

## Chapter 21 Personnel Files and Records

### Table of Contents

- 21.01 [Contents of Official Employee Personnel Records \("P" File\)](#)
- 21.02 [Open Records](#)
- 21.03 [Retention and Disposition of Personnel Records](#)

## **Chapter 21 Personnel Files and Records**

### **21.01 Contents of Official Employee Personnel Record ("P" File)**

#### **I. Essential Documents**

The documents listed below are identified as "essential" and when generated must be permanently maintained in the Official Employee Personnel File and transferred with the file. (Original copies are kept in the Classified Personnel Office (); copies are kept at the dean/director's office.)

- A. Personnel Transfer Record (DER-PERS-24) (Completed only upon transfer to another agency or leaving state service.)
- B. Letter of resignation or notice of retirement or termination
- C. Letters of appointment
- D. State job applications from which an appointment of the employee is made
- E. Disabled Applicant's Supplement (DER-PERS-35-S1)
- F. Position Description and Addendum (original and all others which indicate a change in duties and/or responsibilities).
- G. Leave of Absence With Pay Due to Injury Request/Authorization
- H. Leave of Absence Request/Authorization
- I. Evidence of awards received under the Merit Award Program or other state programs
- J. Formal apprenticeship agreements
- K. Training agreements
- L. Physical disability retirement examination
- M. Interchange agreement

#### **II. Local Documents**

The documents listed below are identified as "local" and filed in the Official Employee Personnel File during the employee's actual period of employment. (Original copies are kept in the Classified Personnel Office (); copies are kept at the dean/director's office.)

- A. Certification Request from which an appointment is made
- B. Probationary Service Report/s
- C. Reclassification request/report/s
- D. Reallocation notice
- E. Performance evaluations
- F. Records of equity and performance awards
- G. Letters of commendation
- H. Letters of reprimand (Provisions of negotiated collective bargaining agreements may provide for a different method of handling this document for covered employees.)
- I. Notice of actions affecting the employee's pay status

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### 21.02 Open Records

The Department of Employment Relations Bulletin #MRS-19 (Appendix 21-A) was issued to interpret the Open Records Law (Chapter 339, Laws of 1981), effective 1/1/83. The bulleting clarifies which documents in the personnel file are open to the public and which may be closed. Please note exceptions in Chapter 339 (6) (a-g).

The Law requires the posting on department bulletin and official notice boards of a notice providing certain information to the public concerning access to the University's records (see Appendix 21-B).

You may not refuse to grant a request to inspect your unit's records either because the requestor is unwilling to be identified or state the purpose of the request, or based upon the identity of the requester or the purpose of the request, if known.

If you believe that there may be some valid reason to deny access, before refusing to allow access to your unit's records, you should confer with John Dowling, Administrative Legal Services, at 263-7400. While some University records may be treated as confidential under the Open Records Law and the exceptions to the Wisconsin Open Meetings law, the Law's general intent is that state records be open to the maximum extent possible. In view of this intent, we are concerned that access be denied only in proper cases. Moreover, because the Law contains some explicit requirements regarding the denial of access, it is important that the denial not only be permissible but properly communicated to the requestor.

The Law requires that we either fill the request or notify the requestor of our denial of the request as soon as practicable and without delay. What this means will vary with the nature and extent of the request. In the event the request cannot be promptly complied with, contact the requestor to discuss a reasonable timetable or to communicate when a response can be reasonably expected.

For more information regarding Search records, see Chapter 3.

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### **21.03 Retention and Disposition of Personnel Records**

On November 20, 1996, the Public Records Board approved the Classified Personnel State-wide Retention Schedule (RDAs #PERS001-143). This document is available .....