

603.1 PENDING EVALUATION FILE

- I. DISCUSSION: In order to accurately evaluate employees, information pertaining to job performance must be continually assembled throughout the rating period. This material can be used to refresh the supervisor's memory concerning employee behavior and document examples of typical, outstanding, or less than acceptable job performance. Supervisors should accumulate a variety of examples corresponding to each employee's job performance so as to be representative of their overall work during the rating period.¹ The pending file is the designated location to store such material.

- II. DEFINITION: Pending Evaluation File: A file maintained by every supervisor on each employee under his command. Its purpose is to contain pertinent material, which will be considered for inclusion in the employee's performance evaluation.

- III. PROCEDURE:
 - A. Each supervisor will ensure that a file marked "pending evaluation file" is maintained for each employee in a readily accessible location within the division, separate from the personnel service record.
 - B. Supervisors should become familiar with the relevant rater's manual for discussion of pending files and examples of appropriate material.
 - C. Documentation entered in the pending file should be specific and reflect actual job performance. It should be accumulated throughout the rating period and include enough examples to clearly describe the employee's behavior.
 1. Non-probationary employees shall be advised in writing whenever their performance is deemed to be unsatisfactory. The written notification shall be given to them at least 90-days prior to the end of the annual rating period.
 - D. Prior to placing materials in a pending file, which may warrant either commendation or disciplinary action, the supervisor should consult with his immediate supervisor.
 - E. Any material to be placed in the pending file will be reviewed with the employee and the employee will initial it to acknowledge the entry. The material will then be placed in the pending file without further review by the chain of command. Pending files are open, not secret, and can be examined by the employee at any time.

- F. Entry of an item into the pending files is not a negative action. The pending file is neutral; it should contain information that provides an accurate picture of an employee's actual job behavior.
- G. Employees may request that certain items or information be included in the pending file.
- H. At the time the employee's performance evaluation is to be written, the supervisor will review the material in the pending file as an aid in determining ratings. The supervisor is not required to document all pending file items in the evaluation but only those items the supervisor determines to be relevant to the overall job performance. If the information indicates a pattern of behavior (a number of similar or related items) then such information should be entered in the performance evaluation.
- I. After pending file material has been reviewed for use in the employee's annual evaluation, it may be purged.
 - 1. If an item in the pending file has only been there a relatively short time prior to the performance evaluation, e.g., entered in the file several weeks or months prior to the annual evaluation, then it will remain in the pending file until the next performance evaluation is due.
 - a. Notation as to letters of counseling and written reprimands will be purged in accordance with the City of Tampa Personnel Manual or union contract, whichever is appropriate.
- J. If an employee's performance is at a less than satisfactory level, then all information in the pending file will continue to be maintained even though it has been entered in the performance evaluation. Upon the completion of a satisfactory, meets expectations, or higher evaluation, the file may then be purged; or at the discretion of the division commander, it may be retained.
 - 1. Notation as to letters of counseling and written reprimands will be purged in accordance with the City of Tampa Personnel Manual or union contract, whichever is appropriate.
- K. Material that is to be purged from the pending evaluation file will be marked as "void" and given to the supervisor of the Personnel Unit to be forwarded to the Department of Human Resources, for any retention deemed to be required pursuant to law.

Supersedes SOP 603.1, dated 9/21.