

# Staff supervision records

## Recordkeeping fact sheet 8

### What are staff supervision records?

Staff supervision records provide evidence of supervisory duties such as performance evaluation and the management of leave.

### Where should staff supervision records be kept?

Supervision records must be kept on a TRIM-registered supervision file. Supervision files can be requested using the [File Creation Request Form](#) on the Information Management page of the intranet.

A staff supervision file title will show as: PERSONNEL – PERFORMANCE MANAGEMENT – SURNAME, First name.

To request a new supervision file:

1. In the 'File Type' field, select '**HRM File**'
2. Select the 'Broad Term' '**PERSONNEL**'
3. Select the 'Narrow Term' '**PERFORMANCE MANAGEMENT**'
4. In the 'Free Text' field, add the staff member's name: SURNAME, First name
5. In the 'Notes' field, request that access be limited to the staff member and current line manager.

### Who keeps Staff Supervision files?

People managers should keep a supervision file for each staff member they are directly responsible for. Supervision files contain personal information and must be treated as confidential records. Hardcopy files and documents should be kept in a locked cabinet or cupboard when not in use.

### What should be kept on a supervision file?

Managers and supervisors should ensure these records are kept in supervision files:

- Progression, performance & development (PPD) plan
- Performance, development and recognition program (PDRP)
- Professional development system (PDS) record
- Documents associated with informal management of performance issues, for example notes of supervision meetings and other discussions
- Medical certificates and documents supporting sick and carer's leave
- Flexible work arrangements
- Study assistance arrangements

### What should not be kept on a supervision file?

Some personnel records are kept in files managed by human resources staff. Examples of records which should not be kept in supervision files include those relating to:

- Recruitment and police checks
- Discipline and grievance matters
- Work Cover
- Redeployment
- Salary.

### Attendance records

Attendance records should not be kept in a supervision file. Individual staff attendance records such as flexitime sheets should be accumulated chronologically ('batched') in boxes. For more information about this process, contact your local Records Management Unit.

### What happens when a staff member moves?

If a staff member moves permanently from the team or program area where they have been working, the supervision file should move with them. The new manager is given access to the file in TRIM, and the

former manager's name removed. This can be arranged by contacting the Records Service Centre.

If a staff member leaves the department, the file should be closed, marked Put Away and sent to the local Records Management Unit for secure storage.

## Further information

For further assistance, please contact the:

Records Service Centre: 9096 8999

Email: [RecordsService.Centre@dhs.vic.gov.au](mailto:RecordsService.Centre@dhs.vic.gov.au)

or your local Records Management unit:

Records Unit East Division: 9843 6090

Records Unit North Division: 9412 5427

Records Unit South Division: 8765 7164

Records Unit West Division: 5333 6088

To receive this publication in an accessible format phone 9096 8999, using the National Relay Service 13 36 77 if required, or email [RecordsService.Centre@dhs.vic.gov.au](mailto:RecordsService.Centre@dhs.vic.gov.au)