerk's Office. The SWF will not be transferred to another agency when an employee separates from the Clerk's Office.

APPLICABILITY:


This policy applies to all employees of the COSC.

DEFINITIONS:

Employee Records - in addition to standard county forms, other documents such as employment applications, resumes, agreements, personnel actions, commendation letters, letters for verification of employment, counseling forms, promotion/demotion documents, probation extensions and any written notes or memos documenting a conclusion or an action that may have an impact on an employee's status are employee records.

The following employee records are not to be placed in routine employee files, but are to be maintained in separate specialized and restricted files: grievances, industrial injury documentation,; documentation of on-going investigations, EEO charges, medical documentation, ADA accommodations, insurance information, criminal records and I-9 forms.

Medical Files - include, but are not limited to certifications of Health Care Provider forms, documentation relating to ADA accommodations and other medical documentation such as doctor's excuse notes, work limitations, workers' compensation and short and long term disability information.

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Supervisory Working Files (SWF) - include but are not limited to supervisory notes and comments involving an employee, work schedules, and documents that support counselings. Although the contents of a SWF is at the discretion of the preparing supervisor, it should not contain information inappropriate for effective personnel management or in violation of governmental regulations/policies such as information which might be used to illegally discriminate against employees.

REVISION HISTORY:

Revision Number	Issuing Authority	Summary of Changes	Approval Date
-	N/A	Document Origination	3/3/91
A	N/A	Revised	3/21/95
B	N/A	Revised	2/9/11
C	Lois Rees	Revised	4/6/15
D	Christine Kelly	Updated to Controlled Document Index	6/25/15

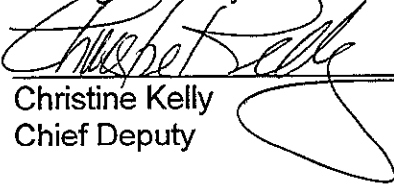
AUTHORIZED SIGNATURES:

Reviewed by:



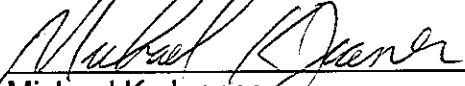
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Date Signed: 7/16/15