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DEPARTMENT OF
PERSONNEL

CITY OF SACRAMENTO
CALIFORNIA

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DIRECTOR

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October 15, 1986

DIVISIONS:
ADMINISTRATION
EMPLOYEE SERVICES
PERSONNEL MANAGEMENT
SERVICES
WORKERS'
COMPENSATION

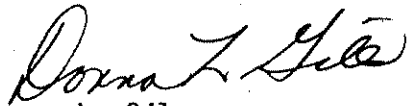
MEMORANDUM

TO: All Department Heads and Division Chiefs
FROM: Donna L. Giles, Director of Personnel
SUBJECT: Revised Personnel Policy Instruction Concerning Employee Personnel
and Medical Records

The attached Personnel Policy Instruction III-86-1, concerning "Employee Personnel and Medical Records", is forwarded for your information and files.

PPI III-86-1, which supersedes PPI III-82-1, updates the previous policy instruction by including new personnel records' maintenance procedures required by the conversion of master personnel records from hard copy to a microfiche jacket system.

You are requested to provide internal distribution of this policy within your organization, as necessary.


Donna L. Giles
Director of Personnel

Attachment:

1. PPI III-86-1, dated October 15, 1986

RECEIVED
OCT 17 1986
EMPLOYEE RELATIONS

CITY OF SACRAMENTO
PERSONNEL POLICY INSTRUCTIONS

Topic: Employee Personnel and Medical Records Effective Date: 10-15-86
From: Department of Personnel Supersedes: III-82-1
Dated 5-1-82
To: Department Heads, Division Chiefs Section Number: III-86-1

Approved: *Donna L. Ellis*
Director of Personnel

SUMMARY OF CONTENTS

1. Purpose
2. Scope
3. Confidentiality of Employee Records
4. Records Maintenance Procedures
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City of Sacramento
Department of Personnel
PPI---III-86-1
0025G

Employee Personnel and Medical Records

1. Purpose

- 1.1 To establish policy and procedures for maintaining and utilizing the master set of employee personnel and medical records, located in the Department of Personnel.

2. Scope

- 2.1 The policies and procedures detailed herein apply to the maintenance of and access to employee personnel and medical records, maintained by the Department of Personnel.

3. Confidentiality of Employee Records

- 3.1 It is the policy of the City of Sacramento that the confidentiality of employee personnel and medical records be protected at all times.

4. Records Maintenance Procedures

- 4.1 Active career employee personnel records will be maintained in microfiche jackets in accordance with instructions contained in Attachment 1.
- 4.2 Non-career and inactive career employee records will be filed in accordance with instructions contained in Attachment 2.
- 4.3 Active career and non-career employee personnel records will be stored alphabetically in filing cabinets.
- 4.4 Employee medical records will be maintained in a separate file. These records will be filed alphabetically in filing cabinets.
- 4.5 Employee personnel records will be maintained by the personnel records clerk (and alternate personnel records clerk), as designated by the Employee Services Manager, Department of Personnel.
- 4.6 Employee medical records will be maintained by the medical records clerk, as designated by the Workers' Compensation Claims Manager.

5. Records Security

- 5.1 All employee personnel records will be stored in locked filing cabinets during non-business hours. It shall be the responsibility of the personnel records clerk to open the filing cabinets at the beginning of the work day and to lock the filing cabinets at the end of the work day. In the absence of the personnel records clerk, the alternate personnel records clerk will be responsible for such records security.

- 5.2 Employee medical records will be maintained in a locked filing cabinet. Access to such records will be through the medical records clerk and is limited to staff identified in Section 6.3, below. It is intended that these restrictions be implemented in order to comply with the provisions of the "Confidentiality of Medical Information Act" (Civil Code, Section 56.20).
- 5.3 It is intended that persons who are authorized to review information contained in employee medical records, comply fully with the provisions of the "Confidentiality of Medical Information Act (Civil Code, Section 56, et seq.).
- 5.4 In the event authorized persons have a need to remove an employee's personnel and/or medical record from the files, such individual shall complete a "sign-out" card and place it in proper sequence in the file. The individual who retrieves an employee's record from the file is responsible for protecting the confidentiality of that record.
- 5.5 No employee medical record shall be physically removed from the Medical Records Section; exception - a medical record may be removed temporarily from the section for the sole purpose of making an authorized copy.

6. Records Access

- 6.1 It is the policy of the City of Sacramento that access to an employee's personnel and/or medical record be limited to staff persons who have an official and bonafide "need to know" the contents of such records. In the event there is disagreement between the staff person and personnel records clerk regarding bonafide "need to know", the issue shall be decided by the Director of Personnel, or designate.
- 6.2 Access to employee personnel records is authorized for the following City employees:

City Manager and designated immediate staff
Department heads and their designates
Division chiefs, Department of Personnel
Affirmative Action Officer
Training Officer
Staff, Employee Services Division
Staff, Workers' Compensation Division
Staff, Personnel Management Services Division
Professional Staff, Employee Relations Department
Professional Staff, Office of the City Attorney; other attorneys who represent the City's interests in specific cases.

- 6.3 Access to employee medical records is authorized for the following City employees:
 - City Manager and designates
 - Director of Personnel and designate
 - Division Chiefs, Department of Personnel, and their designates
 - Affirmative Action Officer
 - Staff, Employee Services Division
 - Staff, Workers' Compensation Division
 - Professional Staff, Employee Relations Department
 - Professional Staff, Office of the City Attorney; other attorneys who represent the City's interests in specific cases.
- 6.4 It is the policy of the City of Sacramento that individual employees may review their personnel records, under the following conditions:
 - 6.4.1 the employee presents valid identification to the personnel records clerk, and
 - 6.4.2 the employee reviews his/her records in the presence of an Employee Services Division staff person.
- 6.5 It is the policy of the City of Sacramento that an employee's representative may review said employee's personnel records, under the following conditions:
 - 6.5.1 the employee authorizes, in legible writing, such representative to review his/her personnel records, and
 - 6.5.2 the authorized representative presents valid identification to the personnel records clerk, and
 - 6.5.3 the authorized representative reviews the employee's personnel records in the presence of an Employee Services Division staff person.
- 6.6 The medical records clerk will log the names of all individuals who acquire access to employees' medical records; in addition, the reason for the review of medical records will be indicated. A medical access log will be maintained in a three-ring binder on the form shown at Attachment 3.
- 6.7 In the event that an employee's medical records are requested by any external agency or organization, a medical records release form must be signed by the employee, in advance of such release. The medical records release form shown at Attachment 4, shall be used by the medical records clerk in these transactions.

Attachments:

1. Personnel Records Maintenance Instructions, Active Career Employees.
2. Personnel Records Maintenance Instructions, Non-career and Inactive Career Employees.
3. Employees' Medical Records Log Form.
4. Medical Records Release Form.

Personnel Records Maintenance Instructions

ACTIVE CAREER EMPLOYEES

Active career employees' personnel records will be maintained in microfiche jackets, as follows:

Row 1

This section will contain all general correspondence. This correspondence will be arranged in chronological order, with the most recent document on the right side of the microfiche jacket.

Rows 2 and 3

These rows will contain all Personnel Action Request (PAR) forms. Each PAR form will be arranged in chronological order, with the most recent document on the right side of the microfiche jacket.

Row 4

This row will contain completed Employee Evaluation Report forms. The evaluation forms will be arranged in chronological order, with the most recent form on the right side of the microfiche jacket.

Row 5

This row will include the employee's job application and various forms completed by the employee during initial employment processing.

In the event microfiche frames exceed available spaces in an individual microfiche jacket, additional jackets shall be used, as necessary. Each microfiche jacket shall be numbered in sequence (e.g., "1 of 3", "2 of 3", "3 of 3").

A duplicate file of active career employees' records, consisting of a filmed copy of each microfiche jacket, shall be stored off-site. Hard copy documents which are processed after the date the duplicate file was filmed shall be stored with the film. Such hard copy documents shall be retained until the duplicate file is updated with new films.

Attachment 1
PPI --- III-86-1

Personnel Records Maintenance Instructions

NON-CAREER AND INACTIVE CAREER EMPLOYEES

Non-career and inactive career employees' personnel records will be maintained, as follows:

NON-CAREER

1. Individual employee records will be filed in Manila folders.
2. Documents will be collated with ACCO fasteners in the following bottom to top sequence:
 - a. Employee's job application
 - b. Initial employment processing forms.
 - c. Employee Evaluation Report forms - arranged in chronological order, with the most recent form on top.
 - d. Personnel Action Request (PAR) forms - arranged in chronological order, with the most recent form on top.
 - e. General correspondence - arranged in chronological order, with the most recent document on top.
3. The document sections identified in 2 above will be separated by distinctive colored paper to facilitate identification.
4. Employment history cards shall be maintained in an alpha sort.

INACTIVE CAREER

1. Prior to January 1, 1985 inactive career personnel records shall be maintained on microfilm.
2. January 1, 1985 and thereafter, inactive career personnel records shall be maintained in microfiche jackets.

