



Personnel Files and Retention Schedules

Section: 1.454
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1.454 Personnel Files & Retention Schedule

- A. The agency maintains personnel files on all full-time employees of the agency. The files are segmented into categories that are:
1. Time;
 2. General & Miscellaneous Information;
 3. Ratings & Training;
 4. Commendations/Discipline.
- B. Category **1** material is retained for 3 years following termination of employment then destroyed. The files consist of materials that include, but are not limited to:
1. Leave requests
 2. Jury duty notices
 3. Any document explaining or accounting for an employee's scheduled duty time
- C. Category **2** material is retained permanently in Human Resources. Copies of these files are retained in their file cabinets and consist of materials that include, but are not limited to:
1. Hiring notices;
 2. Promotional announcements;
 3. Transfer announcements;
 4. Modified duty assignments;
 5. Suspension notifications;
 6. Agency committee assignments;
 7. Ancillary duty assignments; and
 8. Separation notices of resignation, retirement or termination. *These agency files are to be retained for three years following termination of employment, then destroyed.*
- D. In house Category **2** files, also retained for three years following termination of employment then destroyed, consist of materials that include, but are not limited to:
1. Position descriptions;
 2. Transfer requests;
 3. Secondary employment authorizations; and
 4. Miscellaneous correspondences to and from the Office of the Chief.
 5. Employment applications.

6. Copies of Employee's First Reports of Injury;
 7. Copies of Supervisor's First Reports of Injury;
 8. Copies of medical practitioner's reports or certifications relating to the management of employee sick or accident leave;
 9. Copies of agency correspondence to and from employees relating to the management of employee sick or accident leave; and
 10. Other miscellaneous correspondence relating to the health, safety, & well-being of employees.
- E. Category **3** material is retained for 3 years following termination of employment then destroyed. The files consist of materials that include, but are not limited to:
1. Employee evaluation reports;
 2. PMP ratings; and
 3. Probationary employee reports.
- F. Category **4** material is retained for 3 years following termination of employment then destroyed. The files consist of materials that include, but are not limited to:
1. Agency letters, certificates, and commendations;
 2. Agency awards and medals;
 3. Letters of appreciation from civilians; and
 4. Length of service certificates.
- G. Other Category **4** material which are retained for three years following termination of employment then destroyed consist of disciplinary files. These files must be consistent with LEOBR and other applicable administrative disciplinary processes, such as MOU with the Union; and no material will be placed in or removed from this Category without the permission of the Chief.
- H. Personnel files are located in the locked file cabinets in Charles Royal room 204.
- I. Requests to access and examine personnel files will be honored and processed on a need-to-know basis.
1. The Chief, Captain, and Lieutenant are authorized to access and examine the personnel files of any agency employee.
 2. Shift supervisors are authorized to access and examine the personnel files of any subordinate under their chain of command.
 3. Employees are authorized to access and examine their own personnel files.
 4. The officer assigned to conduct an internal investigation will be permitted to access and examine personnel files of involved employees in specific, need-to-know instances as approved by the Chief.
 5. Requests from personnel outside the agency to access and examine personnel files will be granted based on the legal sufficiency or need to know basis of their request as determined by the OAG.
 6. Requesters will be allowed to examine their own personnel files during normal business hours without formal requests needing to be processed so long as the records are examined in the immediate area of the files.
 7. Shift supervisors should routinely review the personnel files of subordinates:
 - a. When subordinates are transferred into new assignments; and
 - b. As a component of the goal setting and evaluation process.

1.454.02 Responsibility

- A. It is the responsibility of the agency's Business Specialist to:
 - 1. Place materials in personnel files within 30 days from receipt or generation of the materials;
 - 2. Process personnel file access requests; and
 - 3. Ensure personnel files are made available to authorized requesters.
- B. All supervisors and commanders will provide copies (paper or electronic) of any personnel documents to the Business Specialist for inclusion in the employee's respective personnel file which is maintained in Charles Royal room 204.
- C. The Business Specialist will maintain control of a centralized, departmental personnel filing system, and will ensure all personnel files are maintained and properly secured.
- D. In keeping with this directive, Trainers will ensure all "original" training records (electronic and/or paper) are forwarded to the Business Specialist via the Operations Captain to ensure these records are retained in the department's official records area.
 - 1. Copies, if deemed necessary, can be retained by the Operations Captain and trainers.

See 1.700A for a File Schedule Retention chart.