

## ARTICLE 12

### PERSONNEL FILES

12.1 For the purposes of this article, personnel file shall mean any file that may be used in evaluating the performance or conduct of any member of the bargaining unit. The personnel file includes, including the Promotion, Tenure and Reappointment ("PTR") file, which may be used in evaluating the performance of any employee. The official personnel file is maintained centrally in the University's Department of Human Resources.

12.2 ~~Only those materials contained in the departmental file shall be used to support personnel actions at the departmental level. Bargaining unit members are entitled to see any materials used to support personnel actions.~~ Nothing in this article shall preclude the maintenance of other personnel files. In the presence of a staff member, and at a time convenient to both parties, but not later than five (5) working days after the request is made by the faculty member, a faculty member shall have access to his/her personnel files, or PTR files at all levels. The only others who shall have access to such files are:

- A. Administrators and faculty members on official business and;
- B. AAUP representatives with the consent of the faculty member.

12.3 A faculty member may at any time obtain a copy of material in the files, for which the faculty member may be charged at cost. If requested, copies shall be authenticated by an appropriate administrator.

12.4 No anonymous material shall be included in a personnel file.

12.5 An employee may log the contents of his/her personnel file, listing items and dates, in the presence of his/her department head or designee. Both the employee and the department head shall sign the log and retain a copy for their files. At the request of the employee, and at a time agreeable to the department head or designee, such a log may be updated. Completeness of the file shall be the responsibility of the employee.

12.6 Each member of the unit shall be entitled to include in the file his/her rebuttal of any statement therein contained.

12.7 An employee may petition the Dean of his/her school or college to remove any materials from his/her personnel file ~~added after July 1, 1977~~ which the employee can prove is factually in error. The factual validity of materials included in the PTR file shall be subject to challenge solely within the PTR process itself.

University Proposal  
11/20/15  
**Tentative Approval**

  
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AAUP

11, 20, 2015  
Date

  
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University of Connecticut

11 / 20 / 2015  
Date