

# Wisconsin Human Resources Handbook

## Chapter 104

### Procedures for Staffing Permanent Positions

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#### Sec. 104.010 Introduction

The purpose of this chapter is to provide a general overview of the staffing process. More detailed information and explanations for specific procedures, including statutory and rule authority, can be found in the referenced chapters. For represented positions, it also assumes that all necessary steps are taken which are required by union contract(s) when staffing positions.

The information in this Chapter applies to permanent classified positions. (See [Chapter 228](#) of the *Wisconsin Human Resources Handbook* for staffing information on project positions, and [Chapter 224](#) of the *Wisconsin Human Resources Handbook* for information on Limited Term Employment (LTE).)

#### Sec. 104.020 Statutory and Rule Authority

1. “It is the policy of the state and the responsibility of the director and the administrator to maintain a system of personnel management which fills positions in the classified service through methods which apply the merit principle, with adequate civil service safeguards.” s.230.01(2)(a), Wis. Stats.
2. “Recruitment for classified positions shall be an active continuous process conducted in a manner that assures a diverse, highly qualified group of applicants; and shall be conducted on the broadest possible base consistent with sound personnel management practices and an approved affirmative action plan or program. Due consideration shall be given to the provisions of s. 230.19.” s.230.14(1), Wis. Stats.
3. “In advertising openings in the classified civil service, the state may not require as a condition of application that an applicant be a college graduate unless the opening is a position as a forensic scientist in a state or regional crime laboratory or unless the opening must be filled by an incumbent holding a credential, as defined in s. 440.01 (2) (a), or other license, permit, certificate or registration in an occupation regulated by law and college graduation is required to obtain the occupational credential, license, permit, certificate or registration. s.230.14(3m), Wis. Stats.
4. “The director shall require persons applying for a position in the classified service to file an application and resume with the bureau.” s.230.16(1)(a), Wis. Stats.

5. “The director may require in connection with the application such supplementary work history, educational transcripts, statements of physicians or others having knowledge of the applicant, as needed for qualification evaluations.” s.230.16(1)(am), Wis. Stats.
6. “Except as provided in subd. 2., the director may not request a person applying for a position in the civil service, on an application or otherwise, to supply information regarding the conviction record of the applicant, or otherwise inquire into or consider the conviction record of the applicant before the applicant has been certified for the position. This paragraph does not prohibit the director from notifying an applicant for a position in the civil service that, by law or policy, a particular conviction record may disqualify an applicant from employment in a particular position.” s.230.16(ap)(1), Wis. Stats and s.230.16(ap)(2): ”If a particular conviction record disqualifies applicants for a certain position in the state civil service, the director may request a person applying for the position to supply information regarding the conviction record of the applicant, or otherwise inquire into or consider the conviction record of the applicant, to determine whether the applicant's conviction record disqualifies him or her for the position before the applicant is certified for the position.”
7. “To be eligible for transfer, an employee shall be qualified to perform the work of the position to which the employee would transfer after customary orientation provided for a newly hired worker in the position.” ch. ER-MRS 15.01, Wis. Adm. Code
8. “Reappointment under this chapter may be either permissive at the discretion of the appointing authority or mandatory as required by the law or rule of the director. In those instances where an employee or former employee has ‘eligibility’ for reinstatement, the action is permissive. In those instances where an employee or former employee has the ‘right’ of restoration, the action is mandatory.” ch. ER-MRS 16.01, Wis. Adm. Code.
9. “To be eligible for demotion, an employee must be qualified to perform the work of the position after the customary orientation provided for a newly hired worker in the position.” ch. ER-MRS 17.01, Wis. Adm. Code.
10. “The director shall provide, by rule, for exceptional methods and kinds of employment to meet the needs of the service during periods of disaster or national emergency, and for other exceptional employment situations such as to employ the mentally disabled, the physically disabled and the disadvantaged.” s. 230.08(7), Wis. Stats.
11. “The director shall establish criteria for evaluating applicant qualifications and shall require the same or equivalent competitive procedure for all applicants competing for eligibility on a register except as may be provided in ch. ER-MRS 27.” s. ER-MRS 6.05(1), Wis. Adm. Code. (See also s. 230.213, Wis. Stats. regarding special recruitment.)
12. “Competitive procedures may include any technique or techniques which the director deems appropriate to evaluate applicants.” s. ER-MRS 6.05(2), Wis. Adm. Code.
13. “All competitive procedures shall be:
  - a. Based on information from job analysis, position analysis or other equivalent information documenting actual job tasks to be performed or skills and knowledges required to perform job tasks, or both;
  - b. Developed in such a manner as to establish the relationship between skills and knowledges required for successful performance in the competitive procedure and skills and knowledges required for successful performance on the job;
  - c. Supported by data documenting that the skills and knowledges required for successful performance in the competitive procedure are related to skills and knowledges which differentiate among levels of job performance;
  - d. Sufficiently reliable to comply with appropriate standards for validation; and
  - e. Objectively rated or scored.”

s. ER-MRS 6.05(3), Wis. Adm. Code.

14. “In the interest of sound personnel management, consideration of applicants, and service to agencies, the director may set a standard for proceeding to subsequent steps in the selection process, provided that all applicants are fairly treated and due notice has been given. The director shall utilize appropriate scientific techniques and procedures in administering the selection process, in rating the results of any evaluations used in the selection process, and in determining the relative ratings of the competitors.” s. 230.16(5), Wis. Stats.
15. “Appointing authorities shall give written notice to the director of any vacancy to be filled in any position in the classified service. The director shall certify, under this subchapter and the rules of the director, from the register of eligibles appropriate for the kind and type of employment, the grade and class in which the position is classified, any number of names at the head thereof. In determining the number of names to certify, the director shall use statistical methods and personnel management principles that are designed to maximize the number of certified names that are appropriate for filling the specific position vacancy. Up to 2 persons considered for appointment 3 times and not selected may be removed from the register for each 3 appointments made.” s. 230.25(1), Wis. Stats.
16. “The administrator and the director shall provide an appointing authority with access to the personnel files of any individual who currently holds a position whom the appointing authority intends to make an offer of employment.” s.230.13(3)(c), Wis. Stats.
17. “An appointing authority may not make an offer of employment to any individual who currently holds a position unless the appointing authority has reviewed the personnel file of the individual.” s. 230.15(7), Wis. Stats.
18. “Any person employed or appointed contrary to this subchapter, or to the rules established thereunder, shall be paid by the appointing authority so employing or appointing, or attempting to employ or appoint that person, the compensation agreed upon for any service performed under such appointment or employment, or attempted appointment or employment, or in case no compensation is agreed upon, the actual value of such services and any expenses incurred in connection therewith, and shall have a cause of action against such appointing authority, for such sum and for the costs of the action. No appointing authority shall be reimbursed by the state for any sums so paid or recovered in any such action.” s.230.41, Wis. Stats.

**Note:** Additional statutory and rule authority can be found in the referenced *Wisconsin Human Resources Handbook* chapters.

### Sec. 104.030 Definitions

1. **Certification:** A list of candidates from the register who will be moved on to any post-certification selection process (e.g. phone screen, interview, another post-cert assessment, etc.). These are the candidates who have been identified as the most qualified candidates based upon evaluation of their assessment materials.
2. **Exceptional Employment Situations:** Employment opportunities in agencies where: (1) vacancies have been set aside, as part of an approved affirmative action plan, to provide training and permanent employment to economically disadvantaged or disabled individuals; (2) special statutory or funding requirements for specific positions require applicants who meet established eligibility requirements; or (3) the employment situation occurs as a result of disaster or national emergency. See ch. ER-MRS 27, Wis. Adm. Code.
3. **Job Analysis:** A systematic process used to identify the tasks, duties, responsibilities and work conditions associated with a job and the knowledge, skills, abilities, and other characteristics required to perform that job.
4. **Register:** List of applicants who have completed the application process and have been deemed eligible or minimally qualified. Applicants may be assigned passing civil service scores and be ranked on the register

based on those scores if the assessment used a numerical score to determine eligibility. If the assessment applied pass/fail or eligible/not eligible criteria to applicants and (by default) therefore no numerical score, all applicants deemed passing or eligible will be placed on the register.

5. **Vacancy:** “A classified position to which a permanent appointment may be made after the appointing authority has initiated an action to fill that position.” s. ER-MRS 1.02(34), Wis. Adm. Code

### **Sec. 104.040 Timeline to Fill a Vacancy**

Pursuant to s. 230.05(7) Wis. Stats. and s. 230.25(2)(b) Wis. Stats., the timeline for filling a classified vacancy is 60 days. Thirty (30) days are permitted from the date an appointing authority submits a request for certification to the Bureau of Merit Recruitment & Selection (BMRS) until the date the certification list is generated. The appointing authority will then have 30 days from the date of certification to make a hire for the position. The appointing authority is also required to report the number of days it took to make an offer of employment for a vacant position after receiving a certification list.

In order to determine and monitor the complete hiring process, agencies will record the date a vacant position is authorized to fill through the agency’s internal position control process and the effective start date of the employee hired into the vacancy. Once the position is authorized to fill, a number of steps occur internal to the agency including preparatory work for the recruitment by human resources and any internal movement. The date of the job announcement will serve as the request for certification date for all positions which undergo open competition. Agencies will complete the selection process by entering the date of first offer made and the start date into Wisc.Jobs. Both dates are documented to establish a more accurate and complete timeline.

Agency human resources staff will be responsible for overseeing the selection process to ensure vacancies are filled within the established timeline. A recruitment checklist is recommended to aid in establishing the timeline and roles of all participants during the selection process. See Attachment #1 for a sample recruitment checklist.

BMRS actively monitors timelines involved in the selection process and the Director retains authority to ensure agencies are meeting both 30 day requirements. Exceeding the second 30 day requirements is permitted only in the exceptional instance of a selection process in which the number and duration of assessments required for selection exceed the 30 days permitted post-certification. This exception must be made by the BMRS Director.

### **Sec. 104.050 Options to Fill a Vacancy**

Before developing the process to create a new register, the following options may be considered:

1. Transfer.
  - a. **Voluntary:** Agencies may announce a non-career executive vacancy for permissive transfer applicants on an agency or employing unit basis outside of Wisc.Jobs. If internal applicants will be considered prior to posting the position for open recruitment, agencies are required to have an internal transfer policy and an announcement of an internal transfer opportunity is required. (See ch. ER-MRS 15, Wis. Adm. Code.)

Transfers between agencies may only be considered along with open candidates. The job announcement will specify whether employees seeking transfer are required to complete the initial competitive selection procedures. Alternatively, an agency may use the job announcement to refer transfer candidates to a point of contact to provide guidance in lieu of providing the instruction or detail in the job announcement.

- b. **Involuntary:** Involuntary transfers are not delegated and require review and authorization of the director before such an action is initiated. Involuntary transfers are not permissible between agencies.

2. Reinstatement/Restoration. An employee or former state employee may be considered to fill vacancies in the same, counterpart or lower class. In those instances where an employee or former employee has *eligibility* for reinstatement, the consideration for appointment is permissive. This is distinguished from the *right* of restoration in which the offer of employment is mandatory for employees such as those affected by layoff, returning from an approved leave of absence, or other specified circumstance. (See ch. ER-MRS 16, Wis. Adm. Code.)

External candidates with reinstatement eligibility may only be considered during the open recruitment process. Internal candidates with reinstatement eligibility may be considered along with internal transfers if permitted by agency policy.

**Note:** External candidates are individuals that are not currently employed at an agency.

**Note:** Effective July 1, 2016, reinstatement eligibility of former employees is limited to those who separated, without misconduct, prior to July 1, 2016. Such persons retain eligibility for five years from the date of separation.

Employees laid off from state service prior to July 1, 2016 maintain restoration through the original period of eligibility. However, a person who has obtained permanent status in class and is affected by layoff on or after July 1, 2016 is eligible for reinstatement up to 3 years from the date of layoff. (See [Chapter 238](#) –Personnel Transactions, of *Wisconsin Human Resources Handbook* for more information on reinstatement and restoration.)

3. Voluntary Demotion. An employee with permanent status in class may request voluntary demotion within an agency to a position in the same employing unit or to a position in a different employing unit. Employees may also request voluntary demotion between agencies through an application submission during the recruitment process. The job announcement will specify whether employees seeking demotion are required to complete the initial competitive selection procedures or will refer the candidate to an agency point of contact for additional instruction. (See ch. ER-MRS 17, Wis. Adm. Code.)
4. Existing Register. Determine if it is possible to certify candidates from an existing register for the same classification within the agency or at another agency. Agencies are required to use an existing register created within their agency within the previous 30 days for the same classification (or series), within the same geographical area and where the job analysis demonstrates similar requirements.
5. Related Register. It may be possible to use a register established for a similar position in the same or higher pay range created within or outside of the agency. For more information on the use of related registers see [Chapter 204](#) —Assessment Evaluation and Register Establishment, of the *Wisconsin Human Resources Handbook*, for procedures on requesting use of a related register and completing a *Request to Use Related Register* form (DOA-15516).
6. Noncompetitive Appointment for Certain Disabled Veterans. Qualified veterans with a 30% or more service-connected disability are eligible for non-competitive appointment to permanent positions in classified civil service under s. 230.275, Wis. Stats. (See Policy Bulletin [DPM-0456-MRS](#) – Delegation of Non-Competitive Appointment of Certain Disabled Veterans, for more information.)
7. Exceptional Methods of Employment. An appointing authority may request that exceptional methods of employment be used to fill vacancies which have been set aside to provide training and permanent employment to economically disadvantaged individuals or persons with disabilities; where special funding requirements for special positions require applicants to meet established eligibility criteria; or to meet the needs of state service during periods of disaster or national emergency. (See ch. ER-MRS-27, Wis. Adm. Code.)

## Sec. 104.060 Preparation for Recruitment

1. **Position Description Development.** Developing an accurate position description is the first requirement of any selection process. The position description is needed for determining the duties and responsibilities of the position and the relative importance of tasks performed and knowledge required of the person filling the vacancy. An accurate position description is also necessary for classifying the position. (See [Chapter 310](#) of the *Wisconsin Human Resources Handbook* for more information on position description development.)

The job analysis process (below) includes a review and, if needed, an update of the Position Description (DOA-15302) to ensure that the tasks and goals of the job are accurately documented before identifying the criteria for the recruitment. If adjustments are made to the PD, it may need to be reviewed for classification purposes. (See [Chapter 176](#) – Competitive Selection Procedures of the *Wisconsin Human Resources Handbook* for more information.)

2. **Request to Staff Position.** A request to fill or staff a position must be submitted by the hiring manager along with the position description to be reviewed by HR. HR will review the request to staff and obtain the necessary approvals (noted below) before a request for certification is made to BMRS. Agencies are permitted to use an internal request to staff form or may use the version used by Department of Administration (DOA). If not already included in the agency's request to staff process, a Certification Request form must be completed and maintained. Agencies are responsible for maintaining all pertinent approvals and authorization dates for BMRS review.

#### **Approvals Required**

- a. **Budget Approval.** Ensure that all necessary budget approvals (i.e., permission to permanently fill the vacancy) are obtained prior to beginning staffing actions.
  - b. **Classification Approval.** Regardless of whether a vacancy is for a new or an existing position, classification approval must be obtained.
  - c. **Hiring Above the Minimum (HAM), Temporary Appointment Maximum (TAM), Raised Hiring Rate (RHR) Approval.** Some staffing transactions involving HAM, TAM or RHR require the approval of the Department of Administration, Division of Personnel Management, Bureau of Classification and Compensation. (See [Chapter 560](#) – Raised Minimum Rate (RMR), of the *Wisconsin Human Resources Handbook* and [Chapter 508](#) – Hiring Above the Minimum (HAM) and Temporary Appointment Maximum (TAM) for Classified Positions of the *Wisconsin Human Resources Handbook* for more information.)
  - d. **Sign-On Bonus Approval.** For positions where recruitment has been, or is anticipated to be, difficult, a sign-on bonus may aid in attracting applicants. Sign-on bonuses require the approval of the Department of Administration, Division of Personnel Management, Bureau of Merit Recruitment and Selection. (See Policy Bulletin [DPM-0466-MRS](#) - Policies and Procedures for Sign-On Bonuses under Section A-5.05 of the 2017-2019 Compensation Plan for more information.)
  - e. **Appointing Authority Approval.** The request to staff must be reviewed and approved by the agency appointing authority (typically the Deputy Secretary or equivalent). The appointing authority may also permit an internal transfer and demotion process before making the formal request for certification to BMRS.
3. **Probationary Periods.** A probationary period of at least one year is required for all original, promotional, supervisory, and management appointments. Lengthened probationary periods of up to two years for administrative, technical, and professional positions may be requested by an appointing authority. BMRS maintains approval records for lengthened probationary periods by classification. (See [Chapter 116](#) – Probationary Periods of the *Wisconsin Human Resources Handbook*.)

4. Trial Periods. A single trial period of two years is required for initial appointments to the career executive program. (See [Chapter 156](#) – Career Executive Employment, of the *Wisconsin Human Resources Handbook*.)
5. Job Analysis. The job analysis is essential in order to identify the minimum duties, knowledge, skills and abilities needed for the position to be successfully performed. This step establishes the foundation for the selection process and the requisite content validity. The process involves the hiring manager, or identified job experts, reviewing the position description with human resources to identify job related criteria appropriate to measure applicants throughout the entire competitive selection process. The hiring manager or supervisor is established as the job expert in most instances except when additional job experts are needed. In this instance, job experts other than the hiring supervisor must complete a Job Expert Certificate ([DOA-15511](#)). Minimally required criteria, preferred criteria and any special or limiting requirements resulting from the job analysis are documented on the Selection Assessment Strategy form (Attachment #2 DOA-15336).
6. Selection Assessment Strategy. The Selection Assessment Strategy form (Attachment #3 DOA-15336) is required in order to properly document the selection strategy and assessment techniques used throughout the selection process. During the course of completing of this document, the Human Resources professional determines the best and most efficient method of selection based on the identified criteria from the job analysis, the supervisor’s expectations, knowledge of the anticipated applicant pool and labor market, knowledge of a myriad of assessment techniques, etc. in order to determine the most efficient and effective strategy.

The Selection Assessment Strategy form is required for every recruitment effort. However, for efficiency purposes, the Selection Assessment Strategy form may be reused to fill a subsequent vacancy provided the document is still relevant and appropriate as established by a review from human resources and the job expert. This option is only available within the same classification, at the same agency, when the criteria remain the same, and the assessment techniques proved successful, valid and reliable. In this instance the Human Resources professional will review the Selection Assessment Strategy to determine whether any changes are necessary and document the review. (See [Chapter 176](#) – Competitive Selection Procedures of the *Wisconsin Human Resources Handbook* for more information.)

7. Assessment Development. Assessments are developed based on the specific training, experience, knowledge, skill, ability and competency needed to perform the job. There is no one best assessment suitable for all circumstances. Human resources specialists must select the most appropriate approach and develop a strategy to provide the best service and results related to the position, in consideration of the size of specific applicant pool and the market forces impacting the classification. Subject Matter Experts (SMEs) or job experts are involved in assessment development to ensure it is job related. If an assessment is developed to be used by more than one agency or to fill more than one position, SMEs from representative agencies must be included in the process. (See [Chapter 176](#) – Competitive Selection Procedures of the *Wisconsin Human Resources Handbook*.)

**Note:** Agencies are precluded from conducting or otherwise requiring information regarding an applicant’s conviction record during the initial assessment process(es). Conviction record review is a post-certification activity unless the BMRS Director previously authorized use of a conviction record during the assessment phase because a particular conviction record would disqualify an applicant for employment in the position. (See [Chapter 246](#) – Verifying Applicant Information and Securing Applicant Background Checks of the *Wisconsin Human Resources Handbook* for more information.)

### Sec. 104.070 Recruitment Activities

1. Job Announcements. The purpose of the job announcement is to advise the public, and other state employees, of a vacancy while properly conveying the duties, requirements and work expectations of the position. Announcements for vacancies in the classified civil service include the criteria established from the job analysis and documented as “minimum qualifications” and “preferred qualifications”. Announcements

provide an overview of the position and other pertinent information to the applicant at the time of application. The purpose of the job announcement is to properly convey the duties and qualifications of the position to all potential applicants. A minimum seven-calendar day posting period is required for permanent position vacancy announcements. The vacancy is considered approved by BMRS for certification on the date the Job Announcement is posted. (See [Chapter 136](#)—Job Announcements, of the *Wisconsin Human Resources Handbook* for complete details.)

2. **Recruitment.** Vacancies in the classified civil service are announced online at [Wisc.Jobs](#), the official mechanism for public notification of job vacancies. Agencies may choose additional means of advertising vacancies, and are recommended to contact Enterprise Recruiting within BMRS for advertising suggestions and coordination.

All positions are treated as underutilized for the purpose of recruiting. DPM, through partnership between Bureau of Equity and Inclusion (BEI) and BMRS will establish the methods and strategy to ensure vacancy opportunities are shared in the most broad and inclusive manner. Agencies will establish an internal process to ensure Affirmative Action staff (AA) are involved in the recruitment strategy at the agency level. The process might include quarterly meetings between AA and HR or regular review of recruitment efforts by AA. In the event the agency does not have dedicated AA support, this process may include additional involvement with BEI.

3. **Application Process.** The application process varies by classification but always includes an application and resume. Each announcement contains specific information describing the appropriate application procedures. (See [Chapter 164](#)—Application Process, of the *Wisconsin Human Resources Handbook*.)

#### **Sec. 104.080 Assessment Administration, Evaluation, and Registers**

1. **Assessment Administration.** The type of assessment selected determines how it will be administered. In addition, different assessment techniques are appropriate at different points of the process and will be adjusted based on the size of the applicant pool. (See [Chapter 176](#) – Competitive Selection Procedures, of the *Wisconsin Human Resources Handbook* for information regarding administration of assessments.)
2. **Assessment Evaluation.** There are three major categories of civil service assessments: simple screen, objective, and rated. A simple screen is an easily identified cursory evaluation of minimum qualifications in which a second party offers no beneficial objectivity. Objective assessments may be scored by machine to determine raw scores or civil service scores. Rated assessments are evaluated by a panel made up of one or more subject matter experts. These raters independently assign scores or eligibility, using benchmarks and their job-related expertise. Specific panel member information can be found in [Chapter 176](#) – Competitive Selection Procedure. To calculate civil service scores for assessments when necessary, follow the procedure outlined in [Chapter 204](#) – Assessment Evaluation and Register Establishment, of the *Wisconsin Human Resources Handbook*.
3. **Security of Selection Process Materials.** Fair and equal opportunity to compete in an objective selection process depends upon the security of application materials and other materials related to the selection process. All individuals who participate in the development, administration, evaluation, and retention of recruitment materials are required to follow the security procedures outlined in [Chapter 192](#) – Security of Confidential Selection Process Materials, of the *Wisconsin Human Resources Handbook*. Any individual involved as a panel member for either assessment materials review or interview should be provided with a *Confirmation of Participation* (See Attachment #3).
4. **Establishing an Employment Register.** An employment register consists of the names and scores or eligibility results of a civil service assessment. Individuals included on the register are those that have been deemed to meet the minimum requirements of a position. Registers which utilize scores will include a rank of all applicants who receive a passing score. Registers are generally active for a period of three months to one year from the date they are established. Length of time is determined based on the type of assessments utilized to create the register. An appointing authority may request a register to be reactivated provided that



the age of the register does not exceed 3 years. (See [Chapter 204](#) – Assessment Evaluation and Register Establishment, of the *Wisconsin Human Resources Handbook*.)

5. Eligibility Notification. All applicants must be notified of their eligibility or score and rank when appropriate. (See [Chapter 204](#) – Assessment Evaluation and Register Establishment, of the *Wisconsin Human Resources Handbook*.)

### Sec. 104.090 Certification

Certification is the process used to determine the number and names of candidates from a register who will be considered further or referred directly to interview for a specific position vacancy. Any time a numerical score and rank is applied during the assessment process expanded certification rules must be applied. The candidates who are eligible for employment consideration will be certified by category. “Basic” (BAS) is the first category that will exist on all certifications. Other candidates may be certified under the following categories: veteran status (VET), disabled expanded certification (DEC), minority expanded certification (MEC), women expanded certification (WEC), and disabled eligible (DEL), in that order. (See [Chapter 212](#)—Certification Procedures, of the *Wisconsin Human Resources Handbook* for more information on how registrants are certified.)

### Sec. 104.100 Post Certification Activities

Certified candidates may be evaluated by multiple selection techniques post certification provided all applicants are given equal consideration. The process to make a final selection includes, at minimum, the following steps:

1. Conducting Interviews. The employment interview is a critical part of the hiring process. Although the State of Wisconsin may use a variety of selection tools much of the hiring decision hinges on the interview between the employer and the candidate. At least one interview is required for selection. (See [Chapter 176](#) – Competitive Selection Procedures, of the *Wisconsin Human Resources Handbook* for more information.)
2. Reference Checks: Checking references is frequently the final selection activity a hiring manager engages in and is an important part of the selection process. Reference checks help obtain additional candidate-related information which helps to determine the candidate's overall employability, ensures the protection of the current employees, property, and information of the organization. At least two supervisory reference checks must be conducted on every job candidate, regardless of the position for which they are applying. Examples include checks of past employment, education, job-related accomplishments, etc.

The best and preferred references generally come from former supervisors. However in the event the candidate has limited work experience, (students, member of the military, etc.) teachers or other community leaders will suffice. Peer and subordinate references may also be of use but do not fulfil the requirement of a supervisory reference.

**Note:** Prior to an offer being extended to an employee that holds a position within state service (i.e. permanent, project, or LTE), the employee's current supervisor shall be contacted as one of the supervisory references and a review of their P-file is required.

3. Background Checks. The background check process refers to a broad category of verifications which must occur prior to hire. Selective Service Registration (see s.230.143, Wis. Stats) shall be conducted on all new hires where applicable. Additional criminal and non-criminal checks may be conducted when necessary. Agencies are responsible for compliance with the provisions of Wisconsin's Fair Employment Act throughout the hiring process, including the use of an applicant's criminal history. The Act places limitations on an employer's use of an applicant's or employee's pending charge or conviction record when making an adverse employment decision. Agencies are responsible to the public to ensure programs are carried out in a legal, effective, safe, and humane manner. (See [Chapter 246](#)—Verifying Applicant Information and Securing Applicant Background Checks, of the *Wisconsin Human Resources Handbook*.)

4. Verification of Applicant Information. Prior to appointment, and when applicable, the following information provided by the successful candidate must be verified by the appointing authority: employment eligibility (I-9) under the Immigration Reform and Control Act of 1986, veterans status, veteran disability, race/ethnicity, and any special requirements, where applicable. (See [Chapter 220](#)—Hiring Aliens and I-9 Verification and [Chapter 246](#)—Verifying Applicant Information and Securing Applicant Background Checks, of the *Wisconsin Human Resources Handbook*.)
5. Appointment Letter. All agencies are required to provide a candidate a written letter of appointment including specific terms of employment such as effective date (and start date if different), classification, rate of pay, probationary period to be served, work location, hours of work, FLSA status and overtime expectations, supervisor name and contact, and other agency relevant details such as orientation requirements. These letters may be provided via postal mail or email. The appointment letter must be provided no later than the employee's first day of employment. (See ch. ER-MRS 12.08, Wis. Adm. Code.)
6. Reports of Action (ROA). ROAs must be recorded for all certified candidates. The established ROAs are: selected (SE), declined offer (DO), not selected (NS), failed to respond (FR), not interested (NI), not available (NA), failed to show for an interview (FS), not contacted (NC), not eligible (NE), and unable to locate (UL). (See [Chapter 212](#)—Certification Procedures, of the *Wisconsin Human Resources Handbook*.)

#### Sec. 104.110 Staffing Records and Retention

Except as noted elsewhere, follow the [General Records Schedule: Human Resources and Related Records](#) for retention and management of records generated by the staffing process. The human resources staff is responsible for maintaining all the records as well as copies of any relevant documents created as part of the staffing process (e.g., class approvals, job analysis, selection assessment strategy, statistical analysis, etc.). BMRS staff are responsible for maintaining records for non-delegated transactions. (See [Chapter 176](#)—Competitive Selection Procedure and Assessment Options and [Chapter 248](#) – Delegation – Staffing of the *Wisconsin Human Resources Handbook*.)

There are two separate files which are required to be maintained when staffing a vacancy: (1) Validation File and (2) Recruitment File. These files may be maintained in paper or electronic format but must be stored in a manner which is easily retrievable and meets the established appropriate security of the materials. Agencies may combine, or keep separate, the validation and the recruitment file at their discretion.

The documentation required in each of the files is as follows:

1. Validation File.
  - a. Rated Position Description and documentation of the job analysis;
  - b. The assessments tools used to measure the criteria identified from the job analysis, including all benchmark criteria used to evaluate applicants;
  - c. Job Expert Certificate (if applicable);
  - d. Documentation of which recruitment file the validation was used for if applicable;
  - e. Any other relevant documentation.
2. Recruitment File.
  - a. Selection Assessment Strategy;
  - b. Job announcement;
  - c. Submitted application materials including, but not limited to, resumes, submitted assessments and related documents;
  - d. Score sheets (if applicable);
  - e. Statistical analysis of the assessments used;
  - f. Register of eligible applicants;
  - g. List of certified applicants;
  - h. Interview questions and benchmarks;

- i. Rater or interviewer notes, score sheets, and remarks;
- j. Documentation of P-file review (if applicable);
- k. Reference check;
- l. Reports of Action for certified applicants;
- m. Documentation of applicant disposition notification;
- n. Any recruitment checklists used.

**Note:** Interview notes may be stored in the recruitment file or separately by the agency. The HR specialist who conducted the recruitment is responsible for knowing the location of the materials and for ensuring the materials are properly maintained as well as easily retrieved.

### Sec. 104.120 Administrative Information

This chapter was issued in February 1990 for the *Wisconsin Personnel Manual*.

Information has been updated throughout the chapter to reference current procedures and new *Wisconsin Human Resources Handbook* chapters (January 2003).

In June 2009, section 104.110, Staffing Records and Retention, was added to the chapter to clarify that agencies should maintain all documents related to staffing vacancies. References to other *Wisconsin Human Resources Handbook* chapters were updated, and references to the paper *Current Opportunities Bulletin* were removed.

In December 2010, minor updates were made to ensure that the information is current. Most notably, in section 104.070(4), the exam types Application Materials Review and Achievement History Questionnaire were replaced with Training and Experience Assessment to coincide with changes to Chapter 176—Exam Development, of the *Wisconsin Human Resources Handbook*.

In October 2014, section 104.040(2), Options to Fill a Vacancy (Transfer) was revised to allow for delegation of transfer appointments that are within the same classification and agency and include a salary increase, provided documentation exists to support such a transfer. The section was also revised to include instructions on the maintenance of such required documentation.

In July 2016, Chapter 104 underwent a review and update pursuant to changes introduced by 2015 Wisconsin Act 55 and by 2015 Wisconsin Act 150. In July 2015, the Office of State Employment Relations was eliminated and the functions were transferred into the newly created Department of Administration, Division of Personnel Management. This chapter was updated to reflect the changes in terminology that resulted from the organizational restructuring. This chapter was also updated to address changes in procedural guidance and provide policy clarification. Included were creation and replacement of attachments. Major modifications included an update of the selection process as a whole and specific reference to updated or newly created WHRH chapters.

In August 2018, Chapter 104 was updated to reflect the updated Administrative Codes, delete references to Random Rank and centered exam centers, change references from the Bureau of Affirmative Action to the Bureau of Equity and Inclusion, deleted the Job Analysis form and incorporated the new Selection Assessment Strategy form, deleted references to the transfer review process, and added clarifying language regarding reference checks and P-file review prior requirements.

Attachment #1

<b>Job/Working Title:</b>		<b>Recruitment ID/Cert#:</b>				<b>Job Announcement Code:</b>			
<b>Hiring Manager (HM):</b>		<b>HR Specialist:</b>				<b>Recruitment Type:</b>			
<b>Date Request To Fill (RTF) Initiated:</b>		<b>Career Executive</b> ___ Yes ___ No <b>Staffing Delegation</b> ___ Yes ___ No <b>Classification Delegation</b> ___ Yes ___ No <b>Pre-Cert Background Check</b> ___ Yes ___ No				___ Transfer ___ Related Register ___ Open			
<b>Date Approved To Fill:</b>	<b>Date Certification Requested:</b>					___ Disabled Veteran ___ ER-MRS 27 ___ W-2			
<b>Date Cert Due:</b>	<b>Date Cert Created:</b>					<b>Transfers:</b> ___ must take assessment			
<b>Date First Offer Due:</b>	<b>Date of First Offer:</b>					<b># of Vacancies:</b>			
						<b>Cert Rule:</b>			
Task		HM	HR	AA	DPM	Timeframe/Requirements		Planned	Actual
<b>Preliminary Activities</b>									
1.	Hiring Manager submits Request to Fill and PD.	X				HR classifies position description and submits Request to Staff/Fill for approval			
2.	Initial discussion of Selection Assessment Strategy and outline staffing plan.	X	X			HR researches previous recruitment to provide potential guidance to hiring manager. Also includes planning target dates for completion of process.			
3.	Complete internal transfer process (if applicable).		X			If internal transfers will be considered prior to open recruitment, HR will post opportunity internally.			
4.	Complete the Selection Assessment Strategy and Job Expert Certificate (if applicable).	X	X			Hiring Manager and other SMEs involved in the assessment process (other than the hiring manager) will need to complete the Job Expert Certificate. HR and Hiring manager conduct job analysis which includes identifying minimally required and preferred from PD.			
5.	Create assessment tools.	X	X						
6.	Identify panel members (including interviewers).	X				Minimum two diverse panel members, best practice three.			
7.	Finalize Selection Assessment Strategy form.	X	X	X		HR and AA will review assessment tools for approval.			
<b>Cert Request to Cert Created</b>									
8.	Publish Announcement.		X			Minimum application period per policy = 7 calendar days.			
9.	Conduct recruitment; place ads, social media, outreach.	X	X	X	X	HR informs AAO of open recruitment and strategies.			
10.	Submit interview questions and benchmarks for approval.	X	X	X		AAO approves interview questions/benchmarks, if not previously approved.			
11.	Email confirmation to panel members.		X			Email includes statement regarding confidentiality and fair and unbiased assessment practices.			
12.	Prepare materials for panel, brief panel and set review date.		X			If scored, must have panel briefing.			
13.	Enter and analyze assessment results, create register.		X						
14.	Send Cert list to hiring manager.		X						
<b>Cert Created to Offer</b>									
15.	Apply additional assessment(s), if applicable. <i>(Repeat #13, enter and analyze)</i>	X	X			Screen be applied post Cert. If scored, must have panel briefing.			
16.	Conduct interviews and check references.	X							
17.	Prepare and receive required written hiring reason.	X	X			Hiring Manager submits a written reason for hiring decision (BEI specified options) and hiring justification (recommended) for the recommended hire to HR for approval.			
18.	Conduct background check. Review P-File (if applicable). Verify Selective Service registration, Veteran Status and Vet disability (if applicable).		X			For veteran verification review DD214 and federal disability rating document (if applicable). Enter completed background check into person profile.			
19.	Make job offer and create appointment letter.	X	X			Hiring Manager makes offer of employment. Once offer is accepted HR will create and send appointment letter			
20.	Enter hire into necessary system(s).		X			This includes the HM's hiring reason decision (BEI specified options).			
Comments:									

STATE OF WISCONSIN  
DEPARTMENT OF ADMINISTRATION  
DIVISION OF PERSONNEL MANAGEMENT  
DOA-15536 (REV. 8/2018)  
s. 230.43, WIS. STATS.



## Selection Assessment Strategy

*Wisconsin Human Resources Handbook (WHRH) Chapter 176 reviews the method and options for development of assessments throughout the selection process. Criteria used in the assessments are derived through job analysis. This form establishes the documentation of these criteria and thus serves as the validity foundation. The HR Specialist is responsible for ensuring the job analysis and the assessments are appropriately linked in order to establish the basis for validity. DPM recommends the HR Supervisor or a second HR Specialist review this document to confirm adherence to these standards. Copies of each assessment tool are attached to this form for documentation. See also WHRH 104 for additional information.*

<b>Classification/Series:</b>	<b>Job Expert:</b>
<b>Working Title (If applicable):</b>	<b>Job Announcement(s):</b>

**Step 1.** Work with the position's supervisor (or other established job expert) to ensure the PD is accurate and then identify the duties, knowledge, skills and abilities (KSAs) necessary for a new employee to succeed in the position. Identify minimum qualifications required at hire and/or preferred qualifications for use in assessment of the candidates. Attach documentation (from the PD or in another format).

**Step 2.** Convert statements from the PD into criteria to assess training and experience for minimum qualification or preferred qualification. Avoid State specific terms to ensure a more open selection process. Referencing the source statement (task, KSA, etc.) below or within the PD creates the tie for content validity. Identify below the criteria that will be used in each Pre-certification and Post-certification assessment respectively.

**Note: Panel composition (Pre-certification or Post-certification).** See WHRH 176.100 and 176.110 for panel composition requirements, Pre- and Post-Certification, respectively.

**Pre-Certification Assessment(s)**

Assessment Type	Criteria Assessed – Indicate (R) or (P)	Assessment Tool	Scale Used / Cert Rule	Names of Participants (Identify diverse participants with an asterisk where needed)
<b>Initial assessment</b> <i>(required)</i>	1.	Choose an item.	Choose an item.	1. 2. 3.
	2.	Other:	Choose an item.	
	3.		Other:	
	4.			

**Initial Assessment Adjusted?**     Yes     No    *\*\*If Yes, Indicate the new scale and cert rule below. Also identify any new participants that were not included above.*

Scale Used	Cert Rule	Names of Participants (Identify diverse participants with an asterisk where needed)
Choose an item.	Choose an item.  Other:	1. 2. 3.
<b>2<sup>nd</sup> Level Human Resources Review:</b>		

**Post-Certification Assessment(s)**

Assessment Type	Criteria Assessed – Indicate (R) or (P)	Assessment Tool	Scale Used	Names of Participants (Identify diverse participants with an asterisk where needed)
<b>Additional assessment</b>  <i>(optional – add additional as appropriate)</i>	1.	Choose an item.  Other:	Choose an item.  Other:	1.  2.  3.
	2.			
	3.			
	4.			
<b>Initial interview</b>  <i>(required)</i>	1.	<b>INTERVIEW</b>	<b>MTA, A, LTA</b>	1.  2.  3.
	2.			
	3.			
	4.			
<b>Additional interview</b>  <i>(optional – add additional as appropriate)</i>	1.	Choose an item.  Other:	Choose an item.  Other:	1.  2.  3.
	2.			
	3.			
	4.			

*\*\*If recruiting for multiple levels of the same classification series, identify differentiating criteria (training and/or experience) for use in determining level placement of candidate.*

**Level Criteria**

**Classification Level:**     Standard/Entry     Objective     Senior     Advanced/Cons/Admin

**1. Criteria:** \_\_\_\_\_

**Classification Level:**     Standard/Entry     Objective     Senior     Advanced/Cons/Admin

**2. Criteria:** \_\_\_\_\_

**Classification Level:**     Standard/Entry     Objective     Senior     Advanced/Cons/Admin

**3. Criteria:** \_\_\_\_\_

**Process Notes:** \_\_\_\_\_

*By addition of their name to this form, the HR Specialist is signifying understanding and agreement of the confidentiality of the selection process and all developed assessment materials including relay of these expectations to the job expert.*

<b>Date:</b>	<b>Human Resources Specialist:</b>
<b>Date:</b>	<b>2<sup>nd</sup> Level Human Resources Review:</b>

## SAMPLE CONFIRMATION OF PARTICIPATION

This email confirms your participation as a panel member for the evaluation of applicants for \_\_\_\_\_ (classification &/or position). By participating in this process you confirm that you are qualified to participate in this aspect of the selection process for this position or classification due to being the immediate supervisor of the position, having performed all or most of the duties or similar (past or present), or have special knowledge that would make you otherwise qualified. In addition, your participation confirms your understanding that all materials and information you gain access to during this process are considered special or confidential within the meaning of s. 230.43, Wis. Stats. and agree to keep this information confidential and not to copy the materials, discuss them with anyone not specifically authorized by the Human Resources Representative or allow any unauthorized person to access the materials. A violation of this agreement is a misdemeanor punishable by fine of not less than \$50 nor more than \$1,000 or by imprisonment for not more than one year in the county jail or both. Lastly, your participation in this process must ensure fair and unbiased consideration of all candidates based on job-related criteria.