

# 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 (identified to-date). This list will continue to be solidified as we assess the contents of the Personnel Files received throughout the Centralization Project.

Official Content Examples*	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 in HR)	Consulting/Sabbatical Leave Report
Appointment/Offer Letter (Note: As of 9/16/2016 these are electronically retained in HR)	
Confirmation Letter (Classified employees)	
Performance Evaluation	
Performance Evaluation Rebuttal	
Merit Award Letter	
Increase Letter	
Reclassification letter	
Compensation & Classification Analysis Summary Sheet	
Equity adjustment letter	
Temporary Salary Increase Letter (TSI)	
Temporary Service in a Higher Class (for Classified Employees; TSHC, TSHCU) Document	
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	
<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 Result (Note: As of 2014, these are electronically retained in HR)	
Employee PTR <b>final result</b> and/or Letter (Note: Complete PTR file will reside in the employees' Department)	

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 born and reside in RS9.1)	
Leave Approval	
Dual Employment Form	
Flexible Schedule Arrangements	
Acknowledgment of Receipt Forms / Letters	<b>* NO anonymous materials are allowed in the Personnel File</b>
New Employee Form; employee contact information, degree and emergency contact (Note: As of 2015 electronically reside in the Self Service system)	<b>** Employees may request materials be approved to be placed in their files</b>

If additional contents are deemed electronically viable or allowable, those options will be explored, identified, and documented as they are decided through the Personnel Files Centralization Project.

## Frequently Asked Questions

**Q: Should Resignation letters be placed in Personnel Files with the Separation Slips?**

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

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

**A:** No, these should be kept in the Supervisory file.

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

**A:** No, these should be kept in the Supervisory file.

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

**A:** No, these documents should reside in the departmental/supervisory file once Payroll has processed.

**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 do belong in the Official Personnel Files.

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

**A:** Looking into Retention.

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