

Supervisor's Employee Working File

Supervisors may establish and maintain a working file for their employee(s). The supervisor's working file shall include only information directly related to an employee's work performance on the job. No clerical or administrative staff are authorized to maintain these files.

1. Before including information in an employee working file, a supervisor should ask the following simple questions. These questions will assist the supervisor in determining if the information should be retained in the employee working file:
 - a. How will I use this information?
 - b. Will it impair my supervisory responsibilities if I did not have it?
 - c. How would the employee feel if they were to review the information contained in the file?
 - d. Can I review or get the information elsewhere if I need it such as the Office of Human Resources?
2. Documents that can be maintained in the supervisor's satellite file include:
 - a. copy of employee job application (telephone numbers and home address deleted)
 - b. copy of performance evaluation
 - c. job description
 - d. training requested/received documentation
 - e. emergency information/physician designation (this includes telephone numbers for "call back" or to cancel pre-authorized overtime prior to the employee reporting to work)
 - f. copy of Performance/Conduct Improvement Plan
 - g. leave balances and related information (any medical information shall be sent to the Office of Human Resources medical file; retention in employee working file is unauthorized except for copies of leave of absence requests, temporary limited duty notices or Family and Medical Leave requests)
 - h. work performance and conduct documentation, such as formal and information counseling memorandums, as long as the employee has full knowledge of these documents
 - i. copies of reasonable accommodation requests
3. Inappropriate material for a supervisor's employee working file is defined as "information of a personal nature unrelated to the employee's job or work performance," which includes, but is not limited to, information such as:
 - a. a physical description of the employee
 - b. financial information (i.e., garnishments, child support, credit reports, bankruptcy, worker's compensation settlement, etc.)
 - c. medical history information, medical reports, or worker's compensation information except as noted above
 - d. hiring interview notes, screening criteria, selection criteria, rating, reference check responses
 - e. health/dental insurance forms
 - f. direct deposit forms
 - g. flexible benefit plan forms
 - h. employment verifications

4. The supervisor's working file is a confidential file and is only to be disclosed to those with a "business need to know."
5. All satellite files must be kept in a secure, locked area. Do not keep files on desk tops, in an unsecured area, or on unlocked computer equipment.
6. A supervisor's working file is not considered part of the official personnel file. Any personnel action can only be based on what is in the personnel file. If any information in the supervisor's file is to be used as the basis for a timely personnel action, it must be placed in the employee's official personnel file. Any information upon which the supervisor intends to take formal action should be moved into the personnel file in the form of a performance evaluation, letter of warning, Performance/Conduct Improvement Plan or other disciplinary documentation, and a copy should be given to the employee.
7. Upon an employee's separation (retirement, transfer, adverse action, resignation), the employees' supervisor shall destroy (shred) all documents in the "working" file or send these documents in a sealed envelope to the Office of Human Resources for appropriate destruction. If the employee should reinstate to a position under the same supervisor, the supervisor shall establish a new file, which will not include any prior information.

Any questions regarding the supervisor's employee working file should be directed to the Office of Human Resources.

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