

UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES (UPG)

UPG #2

PERSONNEL FILES

A complete personnel record is a matter of good personnel practice. Institutional, divisional and departmental/administrative unit personnel records should be complete and contain sufficient information to be of use in making personnel decisions and improving the professional growth of faculty, academic staff and administrators.

2.01 Coverage of this policy guideline. All files containing personnel information regarding UWEX employees that are assembled and/or maintained by UWEX employees are official personnel files and fall under the purview of this policy guideline. This policy guideline is in accordance with UWEX policy and state law at time of revision and is subject to future changes in UWEX policy or state law.

2.02 Location of personnel files.

- (1) UWEX personnel records may be located at one or more of the following locations:
 - (a) UWEX Payroll Office;
 - (b) division office; and/or
 - (c) department/administrative unit.
- (2) Divisional personnel offices, will upon request, inform employees of the location of all personnel files and identify file custodian(s).

2.03 Contents of personnel files.

- (1) UWEX personnel records should include the following materials; all of the following materials generated after January 1, 1995, must be included in the personnel records:
 - (a) letter of application or application form, initial resume;
 - (b) letters of offer, appointment, reappointment, promotion, salary adjustment and all other materials which specify the terms of employment;
 - (c) letters of acceptance;
 - (d) I-9 (employment eligibility verification form);
 - (e) W-4 form;
 - (f) performance review summaries (see UWEX 3.21 and 10.04(7)); Tenured Faculty Review(UPG # 12).
 - (g) original and updated position descriptions;
 - (h) outside activities report;
 - (i) authorization for leaves of absence or sabbatical leave;
 - (j) letter of resignation or notice of retirement;
 - (k) notice of non-renewal;
 - (l) informal and formal grievances, and notices of disciplinary actions; and
 - (m) notice of emeritus recognition.
- (2) UWEX personnel records may include the following optional/other information:
 - (a) current resume, curriculum vitae;
 - (b) congratulatory letters;
 - (c) employment related newspaper clippings;
 - (d) lists of publications or articles;
 - (e) notice or lists of faculty or academic staff awards and grants; and
 - (f) other related materials not of an official nature but which provide information about the individual's career.

2.04 Access to personnel files. The access to and use of personnel files is governed by current federal and state regulations pertaining to the confidentiality of personnel records.

- (1) Upon reasonable notice to file custodian, employees may review their personnel records at least two times per year. Additional reviews are at the discretion of the custodian. The file custodian may require written notice of request to review the records. Employees will be granted access to their personnel records within seven (7) working days of making the request.
- (2) Employees may copy or receive a copy of their personnel records information. The employer may charge a fee for providing copies not to exceed the cost of making the copies.
- (3) In accordance with Wis. Stat. 103.13 (6) Exceptions, an employee can be denied access to the following personnel records:
 - (a) records relating to investigation of possible criminal offenses committed by that employee;
 - (b) letters of reference for that employee;
 - (c) any portion of a test document, except that the employee may see a cumulative test score for sections or the entire test;
 - (d) materials used by management for staff management planning including judgments or recommendations concerning future salary increases and other wage treatments, promotions and job assignments or other comments or ratings used for the employer's planning purposes;
 - (e) information of a personal nature about a person other than the employee if disclosure would constitute an unwarranted invasion of the other person's privacy; and
 - (f) records relevant to any other pending claim between the employer and the employee which may be discovered in a judicial proceeding.
- (4) Personnel files or parts thereof may be exhibited or circulated only for valid University purposes and only to individuals with the responsibility for making or reviewing personnel and/or employment decisions concerning the subject of the file and to other University officials having a need to know.
- (5) Except as otherwise required or permitted by law, copies of the materials in personnel files shall be released to persons other than those with the responsibility for personnel and employment decisions only upon written consent of the subject of the file.
- (6) All UWEX personnel records are subject to disclosure by legal subpoena.

2.05 Adding or removing information to personnel files.

- (1) The employer or employee may add materials to the employee's personnel files.
- (2) Materials may be removed from the employee's personnel file upon mutual consent of the employer and employee or by established UWEX complaint or grievance procedures. (Chapter UWEX 6; Chapter UWEX 13)

2.06 Retention of personnel files after employment separation. UWEX unclassified staff personnel records will be retained for six (6) years past employment separation and then transferred to UW-Madison Archives for permanent preservation. The material in the file that is transferred to archives should include:

- (1) the original letter of offer;
- (2) the position description and updates;
- (3) authorization for leaves of absence or sabbatical leaves;
- (4) letter of resignation or notice of retirement;
- (5) notice of non-renewal;
- (6) grievances and notices of disciplinary actions; and
- (7) notice of emeritus recognition.

2.07 Related UWEX rules/regulations and state statutes.

- (1) UWEX 3.21: Annual job review (faculty)
- (2) UWEX 8.06: Reporting outside activities (faculty and academic staff)
- (3) UWEX 10.04 (7): Performance review (academic staff)

- (4) UWEX 10.05: Personnel file (academic staff)
- (5) Wis. Stats. section 19.31: Declaration of policy (public records law)
- (6) Wis. Stats. section 103.13: Records open to employee
- (7) Wis. Stats., section 230.13: Closed records (classified personnel)

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