



Kern County Sheriff's Office

Policies and Procedures

TITLE: EMPLOYEE DISCIPLINE – SUPERVISORY FILES NO: D-0500			
APPROVED: Donny Youngblood, Sheriff-Coroner			
EFFECTIVE: August 1, 1990	REVIEWED: 01/07/2026	REVISED: 01/07/2026	UPDATED: 01/07/2026

POLICY

Supervisory files are a vital management tool used to assist supervisors in evaluating the efficiency, productivity, and performance of their subordinates. In order to properly evaluate subordinates, all supervisors shall maintain a file on all employees they supervise.

Supervisory files, also referred to as D-0500 files, shall contain all comments, negative and positive, regarding the employees' performance. The employee will have the opportunity to review and sign all negative comments before they are placed in the supervisory file, ensuring compliance with Government Code (GC) § 3305.

PURPOSE

Supervisory files are to be used as note keeping files for employees and maintained by their direct supervisor. These supervisory files will be maintained throughout the employee's rating period to ensure the employee's direct supervisor rates and notes proficiencies and deficiencies of the employee's performance in an employee evaluation. The intent of the supervisory file is not to replace an employee's official Sheriff's Office personnel file and shall not contain any information or documentation of a personnel complaint.

DEFINITIONS

RATING PERIOD: New employees and newly promoted employees will have a documented evaluation every three months during their probationary period. Employees not in a probationary period will have a documented evaluation every twelve (12) months.

EMPLOYEE PERFORMANCE EVALUATION (EPR): A documented performance evaluation of an employee's classification functions. This document contains several performance areas that are evaluated and rated by the employee's supervisor.

SUPERVISORY FILE CONTENTS

A supervisory file will be assembled and maintained as follows:

- Letter size manila folder with metal fasteners to secure documents and labeled with the employee's name.
- A current emergency notification form.
- A copy of the employee's most recent EPR.
- A review log for semi-annual reviews.

A supervisory file may contain the following:

- Signed laudatory remarks or commendations about the employee’s performance during the rating period.
 - Official laudatory remarks or commendations will be kept in the employee’s D-0500 supervisory file for the employee’s rating period. After the rating period, laudatory comments or commendations shall be stored in the official Sheriff’s Office personnel file for the retention period of the personnel file. Alternatively, the supervisor may choose to place it in the personnel file immediately after serving the employee the laudatory or before the rating period concludes.
 - See KCSOPPM D-0100 Attachment “C” for the proper form.
- Signed documented oral counseling (DOC) issued during the rating period.¹
 - For DOCs issued from an Internal Affairs investigation, the official DOCs will be kept on an electronic platform with the Internal Affairs Unit for the retention period.
 - For DOCs issued by the employee’s immediate supervisor, these official DOCs will be kept in the D-0500 supervisory file for the employee’s rating period. After the rating period, official DOCs shall be kept on an electronic platform with the Human Resources Section for the retention period². Alternatively, the supervisor may choose to submit it to Human Resources immediately after serving the employee the DOC or before the rating period concludes.
 - DOCs that are not relevant to the current annual evaluation period, and not part of a recurring pattern within the last 24 months, shall not be referenced in annual employee performance reports.
 - Within thirty (30) calendar days of service, the employee may submit a written statement to be attached to the DOC. This written statement shall accompany the DOC.
 - See KCSOPPM D-0100 Attachment “B” for the proper form.
- Signed copies of written reprimands issued during the rating period.³
 - Official written reprimands will be kept in the employee’s official Sheriff’s Office personnel file.
 - Written reprimands that are not relevant to the current annual evaluation period, and not part of a recurring pattern within the last 24 months, shall not be referenced in annual employee performance reports.
 - Within thirty (30) calendar days of service, the employee may submit a written statement to be attached to the written reprimand. This written statement shall accompany the written reprimand.
 - See KCSOPPM D-0100 Attachment “A” for the proper form.

¹ Refer to KCSOPPM D-0200 for DOC procedures.

² KCSOPPM D-0100, Govt. Code § 34090, Govt. Code § 34090.5, Govt. Code § 3306, and County of Kern Administrative Bulletin No. 11.

³ Refer to KCSOPPM D-0200 for written reprimand procedures and D-0600 regarding appeals and disciplinary transfers.

D-0500-2

EFFECTIVE: August 1, 1990	REVIEWED: 01/07/2026	REVISED: 01/07/2026	UPDATED: 01/07/2026
--	---------------------------------------	--------------------------------------	--------------------------------------

- Supervisor's written expectations.
- Certificates of completion for training classes.

A supervisor file shall not contain the following:

- Personnel complaints made by members of the public or department members.
- Department initiated complaints.
- Any documentation or evidence related to an Internal Affairs Investigation.
- Official written reprimands.
- Official laudatory comments, commendations, or DOCs past the employee's rating period.
- The employee's official EPR.

NEW EMPLOYEE FILE PROCEDURE

A supervisor assigned a new employee will:

- Create a supervisory file if the employee is a new hire or obtain the existing supervisory file from the employee's previous supervisor.
- Review the file for compliance with this section.
- Maintain confidentiality of the file.

RATING PERIOD DOCUMENT PURGE

At the conclusion of a given rating period, and upon completing the employee evaluation, the contents of the supervisory file shall be given to the employee (this does not include the emergency notification form unless a new one is produced). A copy of the new EPR will be placed in the file.

SUPERVISOR/MANAGER REVIEW

Any member of the Sheriff's Office who maintains a supervisory file shall conduct semi-annual reviews of the files in their possession. This will ensure the content of these supervisory files is within the regulations of this policy. Managers shall also conduct semi-annual reviews of the supervisory files in possession of their subordinates to ensure supervisors conduct reviews to make sure the content of the supervisory files is limited to items described in this policy. Refer to the heading "SUPERVISORY FILE CONTENTS" for the items allowed in the supervisory file.

A review log must be maintained inside the supervisory file to ensure semi-annual reviews are being conducted by the appropriate personnel. The review log must contain the printed name of the reviewer, the rank/title of the reviewer, the date the file was reviewed, and the signature of the reviewer. A review log will be attached as "Attachment A" to this policy.

D-0500-3

EFFECTIVE: August 1, 1990	REVIEWED: 01/07/2026	REVISED: 01/07/2026	UPDATED: 01/07/2026
-------------------------------------	--------------------------------	-------------------------------	-------------------------------