

CALIFORNIA INSTITUTE OF TECHNOLOGY

STAFF PERSONNEL MEMORANDA

Subject: Employee Personnel Records	Memo No. 12 Pages: 2 Date: 2/28/2014
Approved by: Julia McCallin, Associate Vice President for Human Resources	

(This supersedes Memo No. 12, dated 4/10/2013)

1.0 Policy

The Institute maintains and retains employee personnel records for employees as required by Federal and State laws. An employee's personnel records are considered confidential and are handled and treated accordingly to protect the employee's privacy.

2.0 File Access for Current Employees

2.1 Staff and scholars, or their designated representative, may review their employee personnel records at reasonable times, generally once a year, during regular business hours in the presence of a Human Resources representative or designee. Faculty or their designated representative, may review their employee personnel records at reasonable times, generally once a year, during regular business hours in the presence of a Faculty Records Office representative or designee.

2.2 An employee may request to review or obtain a copy of his/her personnel records by submitting a written request to his or her supervisor, Human Resources, or the Faculty Records Office. The Institute's request form or another form of written request may be used.

At campus, the Personnel Record Review Request form is available at:
http://hr.caltech.edu/documents/116-personnel_file_review_request.pdf

At JPL, the form is at:
<http://hr.jpl.nasa.gov/policies/guidance.cfm>

- 2.3 An employee may designate a representative to request to review or receive a copy of the employee's personnel records, by providing a written authorization for this representative to Human Resources or the Faculty Records Office. The representative may use the Institute's request form or another form of written request, and submit it to Human Resources or the Faculty Records Office.
- 2.4 Within thirty days of receiving the written request, the Institute will make employee's personnel records available for inspection and provide a copy of the records if requested by the employee or his or her representative.
- 2.5 An employee may receive a copy of the contents of his/her personnel records, subject to legal exceptions.
- 2.6 An employee will not lose any pay for traveling to another work location to review his or her employee personnel records.

3.0 File Access for Former Employees

- 3.1 Once a year, a former employee, or his/her designated representative, may request to review or receive a copy of the employee's personnel records. This request must be in writing. The former employee or his or her representative, may, but is not required to, use the Institute's Personnel Records Review Request Form.
- 3.2 2.3, 2.4 and 2.5 also apply to former employees.

4.0 Exceptions

Any exceptions to this policy require the approval of the Provost for Faculty, Associate Vice President for Human Resources or designee for Campus staff and scholars, or of the Director for Human Resources at JPL or designee for JPL staff.