

## SDCRAA TALENT STANDARDS AND PROCEDURES

Section: **Employment**  
Standard: **PERSONNEL RECORDS**  
Section #: **A-10**  
Effective: September 3, 2008

Revised 9/ 29/14

See Also: Workplace Privacy

### ***GENERAL STANDARD***

The personnel files of each Authority employee are considered confidential records in accordance with applicable state and federal law. Access is limited to the employee, those with proper authorization, and/or pursuant to legal process. These records are the property of the Authority and include such information as the employee's job application, resume, records of training, and documentation of performance and wage changes. Personnel records may be maintained in "hard copy" as well as electronically.

### ***SPECIFIC STANDARDS***

- ❑ Managers will refer requests for personnel record information to the Director, Talent, Culture & Capability (or designee). Documents contained in an employee's personnel file will not be released without the employee's written consent, except as otherwise required by law. Should the manager receive a subpoena for release of records or a request pursuant to the California Public Records Act, the subpoena or request must be forwarded, upon receipt, to the Director, Corporate Services who notifies and provides a copy to the Talent, Culture & Capability Director and General Counsel.
- ❑ Managers may review the personnel files of those employees who:
  - Have a current reporting relationship to the manager, and/or
  - Have been interviewed and are being considered for a position reporting to the manager

The review of an employee's personnel file shall take place in the Talent, Culture & Capability Department at a mutually convenient time.

- ❑ An internal investigative body that demonstrates a "need to know" may review an employee's personnel records in the Talent, Culture & Capability Department in the presence of a Talent, Culture & Capability Department representative.
- ❑ An employee may review his/her personnel files in the Talent, Culture & Capability Department with a Talent, Culture & Capability Department representative present at a mutually convenient time. Upon request, the employee may be provided copies of all documents.
- ❑ Confidentiality with respect to personnel records is to be maintained regardless of where the records are kept or reviewed.
- ❑ Any records of medical evaluation results will be maintained in a separate file, in accordance with legal requirements, and may be reviewed only by authorized individuals with the approval of the Director, Talent, Culture & Capability (or designee).
- ❑ An employee can make a written request to the Director, Talent, Culture & Capability, that letters of reprimand, letters of warning, and/or written counseling (but not suspensions) that are over two (2) years old be removed from his or her personnel file. The employee's request will be granted if there has been no recurrence of a similar nature during the two (2) year period since the imposition of the disciplinary action about which the request has been made. The Director, Talent, Culture & Capability shall determine if there has been a recurrence by reviewing the employee's personnel file and reviewing the request with management of that employee's department.

Managers may not maintain separate employee personnel files that include materials and documentation not filed in the Authority personnel file. The only exception to this prohibition is the manager's "working notes", notes which are maintained for short periods of time to be used as supporting information for

conducting performance appraisals or documenting performance problems or accomplishments.

## ***PROCEDURES AND GUIDELINES***

All items which are to be included in an employee's personnel file shall be submitted to a specific representative in the Talent, Culture & Capability Department. Such information shall be sent for inclusion in an employee's personnel file in a sealed envelope marked as "confidential" or delivered personally to the Talent, Culture & Capability Department.

### **Employee Responsibility**

If an employee wishes to review his/her own records, the manager should instruct the employee to contact a representative of the Talent, Culture & Capability Department to schedule a convenient time for the review.

### **Management Responsibility**

A manager who wishes to review the personnel file of an employee should contact a representative of the Talent, Culture & Capability Department to schedule a time for the review.

A manager who wishes to review the personnel files of employees applying for vacant positions should make arrangements through the Talent, Culture & Capability Department staff.

Managers are to encourage employees to notify their managers and/or the Talent, Culture & Capability Department promptly when important changes occur, including but not limited to changes to the employee's:

- Driving record or status of driver's license if the employee operates an Authority vehicle, regularly drives on Authority business, or drives on the airfield;
- Exemptions on the employee's W-4; or
- Completion of educational and training courses.

Managers are responsible for ensuring that employees submit Personnel Action Forms when there is a:

- Change of address or telephone number;

- Name change;
- Change of emergency contact; and/or
- Change in marital status, dependents, or beneficiary(ies).