



THE CONNECTICUT STATE UNIVERSITY

P.O. Box 2008 • New Britain, Connecticut 06050 • (203) 827-7700

RESOLUTION

concerning

EVALUATION AND FILE MAINTENANCE FOR THE EXECUTIVE OFFICES

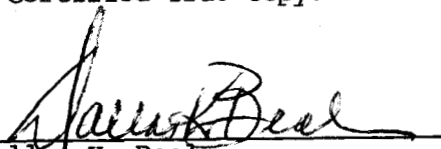
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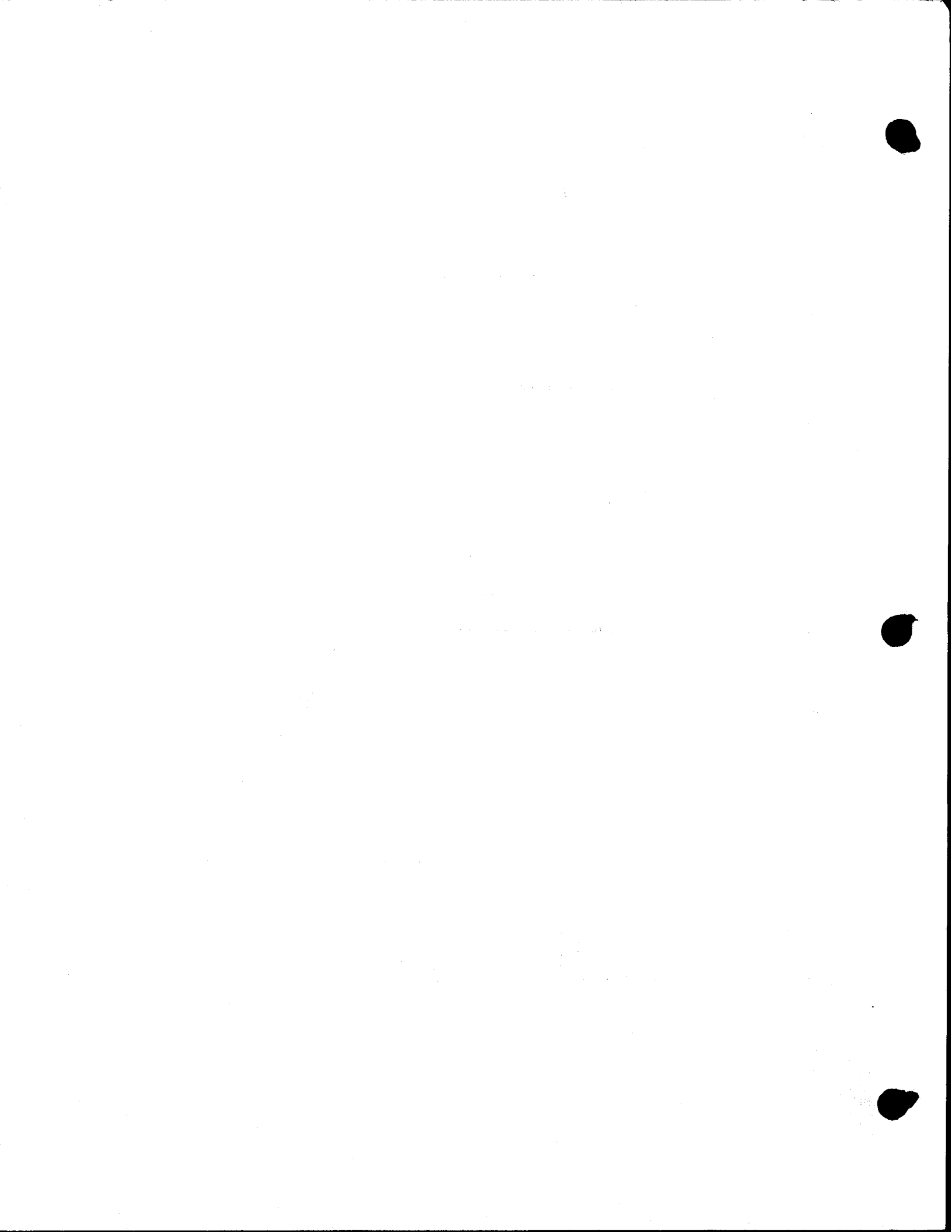
CONNECTICUT STATE UNIVERSITY

JULY 25, 1986

BE IT RESOLVED, That Articles 7.11 through 7.12.8 of "The Board of Trustees for the Connecticut State University Personnel Policies for Management Personnel and Confidential Professional Personnel" dated February 3, 1984, be amended to include the policy stated in the Addendum to this Resolution.

A Certified True Copy:


Dallas K. Beal
President



APPENDIX A

EVALUATION AND FILE MAINTENANCE PROCEDURES FOR THE EXECUTIVE OFFICES

7.11 Evaluation of CSU Personnel

This paragraph complies with guidelines established by the Board of Governors and pertains only to the CSU Administration staff. The four university campuses are specifically excluded.

The University President shall be evaluated by the Executive Committee of the Board of Trustees. The University President shall evaluate those employees who report directly to the Office of President. The University Vice Presidents and The State University Executive Assistant to the President for University Relations will evaluate the performance of management and confidential professional personnel who report to them. Such evaluations will normally take place between June 1 and September 1, except that more frequent evaluations may occur at the discretion of the evaluator. Evaluations will be based upon objectives established for the period since the last evaluation and/or upon the individual's accomplishments during that period of time. Employees shall be shown the original of their evaluations and shall initial and date the original evaluation indicating that they have read the document. Employees may append statements to their evaluations.

7.12 Maintenance of Personnel Files Within the Executive Offices

7.12.1 It is the purpose of the paragraphs following to incorporate in plain language requirements of the Personal Data Act and related Standards.

7.12.2 Confidential employee files located in the Executive Offices of the Board of Trustees for the Connecticut State University located at 1615 Stanley Street, New Britain, CT 06050 (P.O. Box 2008) shall include, but not be limited to, application for employment and supporting documentation, recommendations, evaluations, disciplinary actions, benefit-related forms and correspondence reasonably related to personal status of employees. These files shall be maintained under the direction of the Associate for Faculty and Staff Affairs. A subset of these files related to payroll shall be separately maintained by the designee of the Vice President for Finance and Management.

7.12.3 The purpose of maintaining these files is to keep accurate records for payroll, retirement, employment, job-related communications, disciplinary actions and other activities related to on-the-job performance and state employee status. The file contains data on individuals working in the Executive Offices of the Board of Trustees. The Personnel File for the Executive Office is a manual file augmented by a computer generated personnel/payroll data base known as the MSA system.

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7.12.4 Each employee file shall contain a five year log of every instance of access to that file except by the evaluator of the employee, Associate for Faculty and Staff Affairs, or employee assigned by the Associate for Faculty and Staff Affairs to personnel-related file maintenance. The payroll and attendance records shall be made available for the purpose of audits upon the directive of the Vice President for Financial Affairs with the agreement of the Vice President for Personnel.

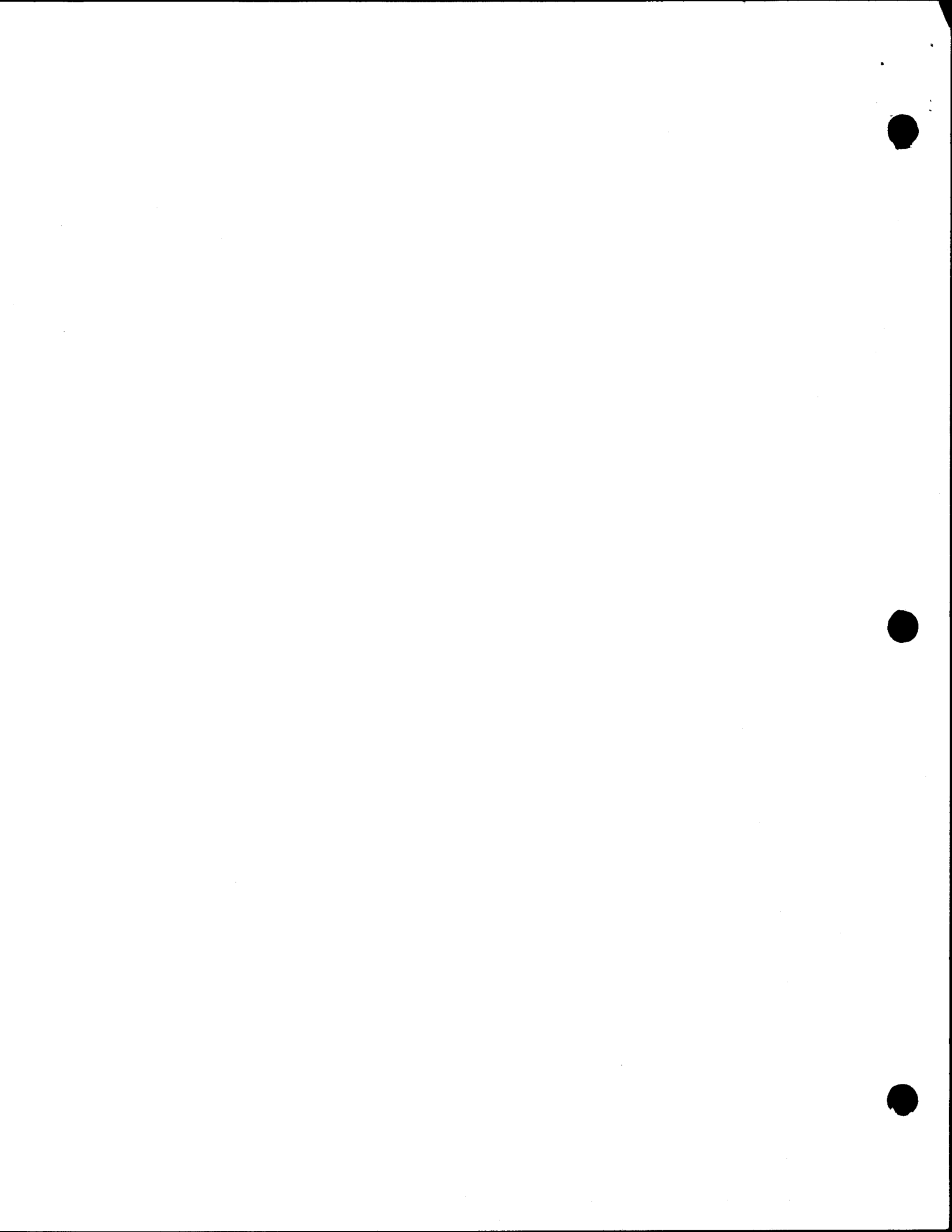
7.12.5 Employees shall have access to their personnel file at the mutual convenience of the Associate for Faculty and Staff Affairs and the employee. Nothing may be added, removed, or altered, in a personnel file except upon the agreement of the Associate for Faculty and Staff Affairs (see below). Upon employee request, a copy of any document(s) within the file shall be given to the employee. There may be a refusal to disclose certain medical, psychiatric or psychological data if a determination is reached that disclosure would be detrimental to the person requesting the data.

7.12.6 Employees wishing to contest the accuracy, completeness or relevancy of documents in the personnel file shall submit a request for addition, deletion, or correction, in writing to the Associate for Faculty and Staff Affairs. The dated request shall provide detailed reasons for the proposed change. The matter shall be referred to the Vice President for Personnel with the recommendation of the Associate for Faculty and Staff Affairs. The decision in the matter by the Vice President for Personnel shall be final, binding, and issued within 30 days of the initial written request. Contents of the Vice President for Personnel's file and the Associate for Faculty and Staff Affairs' file may only be changed upon the Agreement of the CSU President.

7.12.7 An employee's file may be opened to an outside agency only pursuant to subpoena or other legal process, except for access as provided in 7.12.4. An affected employee shall be promptly notified of any such a request.

7.12.8 There are numerous rules and regulations pertaining to various kinds of records. In plain English, Sec. 11-8a and b gives the state librarian power over retention schedules for documents including destruction of those without historical value according to still other regulations. In addition the Attorney General has issued a number of regulations known as Standards pursuant to Public Act 84-380 and subsequently clarified certain questions relating to disclosure of documents. Finally, Sec. 1-15 through Sec. 1-21K set out rules for files of one kind or another. Most of this material is not of direct interest to most CSU employees. If however, there are any questions related to these statutes and regulations, the Associate for Faculty and Staff Affairs will be delighted to provide a copy together with our best plain English interpretation of their current status and meaning.

July 10, 1986



CONNECTICUT STATE UNIVERSITY

BOARD OF TRUSTEES

EXECUTIVE OFFICES

STAFF EVALUATION

NAME: _____ FOR PERIOD _____ TO _____

I have read the evaluation above:

Evaluator: _____

Name of employee date

Reviewed by: _____

(Copy to employee; original to personnel file)

7/10/86

