

	FGCU POLICY 3.017	Responsible Unit: Human Resources
	Departmental Employee Files	

A. POLICY STATEMENT

Employee employment records are retained in Human Resources and result in the official personnel file. If Supervisors would like to maintain certain types of employee records for ease of use, the records must be properly maintained (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 may be subject to disclosure pursuant to chapter 119, Florida Statutes.

B. REASON FOR POLICY

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

C. DEFINITION OF TERMS

1. *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.
2. *Personnel Files*: The files of employment records maintained by Human Resources and the Provost’s Office. Notwithstanding, the University’s official personnel record for all employees is maintained by Human Resources and should, 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.

D. PROCEDURES

1. While official personnel records are maintained in Human Resources, supervisors may retain duplicates of official records and single records of other documents as listed below in relation to their employees in a Departmental Employee File, provided the employee also has a copy:

Duplicates:

- a. Performance evaluations;

- b. Coaching memoranda/memoranda of instruction;
- c. Performance improvement plans;
- d. Records of instruction;
- e. Reprimands;
- f. Suspensions;

- g. Position descriptions;
- h. Emergency contact information;

Single Documents:

- a. Incident diary;
 - b. Supporting documentation for disciplinary actions;
 - c. Coaching preparation materials;
 - d. Resume/vitae;
 - e. Employee responses to counseling/discipline; and
 - f. Communication of positive performance.
2. Adjunct, overload, and summer appointment forms must be maintained in Human Resources.
 3. 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.
 4. Upon issuance to the employee, the following original documents must be submitted to Human Resources and, if faculty, with a copy to 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.
 5. 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, unless those records are a duplicate record. Before destruction of the Departmental Employee File, supervisors must ensure that copies of performance plans,

and disciplinary actions, must have previously been submitted to Human Resources and Academic Affairs.

6. Finalized documentation placed in the Departmental Employee File must also 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.
7. 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 consistent with this Policy, are prohibited.

Related information

Florida Department of State’s General Schedule for State and Local Government Agencies, GS1-SL, Item #19, #24, #66, #98, #212, and #371

Authority

BOG Regulation 1.001, University Board of Trustees Powers and Duties

History of Policy

New 05/19/09; Format Changed 09/10/19; Amended 12/18/20

APPROVED:

*s/Michael V. Martin
Michael V. Martin, President

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Date