

	<b>Florida Gulf Coast University</b> Policy Manual	<b>Policy: 3.017</b>  Approved 5/19/09
	<b>Title: Departmental Employee Files</b>	<b>Responsible Executive:</b> Vice President for Administrative Services and Finance  <b>Responsible Office:</b> Human Resources

**POLICY STATEMENT**

Supervisors must properly maintain Departmental Employee Files (to include colleges and units) in order to ensure effective performance and conduct management, as well as to ensure compliance with state public records law and records retention guidelines. These files are subject to disclosure pursuant to Section 119, Florida Statutes.

**REASON FOR POLICY**

This policy provides supervisors with the guidelines for maintenance of records maintained in their Departmental Employee Files.

**DEFINITION OF TERMS**

Departmental Employee File (also known as “Desk File”): Employee work-related performance and conduct documents maintained by supervisors. These files are entitled Staff Administrative Files in the Florida Department of State’s General Schedule for State and Local Government Agencies, GS1-SL, Item #371.

Personnel File: The file of records maintained by Human Resources and/or the Provost’s Office which contains the University’s official personnel record for all employees, and should, when practicable, contain the original document. Records to be contained by Human Resources in a Personnel File are found in the Florida Department of State’s General Schedule for State and Local Government Agencies, GS1-SL, Item #19, #24, #66, #98, and #212.

**PROCEDURES**

Supervisors may maintain the following documents in relation to their employees in a Departmental Employee File:

- Performance evaluations
- Coaching memoranda/memoranda of instruction

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- Performance improvement plans
- Records of instruction
- Reprimands
- Suspensions
- Leave requests (excluding all medical-related information)
- Position descriptions
- Emergency contact information
- Incident diary
- Supporting documentation for disciplinary actions
- Coaching preparation materials
- Performance appraisals
- Resume/vitae
- Employee responses to counseling/discipline
- Communication of positive performance

Adjunct, overload and summer appointment forms must be maintained in the Departmental Employee File.

While other documentation is also permitted to be placed in a Departmental Employee File, all documentation maintained in this file must assist the supervisor with the management and evaluation of employees.

Upon issuance to the employee, the following original documents must be submitted to Human Resources and/or Academic Affairs: performance plans, disciplinary actions and leave requests. The supervisor may keep a copy of these documents in the Departmental Employee File at his or her discretion.

Supervisors retain Departmental Employee Files until they are obsolete, superseded, or their administrative value is lost, but for no less than five (5) years from the creation of the document. Before destruction of the Departmental Employee File, supervisors must ensure that copies of performance plans, disciplinary actions and leave requests, must have previously been submitted to Human Resources and/or Academic Affairs.

Finalized documentation placed in the Departmental Employee File must be provided to the employee. Documentation not communicated to employees cannot serve as the supporting documentation for disciplinary actions, except in exigent circumstances such as health, safety and welfare.

Other employee documents or files related to employee management and evaluation including “desk files,” “incident logs,” “memoranda to the file” or “supervisor diaries” not maintained

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consistent with this policy, are prohibited.

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**POLICY  
AMENDMENTS**      None.

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**HISTORY**      New policy.

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**APPENDIX**      Florida Department of State's General Schedule for State and Local Government Agencies, GS1-SL, Item #19, #24, #66, #98, #212, and #371, Appendix "A."

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<b>APPROVED</b>	s/Wilson G. Bradshaw	May 19, 2009
	_____ President	_____ Date