



MISSOURI DEPARTMENT OF MENTAL HEALTH

KEITH SCHAFER, DEPARTMENT DIRECTOR



DEPARTMENT
OPERATING
REGULATION
NUMBER

DOR
6.560

CHAPTER Human Resources	SUBCHAPTER Employee Processing	EFFECTIVE DATE 6/22/15	NUMBER OF PAGES 3	PAGE NUMBER 1 of 3
SUBJECT Human Resources Personnel Files		AUTHORITY Section 630.050		History See Below
PERSON RESPONSIBLE Deputy Director, Office of Administration			Sunset Date 7/1/18	

PURPOSE: Maintaining necessary personnel records in an appropriate format is vital to the operation of a facility’s payroll, benefits, and employee management systems.

APPLICATION: The Department of Mental Health, its facilities, and workforce.

(1) PROCEDURES

(A) Access to employee personnel files is limited to administration, personnel office, or direct supervisor, and to the employee. Access to such files shall be authorized by the Human Resources Director or designee, and denial of access may be appealed to the appropriate Appointing Authority. Information may be released to other individuals or entities with proper authorization form/request completed by the employee. However, there may be certain situations in which auditors, federal investigators, etc., may have access to such employee personnel files.

(B) In order to provide management with appropriate information to base personnel decisions upon, an employer personnel file must be maintained. Such files are required to be maintained in locked files or within a locked room to assure privacy and security. The contents of such files should be maintained in accordance with current State of Missouri Records Retention Schedule. An employee’s personnel file shall consist of three separate files: The Personnel file; the Background Screening File; and the Medical File. Specific pieces of information are to be maintained in each separate file. Items maintained in the individual personnel files should include but not be limited to:

1. Application and Background information including application – DMH or merit, I.D. cards, license or certification, notification of examination ratings, qualification correspondence, resume or curriculum vitae, or transcripts;

2. Employment Status and History – address change or update, appointment letters, armed services information, budget information, conflict of interest, creditable service correspondence, credit report inquiries, fiscal year payoff (holiday/overtime) or any transfer of sick leave, vacation, etc. from another facility, interviews, jury duty, memos re: probationary period changing over to regular appointment, merit increase requests, memos, register letters, requests for transfer-employment, resignation letter(s), verification of family death for leave purposes, or wage record;

3. Performance – change of supervision, classification questionnaire (job description), letters of commendation, performance appraisal summary, performance planning and appraisal (including performance log), position allocation, probationary period extension, re-evaluating positions or review,



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reprimands/notice of disciplinary actions if for reasons other than medical, service reports, written counseling, or any documents which set forth specific expectations of behaviors/duties;

4. Miscellaneous – calling card form, exit questionnaire, financial disclosure statement (anything on Missouri Ethics Commission) flextime work schedule, key issue, release of information authorization, confidentiality statement, Title VI Civil Rights Act;

5. Training – application for short-term educational leave with pay, continuing education records, handbook receipt, orientation completion checklist, related correspondence, training records, confirmation of any required policies; and

6. Compensation benefits – cafeteria plan, deferred compensation, direct deposit, related correspondence, request for deduction, retirement forms, tax forms, transfer of leave balances and creditable time, health insurance forms, optional life insurance form, beneficiaries.

(C) Information that should be maintained in the Background Screening File include:

1. Application for child abuse/neglect screening and results;
2. Fingerprint screening release forms;
3. Fingerprint screening results;
4. Abuse/neglect issues (i.e. the abuse/neglect investigative reports; however any disciplinary letter related to abuse/neglect shall continue to be maintained in the employee personnel file);
5. Drug test consent form;
6. Record of verbal references, reference letters; and
7. Other necessary correspondence.

(D) Information included in the Medical File should include:

1. Requirements for doctor’s verification of illness;
2. Physician’s statements;
3. Worker’s Compensation issues;
4. Initial and subsequent health clearance;
5. Medical clearance to return to work, clinical evaluations, ability to perform essential functions statements;
6. Emergency contact form;
7. Employee injury reports; and
8. FMLA requests.

(E) The facility or Central Office should also maintain an employee grievance file, consisting of grievances and/or grievance responses.

(F) I-9 Forms, verification of employment eligibility, are maintained in separate files.

(G) The information maintained in the Medical File and the Background Screening File will not be considered as part of the employee’s individual personnel file. This information will be accessed only on a need to know basis.



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(H) Failure to comply or assure compliance with the requirements of this Department Operating Regulation will result in disciplinary action, up to and including dismissal.

HISTORY: Emergency DOR effective January 15, 2003. Final DOR effective June 15, 2003. Amendment effective July 1, 2006. On July 1, 2009, the sunset date was extended to July 1, 2012. On June 12, 2012, the sunset date was extended to July 1, 2015. Amendment effective June 22, 2015.