

# **IMPLEMENTATION GUIDE FOR THE STATE OF WISCONSIN GENERAL RECORDS SCHEDULE FOR CLASSIFIED PERSONNEL AND RELATED RECORDS**

In 1996, the Public Records and Forms Board approved a Statewide retention policy for classified personnel records. The retention policy addresses some 145 records series (groups of records that share a common function, record keeping need, file structure, and retention requirement). The policy was developed around personnel functions--the recruitment process, hiring, classification and evaluation etc.

Because the classified personnel records schedule is substantial and many of the items do not have direct relevance to UW Madison departmental offices, the Archives and Records Management Service (ARMS) and the Classified Personnel Office (CPO) have prepared this Guide to the General Records Schedule for Personnel and Related Records. It is similarly organized to the records schedule in that it also follows a functional approach except that this Guide contains a discussion of the classified personnel file.

There is also a campus-wide retention schedule for Faculty and Academic Staff Personnel Records.

## **SCHEDULE DOES NOT REQUIRE CREATION OF RECORDS**

It is understood that not all departments have all the types of personnel records discussed in this Guide. This Guide and the State of Wisconsin's General Records Schedule for Personnel and Related Records it is based upon do not require additional records to be created. In fact, offices are advised not to create additional records beyond those that are required or necessary to document personnel transactions.

## **RETAINING RECORDS**

Campus departments are required to follow this schedule for applicable records. Retention periods established and disposition directions are state policy requirements for Classified Personnel records. Records may be delayed from destruction only under the following conditions:

- Particular records have been identified as needed for a financial or performance audit;
- Records are needed for an actual or imminent legal proceeding, or
- An open records request for retrieval of particular records has been received or completed.

It is the responsibility of the office holding the record to determine if an audit, litigation, or an open records request is pending before disposing of that record.

## **CONFIDENTIALITY OF CLASSIFIED PERSONNEL RECORDS**

Some personnel-related records are confidential, such as employee medical records, examination scores and rankings and other evaluation of applicants, dismissals, demotions, and other disciplinary actions, and certain pay survey data identified as confidential in s.230.13, Wis. Stats. In general, the records in this schedule that relate to program operations and administration and do not contain information on individuals are likely to be open. Those records that relate to individuals are more likely to contain confidential information. If in doubt as to whether or not a specific record is confidential, it is always a good idea to check with the UW-Madison Office of Administrative Legal Services.

The term "destroy confidential" is used throughout the document. It is prudent to destroy all personnel related records that contain information on individuals in a confidential manner. ARMS Bulletin # 7 discusses options for records disposal.

## **EMPLOYEE RESPONSIBILITIES**

While the State of Wisconsin, as an employer, will retain the identified personnel-related records to fulfill operational and legal requirements, employees are also encouraged to retain a file, preferably at home, that contains important personnel-related documents. Some items that employees may wish to retain include: the initial offer of employment, formal evaluations, important credentials, such as: licenses and continuing education credits, performance evaluations, reclassifications, promotions and reallocations, the most recent version of a position description, and other important information that document the individual's civil service career.

Item PERS 124 in this document indicates that civil service personnel files will be kept for a period of 8 years after the person leaves State service. After this time, the files are destroyed. University departments should encourage employees to maintain a personal file with copies of important personnel related information such as those noted in the paragraph above.

## **RETENTION AND DISPOSITION OF RECORDS**

Campus offices are urged to implement the recommendations in this Guide. It is NOT necessary to contact or formally notify the CPO or ARMS to carry out the recommendations. Offices are encouraged to contact the State Records Center for disposal of personnel record items. While many items are not confidential in nature, personnel records do represent an area of sensitivity and should not be left in hallway containers or recycle bins for public perusal while awaiting disposal.

In those instances in which records destruction is noted as part of the retention instructions, departments are advised that it is prudent to destroy confidentially all personnel-related records that contain confidential or personally identifiable information. The University Archives and

Records Management, ARMS, can advise your office on the best method for the destruction of personnel records.

## **DELEGATED AUTHORITY FOR THE MANAGEMENT OF ORIGINAL PERSONNEL RECORDS**

All appointing authorities on campus have delegated authority from the UW System President. Each employing unit on campus has at least one appointing authority, and each authority has responsibility to keep classified personnel records. **However, the official P-file is kept in the Classified Personnel Office.**

If you are uncertain who in your unit is the appointing authority, please first consult your employing unit's personnel representative, and if necessary, the Office of Human Resources.

## **FOR ADDITIONAL INFORMATION AND ASSISTANCE**

The UW-Madison Classified Personnel Office and the University Archives and Records Management Service can provide information on the General Records Schedule for Personnel and Related Records. Inquiries should be directed to the Classified Personnel Director's office.

## **TERMS AND PHRASES**

PERS followed by a number is a reference to the specific retention authorization number in the Statewide General Records Schedule for Personnel and Related Records.

RETENTION is the period of time that the records must be retained to satisfy all state requirements. These are the types of retention:

- *Creation* plus a period of time: CR is the designation for these types of retention.
- *Event* plus a period of time: EVT is the designation for these types of retention. Event type retention requires a specified event to start the "clock ticking" on the retention period. The event should be well defined as part of the record series and understood by all staff who work with the records.
- *Fiscal* plus a period of time: FIS is the designation for this type of retention. This type of retention specifies retaining the current fiscal year and a specified number of back fiscal years of records. It is well suited for accounting, budgeting and fiscal records.
- *Permanent* means retaining the records forever: P is the designation for this type of retention. Because of the high costs associated with maintaining records, only a small number of records can be justified as requiring permanent administrative value.

DISPOSITION is what happens to the records after the retention period is satisfied. Most record series in the schedule have a disposition of destroy confidential. This means that the records should be destroyed with some attention to the records' actual or perceived confidentiality. Other

records that are summaries and do not contain specific names can be destroyed without concern for the confidentiality of the materials.

The other disposition is transfer to either the State Archives or a designated UW institution archive for identified university records. Record series with secondary historical value are preserved for researchers and to provide a history of state government operations.

Permanent retention precludes a disposition, as there is no disposition if an agency is retaining records permanently. Therefore, not applicable designated by "N/A" is used in these situations.

Note: Refer to individual RDAs to determine where the official record is held and which disposition applies to each copy.

## **THE OFFICIAL PERSONNEL FILE**

For the UW-Madison campus, **the CPO maintains the official classified personnel file.** It is this file that is transferred to the State Records Center to be retained for a period of 8 years from the date of termination of employment with the University.

The purpose of the personnel file is to document personnel transactions for a particular individual employee. The official personnel file contains a variety of documents divided into three categories: Essential, Transitory, and Local. The information provided below is taken from the DER Manual, dated May 24, 1982.

**Essential Documents.** The items noted below when generated must be maintained in the official classified personnel file.

- Personnel Transfer Record
- Letters or notices of appointment, resignation, retirement, or termination
- State job application from which an appointment of the employee is made
- Position description and addendum (original and all others that indicate a change in duties or responsibilities)
- Leave of absence with pay due to injury
- Leave of absence request/authorization
- Evidence of awards received under the Merit Award Program or other State programs
- Formal apprenticeship agreements
- Training agreements
- Interchange agreements

**Transitory Documents.** The item below must be filed in the official classified personnel file whenever an employee transfers or terminates.

- Personnel Turnaround Document

**Local Documents.** These documents are to be filed in the official classified personnel file for the period of actual employment. They may be removed from the file at the time an employee

transfers to another State agency or terminates employment with the State, but only if the document is determined to be of no use to the losing agency.

- Certification Request
- Probationary Service Report
- Reclassification Request/Report
- Reallocation Notice
- Performance Evaluations
- Records of equity and performance awards
- Letters of commendation
- Letters of reprimand
- Notice of actions affecting employee's pay status

**Filing Recommendations:**

Campus departments are urged to retain only departmental copies of those items noted above in their copy of the classified personnel file. Any material regarding an employee that has not been shared with the employee should not be placed in the departmental copy of the classified personnel file.

Supervisors may maintain in their own files information they believe is helpful or necessary to manage workload and employees. Supervisors should be aware that if they share this written information with any other person, the material may become subject to Open Records Law requests.

While subunits within an employing unit may wish to retain files of duplicates of CPO personnel file material for ease of access, this is not encouraged. Do not keep such material longer than needed. If convenience copies are retained, appropriate access to these copies must be provided in response to audit or legal request and per Open Records Law.

**RETENTION:**

- Non-employing unit copy: Retain 1 year past the date of termination and destroy.
- Official Classified Personnel File (copy maintained by CPO): Transfer to the State Records Center and retain for a period of 8 years and then destroy. (See PERS124 and PERS125.)

**DISPOSITION:** Destroy confidential for all copies.

# CONTENTS FOR EXCERPTS FROM THE STATEWIDE SCHEDULE

The following are excerpts from the complete schedule that may pertain to the UW-Madison campus. The complete schedule with detailed descriptions is located at [http://www.doa.state.wi.us/docs\\_view2.asp?docid=190](http://www.doa.state.wi.us/docs_view2.asp?docid=190).

## **A. Recruitment and Selection Records**

- Request to Staff Positions (PERS002)
- Job Announcements and Related Records (PERS003)
- Employment Applications (PERS004)
- Register Folder (PERS005)
- Examination Folders (PERS006)
- Certification Requests, Lists of Candidates, and Group Referrals (PERS007)
- Interview Documentation (PERS008)
- Documentation to DMRS after a Hire (PERS009)
- Annual Summary Report to DMRS on Hires (PERS010)
- LTE Request/Reports (PERS011)
- Requests Responses for Permissive Reinstatement, Transfer, or Voluntary Demotion (PERS012)
- Unsolicited Resumes and General Expressions of Interest in Employment (PERS013)
- Offers of Employment (PERS015)
- Non-Select Letters (PERS016)
- Federal I-9 Forms (PERS017)
- Test Administration Related Records (PERS018)
- Delegation Agreements--Staffing (PERS019)
- Delegation Performance Audits--Staffing (PERS020)

## **B. Compensation and Labor Relations Related Records**

- Request for Reclassification of a Civil Service Position--Non Delegated (PERS021)
- Request for Reclassification of a Civil Service Position--Non Delegated Unofficial Copy (PERS022)
- Request for Reclassification of a Civil Service Position--Delegated Agencies (PERS023)
- Request for Reclassification of a Civil Service Position--Delegated Unofficial Copies (PERS024)
- Reallocations of Civil Service Positions--Delegation Classifications (PERS025)
- Reallocations of Civil Service Positions--Non Delegated Classifications (PERS026)
- Supervisor, Bureau Director, and Division Administrator Approval Files for All Reallocations (PERS027)
- Agency Reorganization Requests and DER Approval of Classification Levels after DOA Approval of the Reorganization (PERS028)
- Position Description/Supervisor Analysis Form (Form DER-DCC-10/DER-DCC-84 or equivalents) DER Approval (PERS029)

- Position Descriptions/Supervisor Analysis Form (Form DER-DCC-10/DER-DCC-84 or equivalents)--Supervisor's File (PERS030)
- Position Classification Specifications (PERS031)
- Classification Surveys--Reports and Results (PERS032)
- Classification Surveys--Working Papers (PERS033)
- Appeals--Reclassification, Reallocation, Classification Survey and Status of Positions as a Protective Occupation (PERS034)
- Approval of Employee as a Protective Occupation Participant (POP) under the Wisconsin Retirement System (PERS035)
- Fair Labor Standards Act (FLSA) Formal and Informal Complaint Files--summary Documents (PERS036)
- Fair Labor Standards Act (FLSA) Formal and Informal Complaint Files--Working Documents (PERS037)
- FLSA Status Requests (PERS038)
- Review of Positions for Placement in Executive Salary Groups (ESG) (PERS039)
- Delegation Agreements--Class and Comp (PERS040)
- Delegation Performance Audits--Class and Comp (PERS041)
- Agency Requests to Raise the Minimum Rate for a Classification (PERS042)
- Agency Requests to Hire Above the Minimum (HAM) (PERS043)
- Accretions and Conversions (PERS044)
- Memorandum of Understanding between UW and Division of Class and Comp (PERS045)
- Biennial Compensation Plan for Non-Represented Employees (PERS048)
- Moving and Lodging Expense Reimbursement (PERS049)
- Family and Medical Leave Act (FMLA) State Guidelines (PERS050)
- Employee FMLA Requests and Employer Responses (PERS051)
- Alphabetical Listing of Classifications--Publication (PERS052)
- Exceptional Performance Award (EPA) and Interim Award Reports (PERS054)
- Senior Managers Program (PERS055)
- Labor Market Survey--Results and Reports (PERS056)
- Labor Market Survey--Working Papers (PERS057)
- Labor Market Surveys--Survey Responses (PERS058)
- Proprietary Wage and Benefit Surveys (PERS059)
- Compensation Tables and Special Reports (PERS061)

### **C. Operations and Agency Personnel Office General Records**

- DER Formal Documentation with the Joint Committee on Employment Relations (JCOER) (PERS068)
- Policy Related Correspondence (PERS070)
- Routine Correspondence (PERS071)
- DER Bulletins (PERS072)
- Employee Interchange Agreements (PERS073)
- Career Executive Program--Opt in or Out (PERS074)
- Career Executive Program--Reports (PERS075)
- personnel Employee History Roster (PERS076)

- Agency Payroll Register (PERS077)

#### **D. Collection Bargaining and Related Records**

- Agency Collective Bargaining and Labor Contract Administration Case File (PERS081)
- Local Union Agreements (PERS082)
- Union Member of Group Grievances (PERS086)
- Arbitration Appeals--Non-precedential (PERS087)
- Arbitration Appeals--Precedential (PERS088)
- Personnel Related Litigation Case Files (PERS089)
- Union Management Meetings (PERS091)

#### **E. Affirmative Action and Equal Employment Opportunity Related Records**

- State Agency and UW System Equal Opportunity/Affirmative Action Plans EEO/AA (PERS095)
- Compliance Reviews of State Agency and UW Institution AA Plans (PERS096)
- DER Policy and Guidance File for Doing AA Plans (PERS097)
- Underutilization Reports (PERS099)
- Veterans Employment Report (PERS100)
- Agency AFDC Hiring Plan (PERS102)
- AFDC Hiring Report (PERS103)
- Summer Affirmative Action Intern Program Annual Report (PERS104)

#### **F. State Employee Suggestion Board Meeting Records**

- Implemented Suggestions and Cash Awards (PERS106)
- Evaluation of Suggestions and Responses (PERS107)

#### **G. Training Related Records**

- Catalog of State Offered Training Courses (PERS108)
- Training Related Documentation (PERS109)
- Course Evaluations (PERS110)
- Training Vendors Hired (PERS111)
- Training Vendors--Not Hired (PERS112)
- Course Materials for Basic Supervisory Training (PERS113)
- Delegation Agreements for Training Related Activities (PERS114)
- Tracking Systems for Managing Training Activities (PERS115)

#### **H. Employee Assistance Program Related Records**

- Employee Assistance Coordinator(s) Case Files (PERS116)
- Denied Application Files for EAP Coordinator Positions (PERS117)
- EAP Program Policy and Standards (PERS118)
- EAP Statistical Reports and Program Accomplishments (PERS119)

- EAP Contact Report Form (PERS120)
- EAP Case Files at UW Madison, Extension, and UW Center System (PERS122)
- EAP Satisfaction Surveys (PERS123)

## **I. General Personnel Administration**

- Official Personnel File (PERS124)
- Supervisors Working Copy--Personnel File (PERS125)
- Employee Medical Case Files (PERS126)
- Medical Records involving Employee Exposure to Hazardous Substances (PERS127)
- Employee Handbook, including Agency Work Rules (PERS128)
- Drug and Alcohol Test Records (PERS129)
- Apprenticeship Case Files (PERS130)
- Seniority Lists (PERS131)
- Letters of Recommendation or Endorsement (PERS132)
- Unit, Section, Bureau, Division, or Department Lists of Employees and Emergency Contact Information (PERS133)
- Agreements to Provide a Work Site for Employment (PERS134)
- Assignment and Release of State Owned Property (PERS135)
- Supervisor Nomination for EPA and Equity Pay Awards (PERS136)
- Non Represented Grievances and Appeals (PERS137)
- Agency Grievance Case File (PERS138)
- Employee Discipline Related Records (Represented and Non represented) (PERS139)
- Employee Layoff Records (PERS140)
- Requests and Responses for Alternative Work Schedules (PERS141)
- Reasonable Accommodation Requests and Evaluations (PERS142)
- Employee Performance Plans and Periodic Evaluations (PERS143)
- Exit Interview Records (PERS144)
- Discrimination Case Files (PERS145)