

		Policy # 802
Subject: Maintenance Of Personnel Files		
Responsible Department: Personnel Services		
Effective Date: 03/1978		Revision Date: 07/1982
David Devine Director of Personnel Services		Navdeep S. Gill County Executive

1. Purpose

The purpose of this policy is to set forth a procedure for maintenance and disposition of personnel records on County employees.

2. Authority

Chief Executive Officer Approval.

3. Scope

The objective of this policy is to provide a common understanding as to the location of various personnel records and thereby avoid, whenever possible, duplication in record keeping. It also provides a system to coordinate the records maintained by the Department of Personnel Management and the operating departments of Sacramento County.

Employee Records to be maintained by The Department of Personnel Management:

All Appointment Forms

Loyalty Oath

Ethnic Survey Form

Provisional Form

Provisional Extension

Statement of Understanding

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Benefits Change Form

W-4 Form

Power of Attorney, Deposit Slip, Input documents

Limited Term Statement

Commission/Board Minutes relating to status of individual employees

Applications and Resumes

Leave of Absence Form

Return from Leave of Absence Masterfile

Special Pay Allowance and Educational Incentive Pay input document

Registered Licenses and Certificates (If required by spec's)

Name Change Documents

Warrant Designee

CSC records regarding disposition of disciplinary actions

Termination masterfile

Resignation Statement Form letter

ASA's

Vacation Accrual Code Changes

Master Roster Cards

Letters of Resignation

College Transcript of Degree (If required by spec's)

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Employee Records to be Maintained by the Employee's Department:

The employee's department is responsible for maintaining a personnel file and a time and attendance file for each employee. The following describes the documents which are contained in each of those files.

1. Personnel File:

- a. Performance Evaluations
- b. County Training Certificates
- c. Letters of Appreciation and/or Commendation
- d. Emergency Data Sheets (Personal)
- e. Letter of Deferred Status Form Retirement
- f. Department Roster Card
- g. Last Active Masterfile
- h. Code of Ethics/Conflict of Interest Statements
- i. Records relating to reprimands and disciplinary actions
- j. Other Miscellaneous Correspondence Documents Directly Affecting Employees
- k. Miscellaneous Related Department items
- l. College Transcript or Degree used to allow a Special Pay Allowance or Educational Incentive Pay Incentive

2. Time and Attendance File:

- a. Absence/Overtime Requests
- b. Emergency/In-Lieu Warrant Forms
- c. Department Time Sheet Copies

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- d. Retirement Application and Pay Calculations
- e. Miscellaneous Payroll Adjustments
- f. Work Distribution Copy (if applicable)

Disposition of Records in Cases of Inter-Department Transfers:

1. In cases of inter-department transfers, the entire personnel file must be forwarded from the losing department to the gaining department.
2. The file will be forwarded to the gaining department with a copy of the completed form, DPM-181, "Transfer Statistics".
3. The time and attendance file must be maintained by the losing department and is never forwarded to the gaining department.

Disposition of Records in Cases of Employee Terminations:

In any case of employee termination, the personnel file and time and attendance fill will be maintained at the department level. In the case of a reinstatement of reemployment of a prior county employee to another department, the new personnel file will be created and maintained. If the employee reinstates or is reemployed by the same department, the same personnel file can be utilized.

Elected Officials and/or Special District Employees:

Personnel Management does not maintain personnel files on elected officials and employees who are not regular county payroll employees (Special district payroll). Their personnel files are maintained entirely at the operating department level and should contain all personnel records.

4. Procedures Not Applicable

5. Review Not Applicable