

CALIFORNIA INSTITUTE OF TECHNOLOGY
STAFF PERSONNEL MEMORANDA

SUBJECT EMPLOYEE PERSONNEL FILES	MEMO NO. <u>12</u>
	PAGE <u>1</u> OF <u>2</u>
	DATE <u>7/1/76</u>
APPROVED <u><i>[Signature]</i></u> , VICE PRESIDENT FOR BUSINESS AFFAIRS	

1. Policy

It is the policy of the Institute to maintain personnel records on employees as a source of information for effective administration, development and utilization of human resources, and as required by various federal and state laws and regulations.

All employees have the opportunity to review their personnel file. However, the employee will not be provided access to letters of reference or records of an employee relating to the investigation of a possible criminal offense.

2. General

- a) File Initiation and Maintenance is the joint responsibility of both the hiring department and the Personnel department. Files will contain official Institute documents such as status notices, Qualification Summaries and Patent Agreements as well as letters of reference, commendations, training and development records, medical releases and necessary documentation concerning performance or disciplinary actions. Personnel department also maintains a separate set of files detailing each employee's benefit program participation.

Note: Letters of reference include letters and memos which originate both on and off campus, for both prospective and current employees, and also include records of telephone calls which serve the same function as written letters of reference.

- b) Objective and adequate documentation is a goal for each employee's personnel file contents. Each supervisor and department/division head is responsible to insure this goal is attained.

3. Procedural Details

Each Caltech employee has a right to annually review his or her file in accordance with the following procedure:

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- 1) The employee request may be in either oral or written form.
- 2) A definite appointment time will be established, normally within 48 hours after request has been received. This appointment will be made during regular business hours.
- 3) Prior to the appointment, letters of reference and any records relating to the investigation of a possible criminal offense will be temporarily removed from the employee's file until after the review.
- 4) The employee will review the file in the presence of an authorized individual who can answer file content questions and who can maintain file security.

4. Exceptions

Any exception to this policy requires the approval of the Vice President for Business Affairs or designee.