

# Maintaining Files

# MAINTAINING FILES

## Connecticut Community Care, Inc. Self-Directed Support Services

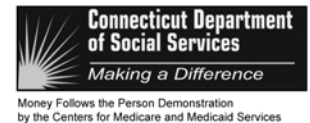
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### Getting Started

Part of the responsibilities of being an employer involves keeping proper records on each of your employees. This is also known as personnel files. This tip sheet will discuss how to set up files on each of your employees, what to include, how they should be stored, and how long to keep employee files for. Maintaining proper employee files will allow you to quickly access information on past and present employees. This is especially helpful if an employee requests information from their file, or if you need to review a document. It is also important should you need to terminate an employee. Keep in mind that you should use employee files on an ongoing basis. This next section will tell you what should be included in a file.



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### Setting Up Files

Setting up employee files is very important. Even though Allied Community Resources also maintains information on your employees, it is important you do so as well. This is especially important for day-to-day information, such as performance evaluations, attendance information, and documentation of any disciplinary action that may occur.

Employee files should be broken down into four areas. These areas are as follows:

- ☑ **General Employment Information** – such as completed application packet, interview and reference information, and job description.

## Setting Up Files Continued

- ☑ **Payroll Information** – such as tax forms, timesheets, payroll correspondences and tax information.
- ☑ **Performance Paperwork** – such as evaluations, attendance information, and written information about disciplinary action.
- ☑ **Termination Information** – such as record of reason for termination, letters and unemployment information.



## Maintaining Files

It is helpful to review your employee files on a regular basis. Keep in mind employee files are confidential. If someone needs to assist you with filing, be sure you are with them as they file away paperwork. It is also a good idea to lock your file cabinets if people can have access to them when you are not there. Protecting files is critical.

Files of all employees, both current and in the past, should be kept for at least seven years. Be sure you have a system in place for storage of these documents because the paperwork can build up. If you have questions regarding how long to keep files, you can ask someone familiar with

human resource information, or the Department of Labor at (860) 263-6000.

Remember, documentation is necessary for future reference especially if issues arise that require disciplinary action. It is also used for ongoing communication, like written performance reviews. Performance reviews are a good way to communicate how everything is going with each of your employees, both things that may need improvement and things that are going well. Don't forget to include the good things in employee files as well. We will talk more about communication in a future tip sheet. Just remember the important phrase "Document, document, document."

# Personnel File Checklist

## General Employment Data

- Job Posting
- Completed Allied Employment Application
- Resume
- Signed Allied Employee Agreement Form
- Completed Allied Status Form
- Job Description
- Interview Questions / Responses
- Completed Interview Rating Form
- Emergency Contact Form

## Payroll Information

- Federal W-4
- CT W-4
- I-9 Form
- Tax Information (if needed)
- Other Payroll Information (i.e. unemployment, wage garnishment, etc.)
- Weekly Timesheets Completed and Signed
- Any Payroll Correspondences

## Performance Evaluations & Paperwork

- Performance Evaluations
- Attendance Information
- Any Written Information Regarding Disciplinary Action
- Letters / Forms Provided to Employee
- Individual Notes That Can Be Accessed

## Termination Information

- Record of Reason for Termination
- Resignation Letter (if applicable)
- Termination Letter (if applicable)
- Unemployment Information / Forms (if applicable)

This information should only be used as a guide. It provides you with a list of information that may be important for you to keep and refer to as needed. If you have any additional questions, it is helpful to discuss this further with Allied Community Resources. Keep in mind, however, that organized information is very important. The more information the better!

**Source: CT CPASS: You are the Employer: A Guide to Hiring And Managing Personal Assistant Services.**  
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