



## DHRM Policy Guide

### Policy 1.60, Standards of Conduct Managing Corrective and Disciplinary Records

Corrective and Disciplinary Records are considered confidential and must be retained in a secured location with access or disclosure provided only to authorized Human Resources staff and Agency supervisors/managers who have a need to know.

Retention of Written Notices	<ul style="list-style-type: none"> <li>● The active periods for Written Notices are definite and may not be extended due to an employee's absence.</li> <li>● Written Notices that are no longer active shall not be considered in an employee's accumulation of Written Notices; <ul style="list-style-type: none"> <li>○ However, an inactive notice may be considered in determining the appropriate disciplinary action if the conduct or behavior is repeated. For example, misconduct which, if a "first" offense, would normally be addressed through counseling may warrant a Written Notice when the employee has an inactive Notice on file for the same misconduct.</li> </ul> </li> <li>● Written Notices shall be kept in employees' official personnel files, including those that are no longer active.</li> <li>● If modifications or reductions to a Written Notice as issued via the Employee Grievance Process: <ul style="list-style-type: none"> <li>○ The Written Notice must be reissued with an explanatory letter detailing the changes and placed in the employee's official personnel file with a copy provided to the employee.</li> <li>○ The reissued Written Notice must include the updated expiration date according to the modified or reduced offense level. (Group II Active Life versus a Group III)</li> <li>○ The date of issuance for the original Written Notice continues to be applicable.</li> <li>○ A reduction in the level of the offense will impact the accumulation of other active offenses</li> </ul> </li> <li>● For determinations that the Written Notice was not justified, a grievance hearing officer may direct its removal from the employee's personnel file. However, the document(s) shall be retained in a grievance file or a separate confidential file and shall not be considered in relation to any future accumulated disciplinary or other personnel action.</li> <li>● Refer to the Library of Virginia's retention and destruction schedule prior to destroying Written Notices and related documentation.</li> </ul>
Retention of Counseling Documentation	<ul style="list-style-type: none"> <li>● Counseling documentation must be maintained in a confidential Supervisory File and not included in the official personnel file except as necessary to support subsequent formal disciplinary action or a Below Contributor performance rating as part of the annual performance review.</li> <li>● Follow DHRM Policy 6.10, Personnel Records Management regarding the retention and destruction of supervisory documentation.</li> </ul>