

CITY OF APPLETON PERSONNEL POLICIES		TITLE: PERSONNEL RECORD RETENTION POLICY	
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I. PURPOSE

The purpose of this policy is to establish guidelines, which identify the materials (records and files) that are maintained and retained by the Human Resources Department, the location of files and the retention and proper disposal of records.

II. POLICY

It is the policy of the City of Appleton Human Resources Department to maintain personnel files and records on each of its employees. This is to be done in a consistent and fair manner, while complying with State and Federal regulations.

III DISCUSSION

The Human Resources Department will maintain Primary Personnel Files, Confidential Personnel Files, Medical Files and other miscellaneous files for all City of Appleton employees.

IV DEFINITIONS

1. A. Employee Personnel Records: Each employee's personnel records will be separated into four separate files:

Primary Personnel File contains records such as those listed below:

- Application for employment and/or reemployment
- Payroll authorization forms, offer letter, job description
- Personnel Status Change forms and records on compensation, transfers, promotions, dates of hire and seniority.
- Notices of commendation, warning, discipline or termination
- Notices of layoff, leaves of absence and similar matters

- Education and training notices and records
- Performance appraisals, or interview evaluation ratings
- Records of grievance affecting employment status

Confidential Personnel File contains confidential records including: Equal Employment Opportunity/Affirmative Action data (including pictures)

- Test results
- Letters of reference and pre-employment reference information
- Benefit plan choices
- Dependent and beneficiary information
- Credit reports
- Legal action information, including EEO complaints, investigations, etc.
- Any information not pertaining to the employee's employment (i.e. jury duty forms, funeral leave forms, military leave forms, etc.)
- Unemployment Compensation records
- Attendance and absence records
- Personnel investigation files/notes

Medical File: Any record related to a medical issue:

- Worker's Compensation claims
- Injury reports requiring medical attention
- Injury reports not requiring medical attention
- Medical and psychological records related to employment status
- Medical releases & excuses
- Medical restrictions
- Family Medical Leave Act records
- Health Insurance Portability and Accountability Act exposures

Commercial Driver License and Alcohol testing information:

- Receipt and certification of training
- Employee acknowledgment form
- Results of random drug and alcohol tests
- Consent information from previous employer and Clearinghouse information

B. Other Records - Selection Records for Hiring Processes

- Job Advertisements
- Hiring process applications/EEO information
- Hiring process test files
- Pre-employment physicals notifications
- Pre-employment physicals (kept by City's Medical provider)
- Physical Agility Testing results
- Pending litigation

V. PROCEDURE

- A. Types, locations and disposal guidelines of records will be followed as outlined in the City of Appleton Retention/Disposition Schedule under the Human Resources section pages 37-40. This document is maintained by the City of Appleton Legal Services department.

B. Access

1. An employee may view their personnel file by following the procedure listed below:
 - An employee must provide a request to view their personnel file by filling out the request form (Exhibit I).
 - The Human Resources Department will grant this request in accordance with Wisconsin Statute 103.13(2).
 - Files may be viewed Monday through Friday, 8:00 a.m. to 4:30 p.m. in the presence of an employee of the Human Resources Department.
 - In accordance with ss103.13(4), if an agreement to remove or correct the material cannot be reached between the employee and the Human Resource Director, an employee may submit a written statement to their personnel file explaining that they disagree with materials in that file.
 - The employee may request photocopies of materials from their file. The charge for this will be the City established rate.
 - A log shall be maintained for each personnel file listing the date the file was viewed, photocopies made, cost of copies and the Human Resources staff member who witnessed the viewing.
 - Employee's may request and view their file two times per year in accordance with 103.13.

D. Satellite files

Supervisors may maintain satellite working files for their employees. These files should be kept confidential and locked in file cabinets. This documentation should be forwarded to Human Resources when the employee leaves City of Appleton employment. The contents of the file are discoverable in the event of legal action so supervisors need to appropriately document and maintain the files.

Exhibit I

**REQUEST TO REVIEW OFFICIAL PERSONNEL FILE
UNDER WISCONSIN STATUTE 103.13**

I _____(Employee name SS #) do hereby request,
and/or authorize _____(name of
designee) of _____(Title of Organization), to
inspect my personnel file pursuant to Wisconsin Statute 103.13:

Furthermore, I do hereby agree that inspection of said records shall take place in the Human Resources office in the presence of an employee of the Human Resources Department during regular office hours (8:00-4:30).

Prior to inspecting records during my scheduled working hours, I shall obtain approval from my supervisor to do so (and my designee shall do the same, if applicable). Further, neither I nor my designee shall be compensated for time spent reviewing records outside of scheduled work hours.

I may obtain copies of such records provided I submit the current copy cost to Human Resources prior to the copies being made.

This request expires in 30 days or _____.

Date of Request: _____, 20____.

Employee Signature: _____

FOR OFFICE USE ONLY:

Date Received by Human Resources: _____

Appointment date: _____ Time: _____

Authorized by: _____

Arrival Time: _____

Departure Time: _____