

State of Wisconsin

DIVISION OF PERSONNEL MANAGEMENT

- MERIT RECRUITMENT AND SELECTION BULLETIN -

Date: December 28, 2016

Locator No. DPM-0437-AO/MRS

**Subject: Electronic Storage of State
Employee Official Personnel File**

The Recruitment and Retention Reform law (2015 Wisconsin Act 150) was effective July 1, 2016 and directed the DPM Administrator and BMRS Director to review the feasibility of requiring all agencies within the executive branch of state government, other than the Board of Regents of the University of Wisconsin, to use electronic personnel files. Act 150 also modified Chapter 230, Wis. Stats. such that an appointing authority may not make an offer of employment to any individual who currently holds a position without first reviewing the personnel file.

The purpose of this bulletin is to notify agencies of the introduction of electronic storage of employee personnel files and provide procedures for implementation. This bulletin also provides guidance on the review of personnel files per s 230.15(7), Wis. Stats.

Effective February 1, 2017, all documents included in the Official Personnel File shall be maintained electronically in STAR HCM. Chapter 180 of the *Wisconsin Human Resources Handbook* (WHRH) pertaining to classified employee personnel records will be updated to reflect this new process of electronic storage and maintenance of personnel files.

These changes do not impact the Records Disposition Authorization (RDA) HR000190 which covers the Official Personnel File. Specifically, the Human Resources and Related General Records Schedule applies to covered records in all media and s. ADM 12.05, Wis. Adm. Code states that official public records stored exclusively in electronic format must be accessible, accurate, authentic, reliable, legible, and readable throughout the record life cycle. Access to electronic documents must be restricted to those authorized individuals in the same way that access is limited to a paper document.

An enhancement has been made in STAR HCM which satisfies the requirements established in s. ADM 12.05, Wis. Adm. Code. The electronic employee personnel file will be linked to a particular employee. There will be one official personnel file for each employee regardless of concurrent or subsequent appointments. Access to the personnel file will be available to agency personnel who have been designated by the Human Resources Director.

Implementation

Personnel file documents created on or after February 1, 2017 shall be scanned or created in electronic PDF format by the agency and be uploaded into STAR HCM by the designated agency representative. The documents will be indexed according to the appropriate document category as provided under WHRH Chapter 180. The original paper document must be maintained by the agency HR Director or designee for a period of three (3) months and will then be confidentially destroyed.

Current employee personnel files will be converted to electronic format no later than **July 1, 2017**. Conversion will occur as follows for paper documents and documents already in electronic format:

- Each file will be reviewed to remove records which are not part of the official personnel file and ensure the records will be legible and readable in electronic format.
- Agencies will remove any unnecessary personally identifying information from the file prior to conversion including the removal or redaction of social security number (SSN) from any documentation. Agencies will notify DPM when all personnel files have been prepared and are ready for conversion. DPM will coordinate the scanning of the personnel files.
- The entire personnel file prior to February 1, 2017 will be maintained as a separate electronic file within STAR HCM. The paper file will be retained within the agency for 1 year after conversion and will then be confidentially destroyed. Agencies retain discretion to determine where the personnel files for subunits of the agency will be stored, i.e. whether the files are returned to the subunit or maintained centrally.

Personnel files of former employees that have not reached the end of their life cycle will be maintained in their current format until the retention period has ended or the employee has been reactivated. If a former employee is reactivated, the personnel file will be reviewed and converted to electronic format in the same manner as was done for state employees that were current as of February 1, 2017.

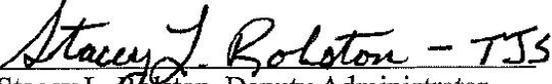
Review of Personnel Files

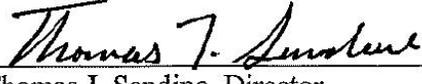
It is expected that agency HR Directors, or highest level human resources manager, serve as the primary custodians of the agency employee personnel files. While the review of an employee's personnel file by another agency generally requires an open records request for the information, the mandatory review for the purposes of hiring a current state employee does not require this request. The agency HR Director, or designee, responsible for the employee's personnel file will make the record available for inspection upon request from the hiring agency HR Director, or designee, in STAR HCM. Upon approval, the personnel file will be available to the requester for a period of three (3) calendar days. Files made available for review shall not be printed by the requestor. If a copy of any document is required, the requestor must submit an official open records request to obtain a copy.

Agencies will provide efficient responses to review requests. When a request is made to review an employee's personnel file that has not been completely converted to electronic format the agency HR Director holding the employee's personnel file will make the record available for inspection by the hiring agency HR Director or designee. Personnel files will not be sent through interdepartmental mail nor be scanned and sent electronically for any reason including hiring review.

When an employee requests to view their personnel file, the agency HR Director or designee will make the electronic file available for the employee to review in a manner consistent with current practices.

Direct any questions relating to personnel files of state employees to the Director of the Bureau of Merit Recruitment and Selection.


Stacey L. Rolston, Deputy Administrator
Division of Personnel Management


Thomas J. Sandine, Director
Division of Personnel Management, Bureau of
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CLARIFICATION OF MATERIALS PERMITTED IN EMPLOYEE PERSONNEL FILES

Materials Contained Within Employee Personnel Files

1. Certification Request from which an appointment is made
2. Evidence of awards received from the State (example: a State Employee Suggestion Award)
3. Formal apprenticeship agreements
4. Leave of Absence With Pay Due to Injury Request/Authorization
5. Leave of Absence Without Pay Request/Authorization
6. Notice of Interchange Agreements
7. Letters of appointment and assignment
8. Letters of commendation (Letters of commendation must be in a formal format and do not include email messages.)
9. Letters of discipline
10. Letters of resignation/termination
11. Letters of instruction related to work expectations
12. Notice of actions affecting employee's pay status
13. Performance Evaluations
14. Position Description (original and any subsequent)
15. Probationary Service Report (former title) or probationary performance evaluations and letters related to the results of the employee's probationary period(s) or trial period.
16. Notice of Reallocation
17. Notice of Reclassification
18. Records of equity, retention, and merit or performance awards
19. Training records
20. All other material concerning an employee including Outside Employment or Conflict of Interest requests, licensure or certification documents, resumes, etc. **Note:** Documents designated by an appointing authority as requiring special handling or separate filing should not be included in the personnel file, include those noted below.

Examples of Materials/Information NOT Included With Employee P-Files

- Payroll and Benefits Documents:
 - Direct Deposit information
 - Materials related to Deferred Compensation
 - Insurance or benefit enrollment or change forms
 - Beneficiary designation forms or records
- Medical Records of Employees:
 - FMLA documentation
 - Disability Verification
 - Request for Reasonable Accommodations
- Personally Identifying Information
 - Photos of employee
 - Copy of driver's license or other identification
 - Social Security Number
- Miscellaneous
 - I-9 Verification
 - Background Check documents
 - Personnel investigation materials
 - Employee grievances or complaints
 - Worker's compensation documents