



**STAFF EMPLOYMENT MANUAL**

**Title: 6.0 Employee Relations**

**Chapter: 6.11 Access/Disclosure - Employee Records/University Property**

**Issuance Status and Effective Date: July 2011**

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**1. Personnel Files**

**a. Policy**

The University complies with all relevant laws, and its administrators and supervisors will make every reasonable effort to maintain accurate personnel records. They will ensure the greatest possible confidentiality of such records without impairing the usability of the information in the proper conduct of the University's affairs, particularly in making and/or processing decisions to hire, promote, compensate, transfer, train, discipline and/or terminate.

Under Connecticut State Law, an employee may, upon written request to HRD, inspect his/her personnel file. (See Connecticut General Statutes, chapter 563a).

- i. HRD maintains an official personnel file for each regular full-time and regular part-time employee.
- ii. Information about any employee or applicant that is not relevant to a personnel decision or other supervisory function will not be solicited or, if inadvertently obtained, will not be kept as a part of the official personnel file.
- iii. Employees are to be notified prior to any external information gathering except as the situation requires otherwise.
- iv. The employee's official personnel file, which may include internal reports, statements and formal or informal evaluations relating to the employee's work performance, work habits and disciplinary records, must be made available to the employee upon request.

**b. Personnel File – Inclusions**

The following, in part or in whole, comprise the contents of the personnel file:

- applications
- resume/vitae
- performance reviews
- letters of commendation
- employment status changes/history
- disciplinary letters and notations
- compensation data/correspondence
- appropriate benefits data/correspondence
- general correspondence relative to any of the above

Copies of materials from the employee's personnel file will be made available upon request by an employee or representative who has obtained the employee's written authorization. HRD will charge a reasonable rate for copies. The University reserves the right to limit personnel file reviews to twice per year.

Staff are responsible for informing the University in writing of changes in their personal status, including name, address, telephone number, dependents, beneficiary, and/or emergency contact information. All confidential changes should be brought directly to the attention of HRD as soon as possible.

### **c. Personnel File – Exclusions**

The following is a non-exclusive list of University records that are not considered part of the official personnel file:

- Recommendations from former employers;
- Letters and reports from a physician, psychiatrist or psychologist affecting the individual's employment status;
- Pre-employment physicals and/or drug screen reports;
- Records on investigations, or convictions for federal or state crimes;
- Documents being prepared for or in anticipation of possible civil, criminal or grievance proceedings; and/or
- Any other document(s) not included in Section 1b.

Note: An employee may have access to his/her medical records, if any, through the employee's personal physician or through a mutually chosen physician.

### **d. Retention of Personnel Files**

Personnel files are retained for at least six years following separation of employment. When an employee terminates, any personnel files maintained by a department should be forwarded to HRD for their review and disposition consistent with the University's records retention policy.

### **e. Corrections to Personnel Files**

An employee may request a correction to his/her personnel file. The Executive Director of HRD or designee will investigate the circumstances and decide if the file should be corrected. If the decision is not to change the file, the employee may submit a written statement of position with respect to the document(s) affected. This then will become a permanent part of the file as an attachment to the document(s) in question.

## **2. Verification of Employment**

Under state law, there are strict limitations on information that can be provided regarding past and present employment. The safest procedure to handle parties requesting employment verification and related information is to refer such inquiries to HRD.

**Recommendations, character references and/or professional references are not to be given in the name of the University.** Personal references should be clearly identified as such, and not as an official statement of the University, nor written on University letterhead.

## **3. Rights of Access**

The University reserves the right to inspect the contents of desks, lockers, personal computer files, electronic and voice mail as well as other University property provided for employee use.

## **4. Electronic Monitoring**

The University may engage in monitoring practices, both electronic and non-electronic. Such practices may include, but are not limited to, those for the purpose of recording the hours of work, monitoring the nature and quality of our services, and monitoring security and the conduct of people on our premises.

All employees should recognize that University facilities, equipment, resources and time are to be used in furtherance of legitimate University purposes. The University reserves the right to engage in monitoring activities, both electronic and non-electronic, at its sole discretion and without further notice unless otherwise restricted by law.