

CITY OF EUREKA

Category: Human Resources

POLICIES & PROCEDURES

Subject: Personnel Files

Date Adopted:

File 3.32
Number

PURPOSE

Individual personnel files are maintained for each City employee in the Department of Human Resources per the City's Personnel Rules and Regulation § 1202 "Personnel Files". These files provide a compilation of documents pertaining to the individual's employment with the City and are used for reference and as an aid for various administrative functions. It is the policy of the City to maintain these files in a manner that protects individual privacy, maintains appropriate security, prevents misuse of information, and complies with government record-keeping requirements. Personnel files are the property of the City, and access to the information they contain is restricted to protect employee privacy interests.

SCOPE

Personnel files are maintained for all City employees as defined under the City's Personnel Rules and Regulation §106 "Categories of Employees", which includes Regular Full-Time, Regular Part-Time, Temporary/Seasonal/Extra-Help, At-Will and Volunteer employees.

POLICY

1. INFORMATION CONTAINED IN EMPLOYEE FILES

Contents of employee personnel folders are limited to information relevant and necessary to accomplish business purposes of the City and directly related to employees' job histories. Types of documents include:

A. APPOINTMENT & ONBOARDING INFORMATION

- Job applications, Resumes
- Qualification Verification (Certifications, Licenses, Degrees, etc.)
- Offer Letters
- Supplemental Questionnaires and Background Information

B. EMPLOYMENT DOCUMENTS

- Job Description(s)
- Change of employee status forms (PA's)
- Promotion and Transfer Documentation

C. COMPENSATION & BENEFITS

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- Wage Adjustments
- Benefits Enrollment and Change forms
- Tax and Payroll forms

D. EDUCATION & TRAINING

- Certificates/Awards/Degrees (copies after initial hire)
- Mandatory Training Verifications
- Professional Development Records

E. PERFORMANCE MANAGEMENT AND DISCIPLINARY ACTIONS

- Performance Evaluations and Improvement Plans
- Written Reprimands
- Letters of Disciplinary or Proposed Disciplinary Action
- Rejection from probation documentation
- Notice of separation from the City
- Sustained Personnel Complaints

F. LEAVE RECORDS

- Leaves of Absence Authorizations
- Bereavement Leave
- FMLA/CFRA
- Special Circumstances (Catastrophic) Leave Requests

G. MISCELLANEOUS

- Letters of commendation (directly related to work accomplishments)
- Outside Employment Authorization
- Remote Work Agreements
- Military authorization documents
- Signed Policy Acknowledgements
- Accident reports

2. VOLUNTARY SUBMISSION OF DOCUMENTS

Employees who wish to submit documents suitable for inclusion in personnel files, such as formal letters of appreciation, significant certificates of training achievement, copies of diplomas, degrees or awards, or rebuttals to performance evaluations should submit the document to Human Resources. Staff will review and file the documents if suited for inclusion, or return them if the documents are not consistent or appropriate for retention.

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3. CONFIDENTIALITY, SECURITY AND ACCESS

Both physical and electronic personnel files will be stored in a secure location with restricted access to authorized personnel. Electronic files will be password-protected and stored on secure servers. Physical Personnel files are retained and secured in locked cabinets in Human Resources. They may not be removed or checked out from Human Resources.

Examination of personnel records may be done only with the approval of Human Resources. While a personnel file is being reviewed by an employee or other authorized individual, an HR staff member shall be present at all times to assure the integrity of the file.

4. ACCESS TO PERSONNEL FILE BY INDIVIDUALS OTHER THAN EMPLOYEE

Department Director or their representative, criminal investigators, HR staff members and present or potential future supervisors are the only persons authorized to review an individual's file without a statement signed by the employee. Any other person must have either a written authorization (release) signed by the employee or a subpoena issued by a court of proper jurisdiction. "Potential supervisors" are individuals who are capable of selecting an employee because they are authorized to fill a vacant position for which the employee has applied for within the City.

5. FILE RETENTION AFTER EMPLOYEE SEPARATION

Employee personnel files become inactive when a City employee separates from City service. Personnel files are retained in the HR office until purged according to the adopted Records Retention Policy 1.10.

6. EMPLOYEE RESPONSIBILITY

Employees have a responsibility to keep their personnel records up to date and should notify HR as soon as possible of a change in any of the following:

- a. Legal name
- b. Home address
- c. Telephone number
- d. Marital status
- e. Number of dependents
- f. Changes of beneficiaries
- g. Persons to be notified in cases of emergency

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Documentation of these changes will not necessarily be retained in the employee's file; however, coverage of benefits that an employee receives could be negatively affected if this information is incorrect.

7. MEDICAL FILES

Medical Files shall be maintained separately from all other personnel records in Human Resources and shall contain all documents relating the employees' medical condition and history, including but not limited to:

- Material relating to a medical leave of absence
- Documents relating to workers' compensation claims
- Short term disability benefits
- Fitness for duty examinations, psychological and physical examinations, follow-up inquires and related documents
- Medical release forms, doctor's slips
- Any other documents that reveal the employee's medical history or condition.

8. DEPARTMENT FILES

Individual departments may maintain files necessary for supervision, unfounded complaints, and training. Types of documents include:

- Internal policy review
- Training documentation
- Documented verbal Counseling
- Supervisor notes or memos

9. INTERNAL AFFAIRS FILES (Police Department)

Internal affairs files shall be maintained under the control of the Police Department. These files shall contain the complete investigation of all formal complaints of member misconduct. (Penal Code §832.12) Investigations of complaints that result in the following findings shall not be placed in the employees personnel file maintained by Human Resources but will be maintained in the internal affairs file within the Police Department.

- Not sustained
- Unfounded
- Exonerated

10. BACKGROUND INVESTIGATION FILES (Police Department)

P.O.S.T Background investigations will be maintained in the Police Department for department members.