

 <b>Tucson, Arizona</b> <b>POLICY REGULATION</b>	REGULATION TITLE: Personnel Records and Files
	CODE: GBJ - R

### Official Personnel File Content

A personnel file (hard copy and/or electronic) will be created for each employee. All important job-related documents should go in the file, including:

- Job description for the position
- Signed job application
- Offer of employment
- Transcripts
- Teaching or other credentials
- Hiring, promotion and transfer records (Personnel Action Forms – PAFs, Recruitment Action Forms – RAFs)
- Receipt or signed acknowledgement of
  - Loyalty oath
  - Acceptable Use Policy
  - Confidentiality Policy
  - Discrimination Policy
  - Sexual Harassment Policy
  - Alcohol and Drug Policy
  - Child Abuse Policy
- Performance evaluations
- Disciplinary actions
- Any contract, written agreement, receipt, or acknowledgement between the employee and the employer
- Documents relating to the worker’s separation from the District.

No evaluation or record of discipline may be placed in the personnel file unless it meets the following requirements:

- The document must be signed and dated by the person originating the document.
- The employee must have an opportunity for inspection of the information prior to placement in the employee’s personnel file and the event will be documented.
- The employee will sign or initial the evaluation and any denial or explanation will become a part of his/her personnel file. If the employee refuses to sign or initial the document, this shall be noted by the administrator.

### Retention of Official Personnel File

The District will retain the official personnel file for five years after the employee’s separation from the District.

### **General Access to a Personnel File**

All documents within a personnel file are confidential. The District will permit access to a personnel file to the following persons without consent of the employee about whom the file is maintained.

- Those school officials involved in the evaluation process of the individual
- Those district officials who are responsible for internal confidential investigations
- Those district officials responsible for handling worker's compensation claims
- The employee's supervisor
- Human Resources personnel
- A prospective supervisor within TUSD
- Individual Board members only when specifically authorized by the Board, as evidenced by action of a quorum of the Board in a legal meeting properly noticed.

No other person may have access to a personnel file except under the following circumstances.

- When the employee gives written consent to the release of his/her records. (The written consent must specify the records to be released and to whom they are to be released. Each request for consent must be handled separately.)
- When lawfully subpoenaed or under court order.

### **Employee's Access to Personnel File**

Each employee has the right to review the contents of his/her personnel file. The employee does not have the right to review references and recommendations provided to the District on a confidential basis.

- Employee may receive one copy of their personnel file without cost.
- Separated employees may receive a copy of their personnel files for a fee of \$12.00.

### **Personnel Records/Information for Payroll and Benefits Purposes**

The District keeps information, records and documents collected by the District to handle an employee's payroll account and benefits account in a file separate from records noted above. Payroll files include, but are not limited to:

- IRS Form W-4
- Forms relating to employee benefits
- Forms providing next of kin and emergency contacts

The District limits access to this information to those persons involved in the payroll and benefits process.

- Employees requesting duplicate payroll information will be charged \$.20 a page.
- If research is needed to fulfill the employee's request a \$20.00 per hour charge will apply with a minimum of 15 minutes.

### **Personnel Records – Supervisor's Desk File**

Supervisors may maintain an employee file in a locked cabinet. The file may include, but is not limited to:

- Notes on attendance or tardiness
- Complaints from customers and/or co-workers
- Awards or citations for excellent performance
- Documented conversations regarding performance

Note: Supervisors shall NOT include employee medical records in their desk file.

### **Other Personnel Records**

Medical / Health Records: Workers' medical file/health records (disability, FMLA, others) will be maintained in a separate Human Resources file to protect confidentiality. The District limits access only to those who are involved in disability or FMLA management process.

Immigration Form I-9: The Immigration Reform and Control Act of 1986 prohibits employers from hiring aliens not legally eligible to work in the United States. The District complies with the provisions of the INS regulation by requiring employees of the District to complete an INS Form I-9. These forms are maintained in a separate file in Human Resources and are available for inspection only by the appropriate authorities as designated under the Act.

Reviewed: June 24, 2005 [Friday Report]  
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**Legal Ref:** Arizona State Library, Archives and Public Records

**Cross Ref:**