

**CALIFORNIA INSTITUTE OF TECHNOLOGY  
STAFF PERSONNEL MEMORANDA**

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| <b>Subject:</b><br><br><b>Employee Personnel Records</b>  | <b>Memo No. 12</b><br><b>Pages: 2</b><br><b>Date: 6/12/2024</b> |
| <b>Approved by:</b> Julia McCallin, Associate Vice President for Human Resources, Chief Human Resources Officer |   |

(This supersedes Memo No. 12, dated 2/28/2014)

**1.0 Policy**

The Institute maintains and retains employment related records for employees as required by Federal and State laws. An employee's personnel records are considered confidential and are handled and treated accordingly to protect the employee's privacy. The Institute provides access to employee personnel records to which employees are entitled to access under Federal and state law and subject to any legal exceptions (personnel records).

**2.0 File Access for Current Employees**

- 2.1** Staff and scholars at campus and employees at JPL, or their designated representative, may review their employee personnel records at reasonable times, generally once a year, during regular business hours in the presence of a Human Resources representative or designee. Faculty or their designated representative, may review their employee personnel records at reasonable times, generally once a year, during regular business hours in the presence of a Faculty Records Office representative or designee. Please note, files may be in electronic form.
  
- 2.2** An employee may request to review or obtain a copy of their personnel records by submitting a written request to their supervisor, Human Resources, or the Faculty Records Office. The Institute's request form or another form of written request may be used.

At campus, the Personnel Record Review Request form is available at:

[https://www.hr.caltech.edu/documents/2753/personnel\\_file\\_review\\_request.pdf](https://www.hr.caltech.edu/documents/2753/personnel_file_review_request.pdf)

At JPL, the form is at:

[https://wcp-images-production.jpl.nasa.gov/hr/documents/Personnel\\_File\\_Document\\_Submission\\_Form\\_EE.pdf](https://wcp-images-production.jpl.nasa.gov/hr/documents/Personnel_File_Document_Submission_Form_EE.pdf)

- 2.3 An employee may designate a representative to request to review or receive a copy of the employee's personnel records, by providing a written authorization for this representative to Human Resources or the Faculty Records Office. The representative may use the Institute's request form or another form of written request, and submit it to Human Resources or the Faculty Records Office.
- 2.4 Within thirty calendar days of receiving the written request, the Institute will make employee's personnel records available for inspection and provide a copy of the records if requested by the employee or their representative.
- 2.5 An employee may receive a copy of their personnel records to which they are entitled to access under Federal and state law and subject to legal exceptions.
- 2.6 An employee will not lose any pay for traveling to another work location to review their employee personnel records.

### **3.0 File Access for Former Employees**

- 3.1 Once a year, a former employee, or their designated representative, may request to review or receive a copy of the employee's personnel records. This request must be in writing. The former employee or their representative, may, but is not required to, use the Institute's Personnel Records Review Request Form.
- 3.2 2.3, 2.4 and 2.5 also apply to former employees.

### **4.0 Exceptions**

Any exceptions to this policy require the approval of the Provost for Faculty, Associate Vice President and CHRO for Human Resources or designee for Campus staff and scholars, or of the Director for Human Resources at JPL or designee for JPL staff.