

**CITY OF BEAUMONT
POLICIES AND PROCEDURES MANUAL**

Policy Number: 5.1

Subject: Personnel Records

Effective Date: April 1, 1999

Approved by: Kyle Hayes | 05/01/2021
City Manager | Date

Chris Catalina | 05/01/2021
Personnel Director | Date

I. PURPOSE

The purpose of this policy is to provide consistent procedures regarding the maintenance, access, security, and retention of employees' records or files and general files.

II. RULES/PROCEDURES

- A. The Personnel Department shall be the official keeper of all employee personnel records.
- B. The official personnel files of all employees covered by the Civil Service Act shall be maintained in a centralized location as designated by the Civil Service Director.
- C. Departments may maintain a working file on each employee as long as they comply with the provisions contained in this policy regarding access, security, and controls.
- D. The **original copy** of all data such as disciplinary actions, initial and final warnings, suspensions, and letters of commendations, shall be maintained in the employee's record located in Personnel.
- E. Each employee shall complete a leave form whenever requesting any type of leave. In cases where the department does not have an existing form, the department shall request a copy of a form from the Personnel Department.
- F. Upon transfer of an employee, all working files shall be transferred to the new department or division.
- G. Any employee seen removing original documents from his/her file or that of another employee's file without proper authorization shall be subject to strict disciplinary action.

- H. An employee's file may be reviewed but may only be removed from the Personnel Department by written request from the department director.

III. SECURITY AND ACCESS TO PERSONNEL FILES

- A. All personnel files shall be kept in a location that is securely locked during non-business hours.
- B. Security audits may be conducted quarterly by the Personnel Director or designee to ensure compliance with established guidelines and security requirements.
- C. Access to personnel files shall be limited to the following:
 - 1. Employees maintaining such files.
 - 2. A City employee accessing his/her own file.
 - 3. A person who has been granted power of attorney by an employee, subject to the presentation of proper identification.
 - 4. Any former employee may review his/her file, subject to presentation of proper identification.
 - 5. By order of any state or federal law or court of record having jurisdiction over such records.
 - 6. Supervisors in the employee's direct chain of command.
 - 7. The City Attorney or designee.
 - 8. Requests authorized by the City Manager or any member of the Personnel Department.
- D. All files or records may be reviewed in accordance with the Open Records Act.
- E. The Personnel staff shall maintain a log, notations, and authorizations in the employee personnel file indicating date, time, name, and purpose of anyone examining an employee's file(s) other than those charged with their maintenance.
- F. A representative of Personnel shall be present during on-the-spot review of an employee's personnel file (by anyone other than a Personnel representative). Exceptions are in the cases of a review by the department director or a supervisor in the direct chain of command.

<u>Document</u>	<u>Retention</u>
2. Personnel Requisition	2 years after position is filled or found unfillable
3. Job Announcements	2 years
4. TMRS Reports	Permanent
5. Personnel Studies/Surveys	5 years
6. Service Awards Records	2 years
7. Civil Service Board Minutes	Permanent
8. Civil Service Examination	
a. Validation	Life of examination
b. All others	3 years
9. Employment Applications	2 years
10. Grievance Form	5 years after termination
11. Unemployment /Workers' Compensation claim	5 years after final settlement

VI. CLASSIFICATION OF FILES

- A. Personnel shall maintain within their records area, separate files in the following categories:
1. Full-time civilian employees
 2. Part-time, casual, temporary, and seasonal employees
 3. Civil Service employees
 4. Retired employees
 5. Terminated employees
 6. General files
- B. Files of terminated employees may be placed on microfilm, microfiche, and other similar storage systems one year after termination date.