



Illinois Department of Corrections

Administrative Directive

Number: 03.02.107	Title: Personnel Files	Effective: 7/1/2020
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Authorized by:	<i>[Original Authorized Copy on File]</i> Rob Jeffreys Acting Director
Supersedes:	03.02.107 effective 4/1/1990 and amended 11/1/1990

Authority: 730 ILCS 5/3-2-2, 820 ILCS 40 et seq, and 20 ILCS 415 et seq	Related ACA Standards: 5-ACI-1C-20-21
Referenced Policies: 2 IAC 851	Referenced Forms: CMS 2 – Personnel Transaction CMS 100 – Examining/Employment Application CMS 201 MC or CMS 201 R – Performance Evaluation CMS 301A – Merit Increase Certification

I. POLICY

The security and maintenance of all Agency and division personnel files shall be in accordance with the provisions of this directive.

II. PROCEDURE

A. Purpose

The purpose of this directive is to establish written guidelines governing the responsibilities of authorized personnel staff in regard to the security and maintenance of personnel files.

B. Applicability

This directive is applicable to all correctional facilities, offices, programs and parole services within the Department.

NOTE: This directive only applies to Agency and division personnel files. It does not apply to working files maintained by supervisors.

C. Facility Reviews

A facility review of this directive shall be conducted at least annually.

D. Definitions

1. Personnel file – is a collection of official documents which trace the employee's work record, such as: the Examining/Employment Application form (CMS 100); Personnel Transaction forms (CMS 2); Performance Evaluation forms (CMS 201 MC or CMS 201 R); Merit Increase Certification forms (CMS 301A); and, as applicable, documents of any disciplinary action, commendation or any other official documents which specifically pertain to the employee's work record. (CMS forms were formerly DP forms.)
2. Agency personnel files – shall refer to the personnel files the Agency Personnel Office in Springfield maintains for all Agency employees.
3. Division personnel files – shall refer to the personnel files which are maintained in one designated area/office of a facility or program area by person or persons authorized by the Chief Administrative Officer to be responsible for processing personnel transactions and maintaining

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employee personnel files.

E. Requirements

1. All Agency and division personnel files shall contain only the official work history of employees.
 - a. Files shall be maintained in alphabetical order, i.e. last name, first name and middle initial.
 - b. Each individual file shall be maintained in a neat and orderly manner, tracing the employee's work history from present (in front) to past. Only one copy of each form or document shall be placed in the file.
 - c. Only authorized staff shall disassemble or reassemble the forms or documents in a personnel file.
 - d. Any changes made to correct any erroneous information in a file must be documented with a notation which briefly explains the reason for the changes. The notation must be dated and signed by an authorized Agency or division personnel staff member.
 - e. Any corrections in salary or effective dates on the following actions must first be returned to the Director's office for review and approval, and then be processed by the Agency Personnel Office before the transaction can be finalized and filed.
 - Promotion
 - Appointment
 - Leave of Absence
 - Suspension (more than 5 days)
 - Discharge
 - Voluntray Reduction
 - Layoff
 - Transfer
 - Superior Performance Increase
 - Salary Adjustment
 - MC Increase
 - Reallocation
 - Demotion
 - f. Only authorized personnel staff, supervisors and other authorized higher level Department administrators or their official designated representatives, such as employee review officers, attorneys and auditors, shall have access to an employee's personnel file.
 - g. A record of all files checked out of the designated personnel area or office shall be maintained by the authorized personnel staff. The record shall indicate the date and the name of the person to whom the file was charged.
 - (1) Only authorized personnel staff can retrieve or return a file or supervise the retrieval and return of a file to the appropriate location in the storage container or area.
 - (2) The party to whom the file is charged out to is responsible for the confidentiality, integrity and maintenance of the file while in his possession, and shall not rearrange the order of contents.
2. An employee or any person authorized in writing by the employee may review the employee's personnel file in the presence of authorized personnel staff and in accordance with the provisions provided in any current collective bargaining agreement and in 820 ILCS 40/1.
 - a. The employer shall grant the employee or his or her authorized representative at least two inspection requests during any calendar year. However, such requests must be

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made by the employee at reasonable intervals.

- b. The employer shall provide the employee or his or her authorized representative with the opportunity to inspect the employee's personnel records within seven working days of the request, when possible. If such a deadline cannot be met, the employer shall have an additional seven working days in which to comply.
 - c. Prior to review by the employee or his or her representative, authorized personnel staff may review the file to ensure that the file only contains documents such as those referenced in paragraph II.D.1. of this directive. Any material improperly placed in the personnel file shall be removed and filed in the appropriate place.
 - d. If the employee disputes any portion of his or her file, the employee may submit a written statement explaining his or her position and this statement shall be attached to the disputed portion of his or her personnel record.
 - e. Reasonable requests by authorized persons for copies of personnel records shall be honored. A fee may be imposed in accordance with the copying fee schedule listed in Department Rule 851, Freedom of Information.
3. When employment has been terminated by a settlement agreement:
- a. All appropriate parties shall be advised of stipulations of the agreement to ensure correct implementation. Special attention should be given to expungement and future reference requirements;
 - b. The settlement agreement shall be the most recent document displayed inside both the Agency and division files;
 - c. Both the Agency Personnel Office and the facility personnel representative shall be responsible for correctly implementing the settlement agreement.
4. When an employee takes a position in another facility or office within the Department, the divisional personnel file shall be forwarded to the personnel representative of the new employing facility. The copy of the file may be retained by the former employing facility.
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