

Section Number: 20-8.1

Effective Date: January 1, 2012

Subject: Supervisory File Guidelines

Purpose: To provide guidance on the documents maintained and stored in supervisory files.

- Documentation is extremely important

- Set up a file on each employee you supervise (aka “direct report”)
 - You may develop a formal contact record or use your informal notes as documentation
 - Describe behavior & performance vs. making judgments or conclusions about the person
 - Only those events discussed with the direct report should be documented

- Let your direct report know it exists; they may request to review it at any time so long as the request is reasonable (i.e., frequency, timeliness)

- Never lose custody of the original supervisory file

What goes in the supervisory file?

- ✓ Letters/memos of praise, thanks, commendations
- ✓ Leave slips (Except ADA, FMLA/AFLA, Workers’ Compensation)
- ✓ Notes of meetings/discussions regarding performance, both good & poor
- ✓ Training not documented elsewhere
- ✓ Actual examples of good and poor performance
 - Be careful to expunge confidential information such as client names, SSN, etc.
 - If the example is a protected document by law or policy, reference the document but do not maintain it in the file
 - Letter(s) of Instruction or Expectations
 - Performance Improvement Plans (PIP)
 - Substantiated complaints
 - Disciplinary letter(s)

What does not go in the supervisory file?

- ✓ Medical documents
- ✓ Unsubstantiated comments or accusations
- ✓ Personal opinions
- ✓ Pre-determination meeting notices
- ✓ Grievances

Information should be kept for 2 years after the evaluation has been finalized in the event of a filing with an enforcement agency.

Consult the applicable collective bargaining agreement regarding the obligation to provide copies; some agreements require the employer to provide one copy every 12 months, upon the employee's request, of their personnel file which may include the supervisory and departmental personnel file.