

# The University of Wisconsin System

## UPS OPERATIONAL POLICY: HR 13



**SUBJECT:** Personnel Files

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**Original Issuance Date:** July 1, 2015

**Last Revision Date:**

**1. POLICY PURPOSE:**

The purpose of this policy is to provide guidance regarding information that should be included in each employee's official personnel file.

**2. POLICY BACKGROUND:**

The Office of State Employment Relations' Administrator was the official custodian of the files containing personnel transaction documents (personnel files) for all classified employees in authorized positions. Pursuant to s. [230.05](#) and s. [19.21](#), Wis. Stats, OSER delegated to the state agencies the responsibility for the generation, maintenance, accuracy and confidentiality of a centralized official personnel file system for all personnel transaction documents concerning classified employees occupying authorized positions (except LTE) in their agency.

**3. POLICY DEFINITIONS:**

Please see UPS Operational Policy [GEN 0: General Terms and Definitions](#) for a list of general terms and definitions.

**4. POLICY:**

The UW System Faculty and Academic Staff (Unclassified Staff) and Limited Appointments [General Retention Schedule](#) governs the retention and disposition of records relating to unclassified UW System employees, including faculty and academic staff, graduate student employees (including research assistants, project assistants, and teaching assistants), volunteers, and employees in training.

Every employee's personnel file should contain but is not limited to the following:

- a) letters of application
- b) research proposal (at hire, if required)
- c) resume or curriculum vitae (CV)
- d) letters of recommendation, reference or commendation
- e) letter(s) of offer, appointment, reappointment, assignment or promotion
- f) letter of acceptance of employment, tenure, or indefinite appointment
- g) position description
- h) reclassification or reallocation records

- i) employment contracts
- j) interchange agreements
- k) personnel action forms
- l) base rate or title change requests and actions or other actions affecting employee's pay status
- m) equity and performance awards
- n) requests for/decisions on leaves of absence
- o) faculty sabbatical leave
- p) staff awards
- q) emeritus or distinguished service recognition
- r) performance reviews or evaluations including probationary
- s) awards or grants; notifications of named professorships
- t) training records
- u) grievances and disciplinary actions
- v) arbitration records
- w) letters of resignation or retirement
- x) non-renewal of appointment (for academic staff)

For those institutions using electronic applicant tracking systems (ATS), some original documents normally found in the Personnel File, may be generated by and reside in the ATS system; updated versions will be in the personnel file.

It is important to maintain all documentation in the personnel file related to an employee's previous classified positions/titles.

**5. RELATED DOCUMENTS:**

[University of Wisconsin System and UW Madison General Records Schedule – Human Resources and Related Records](#)

**6. POLICY HISTORY:**

[Wisconsin Human Resource Handbook Chapter 180-Classified Employee Personnel Records](#)