

**Regulation 4212.6: Personnel Files**

**Status:** ADOPTED

**Original Adopted Date:** 03/01/2001 | **Last Revised Date:**  
03/01/2016 | **Last Reviewed Date:** 03/01/2016

The Superintendent or designee shall maintain personnel files for all current employees at the district's central office or at the location where the employee works.

The Superintendent or designee shall determine the types of information to be included in personnel files, including, but not limited to, records required by law, and shall process all material to be placed in such files.

Personnel files for district police or security officers shall be maintained and accessed in accordance with Government Code 3305-3306.5 and AR 3515.3 - District Police/Security Department.

**Placement of Material in Personnel Files**

Any supervisor or administrator who places written material or drafts written material for placement in an employee's file shall sign the material and indicate the date of the placement.

When an employee is asked to sign any material that is to be placed in his/her file, he/she shall be informed that the signature only signifies that he/she has read the material and does not necessarily indicate that he/she agrees with its contents.

Any request by an employee to include materials in his/her personnel file must be approved by the Superintendent or designee.

An employee may initiate a written reaction or response to his/her performance evaluation. The response shall be permanently attached to the evaluation and placed in the employee's personnel file.

**Derogatory Information**

Information of a derogatory nature shall not be entered into an employee's personnel file unless and until the employee is given notice and an opportunity to review and comment on that information. Such a review shall take place during normal business hours. The employee shall be released from duty for this purpose without a salary reduction. The employee may enter his/her own comments and have them attached to the derogatory statement. (Education Code 44031)

**Persons with Authorized Access**

The Superintendent or designee shall maintain the confidentiality of any personnel records which, if inappropriately disclosed, would constitute an unwarranted invasion of the employee's privacy.

Access to an employee's personnel file shall be granted only to the employee, persons authorized

by the employee, district personnel, and others with a valid "right to know" or "need to know" who are authorized access by the Superintendent or designee.

Individual Governing Board members shall not be allowed to access personnel files, but the Board may request pertinent information from an employee's file in cases of personnel action.

Any authorized reviewer shall maintain strict confidence of the contents of a personnel file. Personnel files shall be reviewed and replaced within the shortest time possible. In no case shall a personnel file be left unattended or left unsecured overnight.

### **File Review by Employee**

Any employee wishing to inspect his/her personnel record shall contact the Superintendent or designee.

With the exceptions noted below, all personnel records related to the employee's performance or to any grievance concerning the employee shall be made available for inspection by the employee. Noncredentialed employees shall have access to any numerical scores obtained as a result of written examinations. (Education Code 44031; Labor Code 1198.5)

The Superintendent or designee shall not be required to make available to the employee: (Education Code 44031; Labor Code 1198.5)

1. Records related to the investigation of a possible criminal offense
2. Letters of reference
3. Ratings, reports, or records that were obtained prior to the employee's employment, prepared by identifiable examination committee members, or obtained in connection with a promotional examination

Personnel records related to the employee's job performance or to any grievance concerning him/her shall be made available to the employee at reasonable intervals and at reasonable times. The Superintendent or designee shall not be required to make such records available at a time when the employee is required to render services to the district, unless the employee is required to view the file where it is stored. (Education Code 44031; Labor Code 1198.5)

The Superintendent or designee shall do one of the following: (Labor Code 1198.5)

1. Keep a copy of each employee's personnel records at the place where the employee reports to work
2. Make the employee's personnel records available at the place where the employee reports to work within a reasonable period of time following the employee's request

3. Permit the employee to inspect the personnel records at the location where the district stores the personnel records, with no loss of compensation to the employee

The employee may be accompanied by a representative of his/her choice while reviewing his/her personnel records.

Inspection shall take place in the presence of the Superintendent or designee. The Superintendent or designee shall keep a record of the date and time the file was reviewed and the name and title of the person(s) present during the review.

In no instance shall any material be removed from the records. Requests for copies of material in a personnel record must be made in writing.

## Record Retention

Personnel records for current and former employees shall be retained in accordance with 5 CCR 16023.

The Superintendent or designee shall not expunge from an employee's personnel file, nor enter into an agreement that would authorize expunging from an employee's personnel file, credible complaints of, substantiated investigations into, or discipline for egregious misconduct as defined in Education Code 44932. However, such documentation may be removed if, during a hearing before the Board, an arbiter, personnel commission, Commission on Professional Competence, or administrative law judge, the employee prevailed, the allegations were determined to be false, not credible, or unsubstantiated, or a determination was made that the discipline was not warranted. (Education Code 44939.5)

| State                       | Description                                                                       |
|-----------------------------|-----------------------------------------------------------------------------------|
| 5 CCR 16020-16022           | Records; general provisions                                                       |
| 5 CCR 16023-16027           | District records; retention and destruction                                       |
| Ed. Code 35253              | <u>Regulations to destroy records</u>                                             |
| Ed. Code 44031              | <u>Personnel file contents and inspection</u>                                     |
| Ed. Code 44663              | <u>Performance appraisals and related materials</u>                               |
| Ed. Code 44932              | <u>Grounds for dismissal of permanent employees</u>                               |
| Ed. Code 44939.5            | <u>Report of egregious misconduct</u>                                             |
| Gov. Code 3305-3306.5       | <u>District police officers; personnel files</u>                                  |
| Gov. Code 7920.000-7930.215 | <u>California Public Records Act</u>                                              |
| Gov. Code 7927.700          | <u>Exemption for personnel records if invasion of personal privacy</u>            |
| Gov. Code 7928.300          | <u>Disclosure of employee contact information to employee organization</u>        |
| Lab. Code 1198.5            | <u>Personnel records related to performance and grievance</u>                     |
| Pen. Code 11165.14          | Report of investigation of child abuse complaint                                  |
| <b>Management Resources</b> | <b>Description</b>                                                                |
| Attorney General Opinion    | Cal. Atty. Gen., Indexed Letter, no. IL 75-73 (June 6, 1975)                      |
| Court Decision              | Bakersfield City School District v. Superior Ct. (2004) 118 Cal.App.4th 1041      |
| Court Decision              | Marken v. Santa Monica-Malibu Unified School District (2012) 202 Cal.App.4th 1250 |
| Website                     | <u>CSBA District and County Office of Education Legal Services</u>                |

| <b>Code</b> | <b>Description</b>                                                 |
|-------------|--------------------------------------------------------------------|
| 0440        | <u>District Technology Plan</u>                                    |
| 0440        | <u>District Technology Plan</u>                                    |
| 1312.1      | <u>Complaints Concerning District Employees</u>                    |
| 1312.1      | <u>Complaints Concerning District Employees</u>                    |
| 1340        | <u>Access To District Records</u>                                  |
| 1340        | <u>Access To District Records</u>                                  |
| 3400        | <u>Management Of District Assets/Accounts</u>                      |
| 3400        | <u>Management Of District Assets/Accounts</u>                      |
| 3514.1      | <u>Hazardous Substances</u>                                        |
| 3514.1      | <u>Hazardous Substances</u>                                        |
| 3515        | <u>Campus Security</u>                                             |
| 3515        | <u>Campus Security</u>                                             |
| 3515.3      | <u>District Police/Security Department</u>                         |
| 3515.3      | <u>District Police/Security Department</u>                         |
| 3580        | <u>District Records</u>                                            |
| 3580        | <u>District Records</u>                                            |
| 4030        | <u>Nondiscrimination In Employment</u>                             |
| 4030        | <u>Nondiscrimination In Employment</u>                             |
| 4032        | <u>Reasonable Accommodation</u>                                    |
| 4111.2      | <u>Legal Status Requirement</u>                                    |
| 4111.2      | <u>Legal Status Requirement</u>                                    |
| 4112.2      | <u>Certification</u>                                               |
| 4112.2      | <u>Certification</u>                                               |
| 4112.41     | <u>Employee Drug Testing</u>                                       |
| 4112.41     | <u>Employee Drug Testing</u>                                       |
| 4112.5      | <u>Criminal Record Check</u>                                       |
| 4112.5-E(1) | <u>Criminal Record Check</u>                                       |
| 4112.61     | <u>Employment References</u>                                       |
| 4112.9      | <u>Employee Notifications</u>                                      |
| 4112.9-E(1) | <u>Employee Notifications</u>                                      |
| 4115        | <u>Evaluation/Supervision</u>                                      |
| 4115        | <u>Evaluation/Supervision</u>                                      |
| 4117.5      | <u>Termination Agreements</u>                                      |
| 4118        | <u>Dismissal/Suspension/Disciplinary Action</u>                    |
| 4118        | <u>Dismissal/Suspension/Disciplinary Action</u>                    |
| 4119.23     | <u>Unauthorized Release Of Confidential/Privileged Information</u> |
| 4131.1      | <u>Teacher Support And Guidance</u>                                |
| 4131.1      | <u>Teacher Support And Guidance</u>                                |
| 4144        | <u>Complaints</u>                                                  |
| 4144        | <u>Complaints</u>                                                  |
| 4151        | <u>Employee Compensation</u>                                       |
| 4154        | <u>Health And Welfare Benefits</u>                                 |
| 4154        | <u>Health And Welfare Benefits</u>                                 |
| 4211.2      | <u>Legal Status Requirement</u>                                    |
| 4211.2      | <u>Legal Status Requirement</u>                                    |
| 4212.41     | <u>Employee Drug Testing</u>                                       |
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| 4212.5-E(1) | <u>Criminal Record Check</u>                                       |
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| 4212.9      | <u>Employee Notifications</u>                                      |
| 4212.9-E(1) | <u>Employee Notifications</u>                                      |
| 4215        | <u>Evaluation/Supervision</u>                                      |
| 4217.5      | <u>Termination Agreements</u>                                      |
| 4218        | <u>Dismissal/Suspension/Disciplinary Action</u>                    |
| 4218        | <u>Dismissal/Suspension/Disciplinary Action</u>                    |
| 4218.1      | <u>Dismissal/Suspension/Disciplinary Action (Merit System)</u>     |
| 4219.23     | <u>Unauthorized Release Of Confidential/Privileged Information</u> |
| 4251        | <u>Employee Compensation</u>                                       |

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|-------------|--------------------------------------------------------------------|
| 4254        | <u>Health And Welfare Benefits</u>                                 |
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| 4312.9-E(1) | <u>Employee Notifications</u>                                      |
| 4315        | <u>Evaluation/Supervision</u>                                      |
| 4317.5      | <u>Termination Agreements</u>                                      |
| 4319.23     | <u>Unauthorized Release Of Confidential/Privileged Information</u> |
| 4344        | <u>Complaints</u>                                                  |
| 4344        | <u>Complaints</u>                                                  |
| 4351        | <u>Employee Compensation</u>                                       |
| 4354        | <u>Health And Welfare Benefits</u>                                 |
| 4354        | <u>Health And Welfare Benefits</u>                                 |
| 5141.4      | <u>Child Abuse Prevention And Reporting</u>                        |
| 5141.4      | <u>Child Abuse Prevention And Reporting</u>                        |
| 5145.3      | <u>Nondiscrimination/Harassment</u>                                |
| 5145.3      | <u>Nondiscrimination/Harassment</u>                                |
| 5148        | <u>Child Care And Development</u>                                  |
| 5148        | <u>Child Care And Development</u>                                  |
| 5148.3      | <u>Preschool/Early Childhood Education</u>                         |
| 5148.3      | <u>Preschool/Early Childhood Education</u>                         |
| 9011        | <u>Disclosure Of Confidential/Privileged Information</u>           |
| 9321        | <u>Closed Session</u>                                              |
| 9321-E(1)   | <u>Closed Session</u>                                              |
| 9321-E(2)   | <u>Closed Session</u>                                              |