

# Official Personnel File Contents and Frequently Asked Questions

## Contents of an Official Personnel File

This outline was developed from the State Retention Schedule; and shows the various elements that shall be contained in the University of Connecticut Personnel Files.

Official Content Examples* (Classified/Unclassified/G.A.'s)	Optional Content Examples**
Interagency Transfer Form	Certificates
Personnel Action Form	Letters of Accolades / Commendation
Payroll Authorization (Note: As of 9/16/2016 these are electronically retained)	Consulting/Sabbatical Leave Report
Appointment/Offer Letter (Note: As of 9/16/2016 these are electronically retained)	
Confirmation Letter (Classified employees) (Note: As of 7/1/2013 these are electronically retained)	
Performance Evaluation	
Performance Evaluation Rebuttal	
Merit Award Letter	
Increase Letter	
Reclassification letter	
Compensation & Classification Analysis Summary Sheet	
Equity adjustment letter (Note: As of 9/16/2016 these are electronically retained)	
Temporary Salary Increase Letter (TSI) (Note: As of 9/16/2016 these are electronically retained)	
Temporary Service in a Higher Class (for Classified Employees; TSHC, TSHCU) Document (Note: As of 9/16/2016 these are electronically retained)	
Stipulated agreement (as deemed appropriate by OFSLR)	
Service Time Form / Longevity, Seniority Service Form	
Roster Card (Employee History Card)	
Vacation Accrual Rate Increase Letter	
Separation Form (or Employee Termination & Routing Slip)	
Resignation Letter	
<b>Final Result</b> of Service Audit	
Disciplinary Records-Resulting in Further Action (e.g., letters of warning, letters of reprimand, notices of disciplinary suspension or demotion, termination / dismissal letters, or litigation)	
Criminal Background Check Consent Form & Result (Note: As of 2014, these are electronically retained in HR)	
Employee PTR <b>final result</b> and/or Letter (Note: Complete PTR file resides electronically)	
Tenure adjustment letter	

License or Certificate required at time of hire for employment	
Applicant material (application/resume, etc.) for Hired employees (Note: As of July 2013, these are electronically retained in HR)	
Leave Approval (Note: As of 9/16/2016 these are electronically retained)	
Dual Employment Form	
Flexible Schedule Arrangements	
Acknowledgment of Receipt Forms / Letters	
New Employee Form; employee contact information, degree and emergency contact (Note: Electronically retained)	

If additional contents are deemed electronically viable or allowable, those options will be explored, identified, and documented.

\* **NO anonymous materials are allowed in the Personnel File**

\*\* **Employees may request materials be approved to be placed in their files**

### Frequently Asked Questions

**Q: Should Resignation letters be included in Personnel Files?**

**A:** *Yes- these are optional.*

**Q: Should Annual Reports for Faculty be placed in Personnel Files?**

**A:** *No- these should reside in the Supervisory file.*

**Q: Should the Merit exercise be placed in the Personnel File with the Merit Award Letter?**

**A:** *No- these should reside in the Supervisory file.*

**Q: Should Compensatory Time Approval Request Forms be placed in the Personnel Files?**

**A:** *No- these documents either (a) should reside in the departmental/supervisory file once Payroll has processed, and/or (b) As of 9/16/2016, Comp time requests and approvals are available electronically in the CORE-CT system, Leave and Time Approval Module.*

**Q: Is the PTR Final Letter from the Board of Trustees what belongs in the Personnel File or should the letters received by Faculty each year be kept as well?**

**A:** *The letters that are received each year by Faculty are their Reappointment letters. These are considered part of the Official Personnel Files.*

**Q: Should license and immunization/shot records that are required for employment be retained in the Personnel Files (e.g. School of Nursing)?**

**A:** *No- these documents should reside in the departmental file for auditing purposes and maintained until superseded.*

**Q: Should Special Payroll Offer Letters be placed in the Personnel File?**

**A:** *If a Special Payroll letter is for a TSHCU appointment for a classified employee performing temporary unclassified duties, then the letter should be sent to HR for the Personnel file. All other Special Payroll materials are maintained by the Payroll Department (Note: As of 9/16/2016, many Special Payroll records are electronically stored in the CORE-CT system, in the Smart HR module.*

Questions should be directed to [Melody.Williamson@uconn.edu](mailto:Melody.Williamson@uconn.edu); 860-486-8056. To request a copy of your Personnel file, see <https://hr.uconn.edu/request-a-copy-of-personnel-file/>.