



Wisconsin Elections Commission

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DATE: June 7, 2021

TO: Mr. Michael J. Queensland, Senate Chief Clerk
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Mr. Edward A. Blazel, Assembly Chief Clerk
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FROM: Meagan Wolfe, Administrator
Wisconsin Elections Commission

SUBJECT: Wisconsin Elections Commission Policies and Procedures

Annually, the Wisconsin Elections Commission (WEC) is required to adopt written policies and procedures to govern its internal operations, pursuant to Wis. Stat. s. 5.05 (16) (a). Attached is WEC's 2021 approved Internal Control Plan, which describes the agency's internal operations.

1. Control Environment (Mission Statement, Code of Conduct, Strategic Plans and Organizational Chart, Personnel Policies and Procedures, Position Descriptions and other Functional Guidance Materials Provided to Employees);
2. Risk Assessment (funding sources, system and tools and transaction cycles);
3. Control Activities (performance reviews, physical and electronic controls, information processing);
4. Information & Communication and the Monitoring of the internal control structure;

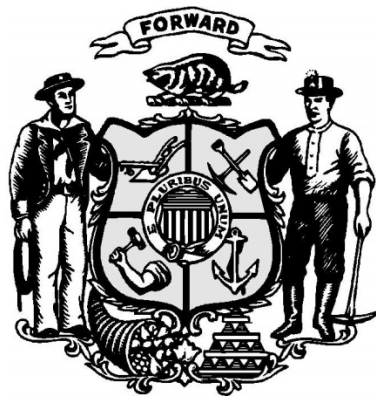
Attachments (1)

Wisconsin Elections Commissioners

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Administrator
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Wisconsin Elections Commission



Internal Control Plan

Revised: May 2021

Table of Contents

Introduction	4
Control Environment	4
Mission Statement.....	4
Code of Conduct	4
Agency Description and Organization Chart.....	4
Personnel Policies and Procedures.....	6
Position Descriptions	6
Other Functional Guidance Materials Provided to Employees.....	6
Procurement Manual.....	6
Purchasing Card User Manual	6
Wisconsin Statutes.....	6
Risk Assessment	7
Funding Sources.....	7
1. State General Program Revenue	7
2. Help America Vote Act of 2002 (HAVA) (1) (x).....	7
3. Investigations	7
4. Training of Chief Inspectors (1) (bm)	7
5. Special Counsel.....	7
6. Voter ID Training (1) (c)	7
7. Election Administration Transfer.....	7
8. Elections Administration (1) (e)	7
9. Recount Fees.....	7
10. Materials and Services	8
11. Gifts and Grants Fund.....	8
12. Federal Aid Account	8
13. Election Administration (1) (t)	8
14. HAVA Interest Income Earnings.....	8
15. Elections Security Grant	8
Systems and Tools	9
STAR	9
VendorNet.....	10
STAR HCM (Payroll Time).....	10
Federal Time Reporting	10
Transaction Cycles.....	11
Purchasing Approval.....	11
Accounts Payable.....	12
Accounts Receivable & Cash Receipts.....	12
General Services Billing	13
Payroll.....	13
Travel Reimbursement for Employees	13
Travel Reimbursement for Non-employees.....	14
Federal Project Time Reporting & Payroll Adjusting Entry	14
Recount for Office	15
Performance Reviews	15
Physical and Electronic Controls	15

Physical Controls	15
Electronic Controls	16
Information Processing	16
Purchasing	16
Purchasing Card	16
Accounts Payable	17
Cash Disbursements (Grants)	17
Accounts Receivable & Cash Receipts	17
General Services Billing	18
Payroll	18
Travel Reimbursement for Employees	18
Travel Reimbursement for Non-Employees	19
Recount for Office	19
Information & Communication	20
Information	20
STAR	20
VendorNet	21
Communication	21
Monitoring	22

Introduction

The Wisconsin Elections Commission (WEC) has developed the following internal control plan to provide reasonable assurance that all federal and state assets are safeguarded, applicable laws and regulations are followed, and objectives of the Agency are being met.

Control Environment

Mission Statement

The mission of the Commission is to enhance representative democracy by ensuring the integrity of Wisconsin's electoral process through the administration of Wisconsin's elections laws and the dissemination of information, guidance and services to local election officials, candidates, policymakers, voters, and the public, utilizing both staff expertise and technology solutions.

Code of Conduct

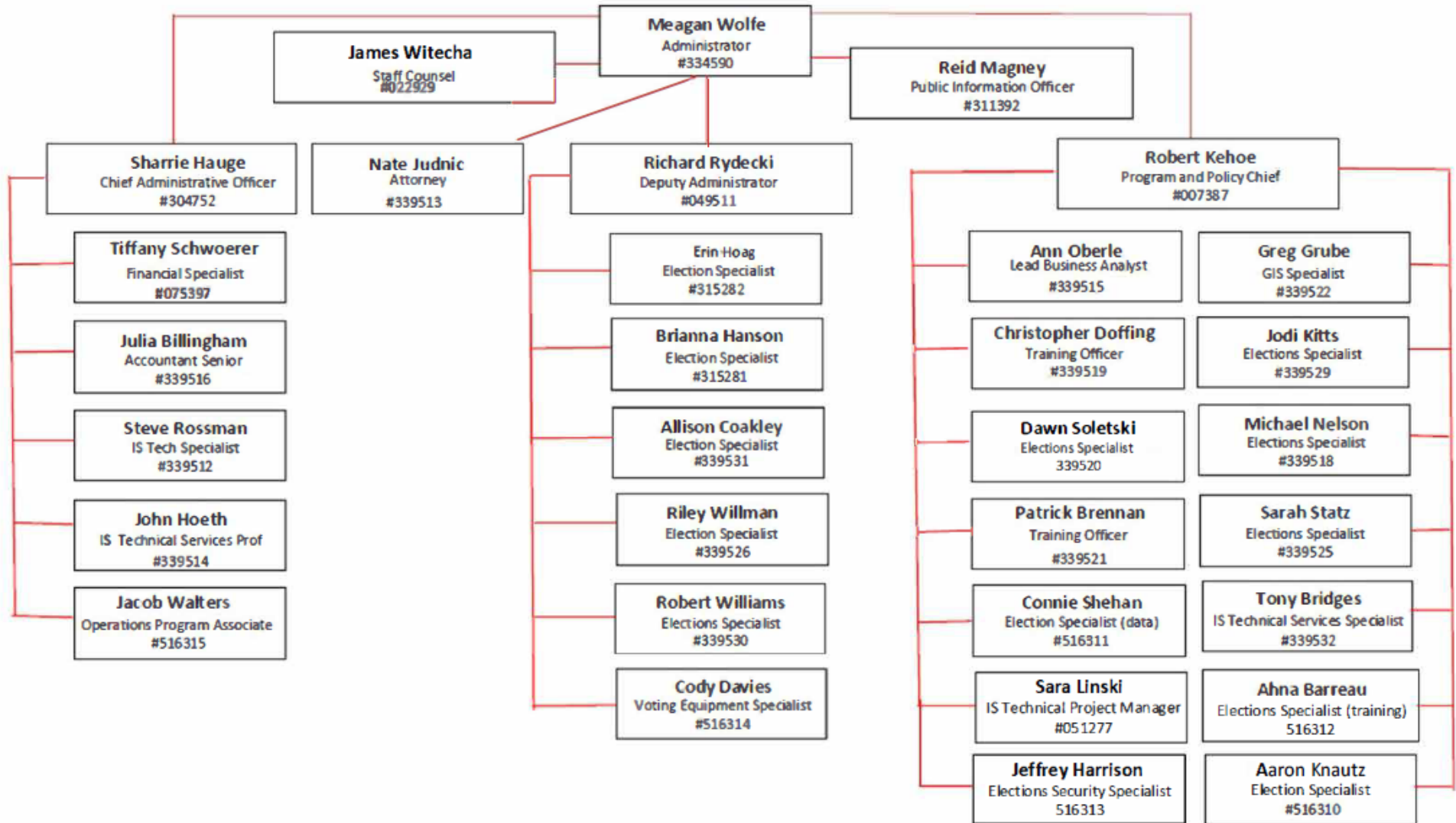
All permanent and project WEC staff are required to attend a Department of Administration (DOA) orientation upon appointment. During orientation, staff are directed to the DOA Intranet site <https://dpm-hr-region1.wi.gov/Pages/Home.aspx> where they receive training announcements, wellness information, policies, forms, and job aids. After orientation, all employees receive a formal email from DOA which signifies their understanding that they will abide by work rules, code of ethics and other guidelines contained therein. The staff of the WEC are also required by [Wis. Stat. § 5.05\(4\)](#) to be nonpartisan. This quality is instilled in every employee during agency training and is a significant part of the culture at the WEC.

Agency Description and Organization Chart

The Elections Commission is comprised of six members, who serve for 5-year terms. One member is appointed by the senate majority leader; one appointed by the senate minority leader; one appointed by the speaker of the assembly; one appointed by the assembly minority leader; and two are members who formerly served as county or municipal clerks and who are nominated by the governor with the advice and consent of a majority of the members of the senate. A detailed description of the appointment of Commissioners is provided in WIS. STAT. §15.61. The Elections Commission and the Department of Administration established a rotational term schedule of the Commissioners. The Commission elects a chair and vice-chair from its members by a majority vote.

The Commission Administrator serves as the agency head and the chief election officer of the state. The Commission staff is required to be non-partisan. The agency has a staff of 25.75 GPR and 6.00 SEGF full-time employees.

WISCONSIN ELECTIONS COMMISSION



10/19/2020

Personnel Policies and Procedures

All permanent and project WEC staff are required to attend a Department of Administration (DOA) orientation upon appointment. During orientation, staff are directed to the DOA Intranet site <https://dpm-hr-region1.wi.gov/Pages/Home.aspx>. where they receive training announcements, wellness information, policies, forms, and job aids. After orientation, all employees receive a formal email from DOA which signifies their understanding that they will abide by work rules, code of ethics and other guidelines contained therein. At WEC, new employees are directed to read Agency Policy Memos 24-29 (Appendix C.1).

Position Descriptions

Employee position descriptions are available upon request. Agency management periodically reviews employee position descriptions to ensure they match employee work assignments, and then updates them, as necessary. See Appendix C – Position Numbers, Employee Names, and Classification Titles.

Other Functional Guidance Materials Provided to Employees

Procurement Manual

The state procurement manual communicates the required policies and procedures for purchasing commodities and services throughout the state and is available online as part of the VendorNet System. The Wisconsin Procurement Manual is available at:

<http://doa.wi.gov/Divisions/Enterprise-Operations/State-Bureau-of-Procurement/Agency-Information/Procurement-Manual/>

Purchasing Card User Manual

The DOA Purchasing Card User Manual is a document used by the WEC staff which defines a purchasing card, its proper uses, and associated internal control policies and procedures governing usage by Elections Commission staff members. See first page of Appendix G - Purchasing Cardholders and User Manual for a listing of cardholder names and associated programs/grants. The user manual is issued to staff, if and when it is decided they will need to use purchasing cards as part of their job duties. The DOA Purchasing Card Manual is available at: <https://doa.wi.gov/DEO/PCMANUAL.pdf>

Wisconsin Statutes (Chapters 5 to 10 and 12)

The WEC administers and enforces Wisconsin law pertaining to Chapters 5 to 10 and 12. Program staff members are expected to have a high-level working knowledge of their controlling statutes, along with various inter-related statutes which may affect the conduct of elections in the state.

Risk Assessment

Risk Assessment

Risk is defined as the level of vulnerability to fraud, abuse, and/or mismanagement. Risk assessment is the identification and analysis of relevant risks to achievement of objectives, forming a basis for determining how the risks should be managed. The WEC assesses risk by considering the events and circumstances which may occur and could adversely affect the WEC's ability to record, process, summarize, and report agency financial information. Management of the risks associated with the use of the WEC's internal control structure provides reasonable assurance that financial processing functions work as intended.

Funding Sources

The WEC's funding comes from several sources:

1. State General Program Revenue (1) (a) - GPR and PR Funds 100
2. Help America Vote Act of 2002 (HAVA) (1) (x) - SEG Fund 220 Appropriation 18000 - This Help America Vote Act (HAVA) award was provided for all states to make sweeping reforms in the way elections are conducted. All federal funds with a cash balance earn interest monthly. Once the funds are spent, the state must then take over financial responsibility for maintaining HAVA initiatives.
3. Investigations (1) (be)– GPR Fund 100 - Appropriation 10500 funds the cost of investigating potential violations of chs. 5 to 10 and 12, as authorized by the Commission.
4. Training of Chief Inspectors (1) (bm) - GPR Fund 100 – Appropriation 10600 for training chief inspectors under s. 7.31.
5. Special Counsel (1) (br)– GPR Fund 100 – Appropriation 10700 for the compensation of special counsel appointed as provided in s.5.05 (2m) (c) 6.
6. Voter ID Training (1) (c) – GPR Fund 100 - Appropriation 10900 funds training of county and municipal clerks concerning voter identification requirements provided in 2011 Act 23.
7. Election Administration Transfer (1) (d)– GPR Fund 100 – Appropriation 11000 to meet federal requirements for the conduct of federal elections under P.L. 107-252, to be transferred to the appropriation account under par. (t).
8. Elections Administration (1) (e) – GPR Fund 100 – Appropriation 11100 for the administration of chs. 5 to 10 and 12.
9. Recount Fees (1) (g)– PR Fund 100 Appropriation 12000 – Revenue from candidates requesting a recount of ballots cast in an election.

10. Materials and Services (1) (h)– PR Fund 100 Appropriation 12100 – Revenue from the sale of copies, forms, and manuals to individuals and organizations.
11. Gifts and Grants Fund (1) (jm)– PR Fund 100 Appropriation 12300 – Account to receive funds from gifts, grants, or bequests.
12. Federal Aid Account (1) (m) – PR-F Fund 100 Appropriation 14000 – Account to receive funds from the federal government to administer elections, but not associated with HAVA funds.
13. Election Administration (1) (t) – SEG Fund 220 Appropriation 16000 – From the election administration fund, the amounts in the schedule to meet federal requirements for the conduct of federal elections under P.L. 107-252. All moneys transferred from the appropriation account under par. (d) shall be credited to this appropriation account.
14. HAVA Interest Income Earnings - Fund 220 Appropriation 18200 R – Monthly interest income earned on Fund 220 cash balances, which is properly allocated to each respective federal program by reporting category on a monthly basis.
15. Elections Security Grant -Fund 220 Appropriation 18200 – The purpose of this award is to “improve the administration of elections for Federal office, including to enhance election technology and make election security improvements” to the systems, equipment and processes used in federal elections.

Systems and Tools

STAR

The WEC staff enters financial transactions into STAR (the state's accounting program). WEC performs an internal audit on every transaction before the transaction is approved. Some staff have dual roles, such as processor and approver, that seem to present an issue with separation of duties; however, because of our agency's small size, this is a situation that we cannot prevent and still be able to function when staff is absent or an approver needs to edit a transaction. Staff does only use one of their roles for any given transaction at a time, preserving the separation of duties in practice.

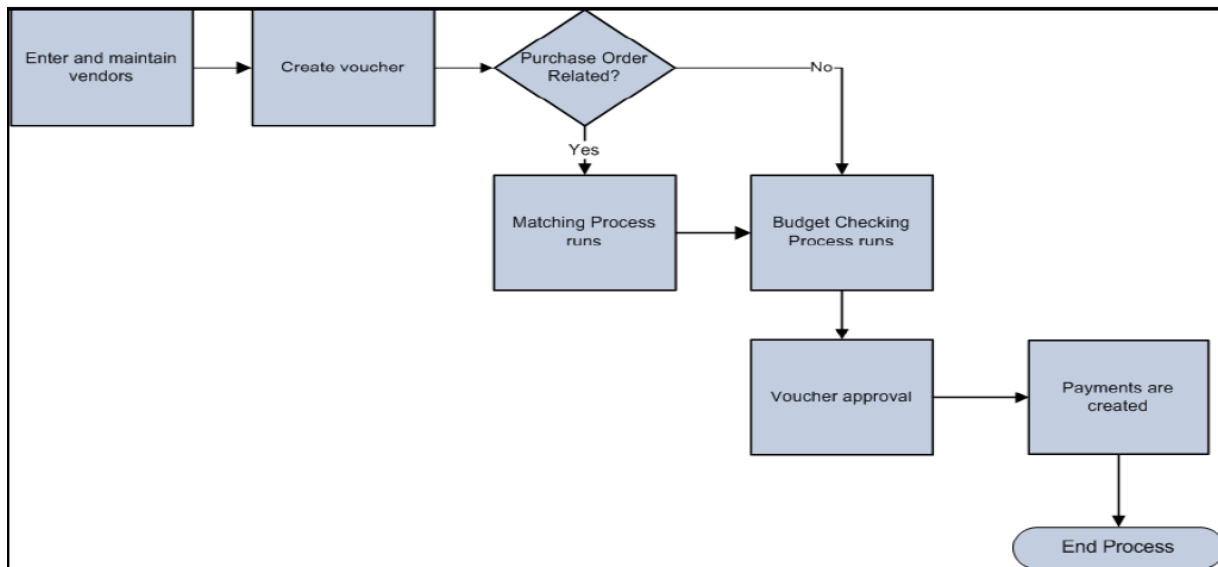
The STAR Payment Process is as follows:

: General Voucher Processing



Accounts Payable End-to-End Process

The Accounts Payable End-to-End process is as follows:



STAR Security Access is Set up as Follows:

Primary Staff involved:

Financial Specialist: currently Tiffany Schwoerer

Senior Accountant/Financial Manager: currently Julia Billingham

Secondary Staff involved:

Operations Program Associate: currently Jacob Walters

Chief Administrative Officer: currently Sharrie Hauge

Within STAR Finance Role Mapping roles have been assigned to staff to process or approve vouchers. Roles are approved and granted by the DOA, STAR Security Team. Our agency's internal STAR Security Team consists of:

Chief Administrative Officer: currently Sharrie Hauge
IS Tech Specialist: currently Steve Rossman
Senior Accountant: currently Julia Billingham

These employees work together to assign financial user roles that are then approved by DOA's STAR Security Team.

In the assigned financial roles, even though some staff, such as the Accountant, may process OR approve, STAR will not allow them to approve a voucher they processed.

STAR security levels for payments are set up as follows:

Staff	Security / Approval Levels
Financial Specialist or Operations Program Associate	Processor
Accountant or Chief Administrative Officer	Approve a voucher for Payment (if not also the processor on voucher)

VendorNet

VendorNet is Wisconsin's electronic purchasing information system. VendorNet provides easy access to a wide variety of information of interest to vendors who wish to provide goods and services to the state, as well as state agencies and municipalities. Bidding and the time required to identify new vendors is minimized, while vendors are automatically notified of opportunities in their area of interest. VendorNet allows WEC staff to post bids and requests for services. VendorNet is also the source for mandatory contract information.

General information on how to do business with the state, along with names, addresses and telephone numbers of state agency procurement staff, and a summary of what the state buys and how much it spends is included within VendorNet. In addition, information on certified work centers, minority business enterprises, recycling, and affirmative action programs is available. VendorNet is available at: <https://vendornet.wi.gov/>

STAR HCM (Payroll Time)

STAR HCM is an online system in which employees report all time worked and/or leave time used for each bi-weekly pay period. Supervisors and managers then review and approve all time worked and leave time reported via administrative access to the system. See Appendix C – Position Numbers, Employee Names, and Classification Titles.

Federal Time Reporting

All WEC employees who are either funded by federal grant money or work on federal projects report their time spent on specific federal activities directly into STAR HCM. Taskprofiles have

been created with individualized Program Codes to track time spent on these specific federal activities. As the employees submit their time in STAR HCM, they are certifying their time spent on allowable activities to maintain compliance with federal cost principles. As supervisors bi-weekly review employees' time, they are certifying their employees' time spent on these federal activities.

During employee onboarding, each employee is educated about which Taskprofiles they should be using to accurately track their time. Upon new tasks creation and also periodically, the WEC Accountant will email all staff with timekeeping reminders and give verbal reminders in our bi-weekly staff meetings so that employees are correctly entering their time based on federal tasks performed. The Accountant also performs periodic audits of the payroll data to ascertain that employees are correctly reflecting their tasks in the entering of their Taskprofiles.

All IT Developers who serve the WEC as non-WEC employees complete bi-weekly timesheets that document their time spent on specific federal and state-funded activities and sign to certify their stated time spent on these activities. Their immediate project lead reviews their time submitted then their department supervisor signs and approves their timesheet to verify their time spent on these federal and state-funded activities. These timesheets were created by the Accountant and Financial Specialist in collaboration with the immediate project lead to determine which activities would be allowable under the federal grant(s) and how best to identify those allowable activities.

See Appendix C – Position Numbers, Employee Names, and Classification Titles.

Transaction Cycles

Purchasing Approval

Explanation: A good or service must go through a series of steps before it can be approved for purchase.

Risks:

- Unauthorized purchases.
- Purchasing items without sufficient approvals or authority.
- Approvals being applied on incorrect information.
- Purchases approved which violate state procurement policies and procedures.

See Appendix D-1 for the Purchasing Approval flowchart.

Accounts Payable

Explanation: Payment for purchase of goods or services and/or pre-approved credit issued by vendors when goods or services are purchased.

Risks:

- Paying a bill or invoice for which goods or services were never received nor rendered.
- An invoice is misplaced or lost before financial staff receives it.
- Delay in reconciling financial statements may allow incorrect payments to go unnoticed.

See Appendix D-2 for the Accounts Payable flowchart.

Cash Disbursements (Grants)

Explanation: Providing financial assistance to eligible recipients in accordance with terms of a grant agreement.

Risks:

- Recipient uses monies awarded for goods or services outside the scope of the grant terms and conditions.
- Recipient falsifies information on grant application.
- Recipient does not send back proof of proper expenditures when awarded a non-reimbursable grant.

See Appendix D-3 for the Cash Disbursements (Grants) flowchart.

Accounts Receivable & Cash Receipts

Explanation: Transactions for the billing of goods or services provided to customers, and the receipt of cash, checks, &/or ACH transfers for licenses and/or fees.

Risks:

- A staff person receives a check or cash, and fraudulently deposits it into a personal bank account unbeknownst to management.
- NSF check is returned by bank.
- Customers are billed incorrectly.

See Appendix D-4 for the Accounts Receivable & Cash Receipts flowchart.

General Services Billing

Explanation: Reviewing and paying a general services billing (GSB) invoiced by the Department of Administration (DOA) when the WEC uses DOA's resources or support on a monthly basis.

Risks:

- Financial staff fails to recognize an incorrect amount billed and it is paid.
- Billing errors are not immediately requested in writing; DOA does not give credit on the GSB but will subsequently issue a paper refund check for any overbillings.
- Paying the bill for goods and services which were not rendered.

See Appendix D-5 for the General Services Billing flowchart.

Payroll

Explanation: The process of reviewing, approving, and paying for employee wages and recording the expense, along with reconciling federal & state withholdings & remittances.

Risks:

- Payments made to employees out of incorrect funding streams are not adjusted after the fact.
- Cash payments are made to employees for overtime hours worked, instead of compensatory time being earned, unless certain projects are pre-authorized for cash overtime to be paid out.
- Federal or state required withholdings are not timely withheld or remitted.

See Appendix C – Position Numbers, Employee Names, and Classification Titles, along with Appendix D-6 for the Payroll flowchart.

Travel Reimbursement for Employees

Explanation: Employees request reimbursement for travel expenses incurred while traveling on official State business, which are processed by the WEC financial staff and then reimbursed through the bi-weekly payroll system.

Risks:

- Employees fill out reimbursement forms incorrectly.
- Employees fail to follow State travel policies and procedures.
- Employees fail to submit all required paperwork to process reimbursement.
- Employees are taxed on reimbursements when they should not have been, or vice versa.

See Appendix C – Position Numbers, Employee Names, and Classification Titles, along with Appendix D-7 for the Travel Reimbursement for Employees flowchart.

Travel Reimbursement for Non-employees

Explanation: Non-employees working indirectly for the WEC may request reimbursement for travel expenses incurred while working on official State business and for the benefit of the WEC.

Risks:

- The non-employee receives invalid reimbursement from the state and/or municipality.
- The non-employee falsifies their travel costs.
- The non-employee receives duplicate reimbursements for the same travel costs.
- The non-employee is reimbursed for travel costs which are not in accordance with state guidelines.

See Appendix D-8 for the Travel Reimbursement for Non-Employees flowchart.

Federal Project Time Reporting & Payroll Adjusting Entry

Explanation: WEC employees working on multiple projects which include a federal grant are required to accurately use the STAR HCM Taskprofiles to account for their time spent on each specific allowable activity within each federal grant and to maintain compliance with federal cost principles. WEC supervisors' reviews entered time and selected Taskprofiles. Accountant reviews all data. If corrections need to be made, Accountant does so via Journal Entries in STAR Financial.

Risks:

- Employee enters time incorrectly or is unable to account for time worked on federal projects.
- Employee or supervisor does not verify time worked, thereby disallowing federal labor costs.

See Appendix C – Position Numbers, Employee Names, and Classification Titles, along with Appendix D-9 for the Federal Project Time Reporting & Payroll Adjusting Entry flowchart.

Recount for Office

Explanation: Wisconsin statutes require the collection of fees from recount petitioners in certain situations. For State or Federal offices, the WEC is the filing officer and collects the filing fee from petitioners, if required. Wisconsin statute 9.01(1)(ag) requires any fees collected to be distributed to the counties conducting the recount for these offices.

Risks:

- WEC election administration staff incorrectly calculates, or does not collect, the fee payable from the recount petitioner.
- Fees collected are not timely distributed to the proper county.

See Appendix D-10 for the Recount for State Office flowchart.

Control Activities

Control activities are the policies and procedures in place at the WEC which help ensure that necessary actions are taken to address risks identified to achieve our objectives. Relevant control activities in place at the WEC include:

Performance Reviews

Employees are to be formally evaluated on their work performance each year, based upon pre-established work standards reflecting their position description. These standards serve as the basis for ongoing communication between a supervisor and the employee throughout the year. A copy of all formal evaluations is maintained in the employee's official personnel file. See Appendix C – Position Numbers, Employee Names, and Classification Titles.

Physical and Electronic Controls

Control activities in this area are divided into two main categories: physical controls and electronic controls. These activities encompass the security of WEC assets including adequate safeguards over access to assets and secured areas, authorization for access to computer programs and data files, and periodic comparisons with amounts shown on control records.

Physical Controls

- All WEC staff members are issued a photo ID card and building access card.
- The WEC office is open to the public from 7:45am to 4:30pm weekdays. The public may access the office by calling a posted phone number outside the WEC office building. The WEC Reception staff answers that phone number and can allow entry to the public. The building is only accessible via staff access cards. Therefore, during public access times, WEC staff will go down and greet them on the lower level or first floor. Upon hiring, staff receives authorization cards to freely access WEC offices during and outside these normal business hours from the Administrator (or designee) on an as-needed basis. These cards both activate the elevator and open the stairwell doors to the WEC office floor.

- During office hours, WEC staff provides physical security and oversight of agency assets & resources.
- The WEC maintains secured storage areas for confidential records, such as locked file cabinets, secure safes, a secure technology room, and a locked basement storage room for records and additional supplies.
- WEC adheres to the General Records Schedule for Fiscal and Accounting Related Records, as promulgated by the DOA department Public Records Board to be found at: <https://publicrecordsboard.wi.gov/Pages/GRS/Statewide.aspx>
- Confidential records which are not required to be retained in-office are boxed for shipment to the State Records Center, per Records Disposition Authority (RDA).

Electronic Controls

- Each WEC employee is assigned system logon credentials by the DOA required to access state computer systems.
- Employee passwords for many state systems must be reset every 60 days.
- State systems are secured based on industry standard guidelines from CIS and NIST.
- Device health and security are continuously monitored by both the DOA and agency security and IT staff.
- Financial data is maintained in segregated systems and locations with access limited only to relevant staff and IT support.

Information Processing

Purchasing

Control activities are displayed in Appendix D-1 -- Purchasing Approval Flowchart

- Segregation of Duties:
 - Authorization: Purchases of goods and services are authorized by WEC supervisors. Staff in charge of compliance determines if a purchase is allowable and necessary.
 - Recordkeeping: Financial staff compiles and reviews information for approval. Purchasing paperwork is retained for future reference.
 - Custody: WEC staff other than the approver and program staff initiate the purchase in STAR.
- Purchasing is separate from either receiving goods or disbursing cash (unless a purchasing card is used).

Purchasing Card

Control activities are displayed in Appendix G -- Purchasing Card User Manual

- Segregation of Duties:
 - Authorization: Purchase of goods is authorized by WEC supervisors. Staff in charge of compliance determines if a purchase is allowable and necessary.
 - Recordkeeping: Financial staff compiles and reviews information for approval. Accountant reviews and approves all purchases weekly.

- Chief Administrative Officer reviews all purchases bi-weekly.
Purchasing paperwork is retained for future reference.
- Custody: Purchasing cardholder initiates the purchase either online, or by phone, or in person.

Accounts Payable

Control activities are displayed in Appendix D-2 -- Accounts Payable Flowchart

- Segregation of Duties:
 - Authorization: Review and approval of invoices and vouchers for completeness of supporting documents and proper authorizations is conducted by Accountant.
 - Recordkeeping: Review and reconciling of payment information is performed on a monthly basis. Invoices and vouchers are retained by the financial staff.
 - Custody: Department of Administration generates paper checks or ACH transactions.
- The purchasing form, bill of lading, receiving report, purchase order, and/or requisition are matched prior to payment.

Cash Disbursements (Grants)

Control activities are displayed in Appendix D-3 -- Cash Disbursements (Grants) Flowchart

- Segregation of Duties:
 - Authorization: Accountant creates the Project and the deposit in STAR to accept grant and coordinates with DOA Treasury to correctly receive the federal funds.
 - Recordkeeping: Reviewing and reconciling information is performed on a monthly basis.
 - Custody: DOA Treasury receives funds via ACH wire transfer and creates the accounting journal to transfer funds to the WEC.

Accounts Receivable & Cash Receipts

Control activities are displayed in Appendix D-4 -- Accounts Receivable & Cash Receipts Flowchart

- Segregation of Duties:
 - Authorization: The deposit approval for cash and paper checks is initiated by the WEC office and final approval is applied by DOA. E-pay electronic ACH deposits are processed by U.S. Bank and approved by DOA in STAR, without any intervention by WEC staff.
 - Recordkeeping: Deposit information is entered into the STAR accounting system and tracked internally. A processor records the deposit, which is then audited and approved by the Accountant in STAR.
 - Custody: Via the Financial staff, currency and coin are directly deposited at U.S. Bank, while paper check deposits are hand-delivered to the DOA drop box. DOA deposits and posts these checks to the

agency's cash ledger account. Only U.S. Bank has custody of e-payment ACH electronic deposits.

- NSF checks returned by the bank are recorded, investigated, and secondary payment is requested by WEC staff.

General Services Billing

Control activities are displayed in Appendix D-5 -- General Services Billing Flowchart

- Segregation of Duties:
 - Authorization: GSB charges are verified against fleet approval forms & mileage rates, printing & mailing information, and/or other supporting documentation, to confirm the agency services were approved.
 - Recordkeeping: Transaction information is automatically loaded into the STAR accounting system, tracked internally, and reconciled monthly to internal accounting files.
 - Custody: The individuals confirming services were rendered are separate from the individuals receiving the benefits of the services.

Payroll

Control activities are displayed in Appendix D-6 -- Payroll Flowchart

- Segregation of Duties:
 - Authorization: Management reviews and approves work hours recorded by staff.
 - Recordkeeping: Staff records hours into STAR. Supervisors approve hours and send hours to the DOA payroll office electronically.
 - Custody: Payroll checks are generated at DOA and directly deposited into the employee's bank account. Pay stubs are no longer distributed.
- Each bi-weekly payroll register is reviewed by a financial staff member, separate from the manager who requests employee payroll funding additions, changes, and deletions. See also Appendix C – Position Numbers, Employee Names, and Classification Titles.

Travel Reimbursement for Employees

Control activities are displayed in Appendix D-7 – Travel Reimbursement for Employees Flowchart

- Segregation of Duties:
 - Authorization: Supervisors review and approve employee travel reimbursement requests and their cost incurred after travel.
 - Recordkeeping: Travel reimbursements for costs incurred by staff are submitted by staff and then reviewed by financial staff for accuracy and completeness.
 - Custody: Travel expenses incurred by agency employees are processed by a financial staff member. Travel reimbursements are completed by DOA staff and added to an employee's paycheck. Financial staff members file and retain reimbursement requests and supporting documentation.

- All travel costs incurred by the agency and travel reimbursements are reviewed by more than one individual, to ensure that these costs are allowable and in accordance with State travel policies and procedures. See also Appendix C – Position Numbers, Employee Names, and Classification Titles.

Travel Reimbursement for Non-Employees

Control activities are displayed in Appendix D-8 – Travel Reimbursement for Non-Employees Flowchart

- Segregation of Duties:
 - Authorization: Supervisors review and approve non-employee travel reimbursement requests.
 - Recordkeeping: Travel reimbursements for costs incurred by non-employee individuals are submitted by the non-employee and reviewed by financial staff for accurate and complete documentation. If the information does not comply with applicable policies and guidelines, the staff notifies the non-employee and attempts to resolve the issue.
 - Custody: Travel expenses incurred by non-employees are processed by a financial staff member and related reimbursement checks are generated by DOA.
- All travel costs incurred by the agency and travel reimbursements are reviewed by more than one individual, to ensure that these costs are allowable and in accordance with State travel policies and procedures.

Recount for Office

Control activities are displayed in Appendix D-10 -- Recount for Office Flowchart

- Segregation of Duties:
 - Authorization: If a fee is required, as determined by WEC Election Administration staff, and depending upon the closeness of each political race, counties estimate fee and payment to counties for the actual cost of a recount is authorized by Accountant and by DOA.
 - Recordkeeping: Financial staff maintains original payment documentation, along with a breakdown of counties which qualify for payment.
 - Custody: Financial staff maintains documentation on payment and authorizes DOA to make payments.

Information & Communication

Information

STAR – State Transforming Agency Resources (STAR) Accounting and Reporting Tool

STAR is an enterprise-wide system designed to provide better consistency among state agencies, as well as modernization of the State's IT Infrastructure. The comprehensive system allows the state to manage its finance, budget, procurement, business intelligence and human resources functions.

The first release began in July 2015 and was completed in October 2015, with the implementation of Finance and Procurement functionality. The second release began in December 2015 with the implementation of Human Capital Management (HCM) functionality for administrative and self-service users. All state agencies must process their accounting transactions through this system, as it is used to produce the statewide fiscal year financial statements. All financial transactions are entered into STAR.

Strengths:

- Processes and contains all the agency's financial transactions and information.
- Monitored by the Department of Administration.
- Extensive manuals and a telephone helpline are available for technical assistance.
- Uses multi-level approval settings for segregation of financial staff duties while processing transactions.
- Multiple tables organize information on a fiscal year and calendar year basis.

Weaknesses:

- Difficult to learn new functionality.
- Not user-friendly; difficult to understand input screens which pose a risk of user error.
- Difficult to access old transactions electronically.

Tasks to Minimize Weaknesses, Changes, or Improvements:

- Rely on STAR Support and/or State Controller's Office for technical assistance.
- Checks and balances using multiple reviewers and approval layers.

VendorNet

VendorNet is Wisconsin's electronic purchasing information system. VendorNet provides easy access to a wide variety of information of interest to vendors who wish to provide goods and services to the state as well as state agencies and municipalities. Bidding and the time required to identify new vendors is minimized while vendors are automatically notified of opportunities in their area of interest. VendorNet allows WEC staff to post bids and requests for services. VendorNet is also the source for mandatory contracts.

Strengths:

- When properly used, VendorNet ensures state purchasing rules are followed.
- Clearinghouse of purchasing information.
- Updated frequently and immediately, as changes to contracts are made.

Weaknesses:

- Information can sometimes be difficult to locate.
- Information can sometimes be difficult to understand and interpret.

Tasks to Minimize Weaknesses, Changes, or Improvements:

- Training classes by DOA.
- Use DOA support and technical assistance when necessary.

Communication

This process involves providing an understanding to staff about their individual roles and responsibilities as they pertain to the internal control plan. Communication can be written, verbal, or through the actions of management and other personnel. Not only is communication essential within the agency, but also with external sources.

The following are methods used for communicating the roles, responsibilities, and significant matters relating to the internal controls plan within the agency:

- Financial Staff are given an internal control plan for review when starting employment.
- Staff and Elections Division meetings.
- Training sessions.
- Memorandums.
- Management ensures the internal control plan is followed.
- Emails.

The following are methods used for communicating the issues, resolutions, and significant matters relating to the internal controls plan outside the agency:

- When communicating with clerks, the agency follows a communication protocol of procedures and policies before sending information to a group of customers.
- Public Information Officer reviews communications prior to sending out.
- When working with vendors on significant procurements or with auditors, the agency uses a single point of contact for all communications.

Monitoring

Monitoring is a process by which the WEC assesses the performance quality of the internal control structure over time. WEC management regularly monitors, audits, and reconciles the processes in place, to maintain sound internal controls for the agency. Monitoring of the internal control plan provides the WEC with reasonable assurance that control objectives are being met.

Monitoring Plan:

Management will periodically assess the performance quality of the internal control plan, focusing on the design and operation of the controls to ensure they are operating as intended. If corrective action is necessary, it will be in a timely manner. Establishing and maintaining internal control is the responsibility of management. The monitoring process will include steps such as:

1. Consistent and ongoing monitoring activities, built into both regular and commonly recurring activities.
2. Occasional internal audits of the strengths and weaknesses of internal controls.
3. Evaluation of communications from entities outside the agency.
4. Focus on evaluation of the quality and performance of internal controls.

Procedures for responding to findings and recommendations reported by auditors:

1. In a timely manner, management will perform an evaluation of the findings and recommendations.
2. Management will develop a proper response to resolve the concerns.
3. The response will be direct to the findings and recommendations.
4. The response will be clear and concise.
5. Any specific or unique positions will be addressed and identified.
6. If action is necessary for implementation of the response, a timeline will be produced with reasonable deadlines for implementation.

Wisconsin Elections Commission
Appendix C - Position Numbers, Employee Names, and Classifications
As of May 11, 2021

POSITION #	LAST NAME	FIRST NAME	CLASS	ACCOUNT*	TYPE
7387	Kehoe	Robert	PROGRAM AND POLICY CHIEF	7000000	CLASSIFIED
22929	Witecha	James	ATTORNEY	7000000	CLASSIFIED
49511	Rydecki	Richard	INDEF AG APPT-20.923 (4)ESG 3	7100000	INDEFINITE
51277	Linski	Sara	IS TECHNICAL SVCS CONSLT ADMR	7000000	CLASSIFIED
75397	Schworer	Tiffany	FINANCIAL SPECIALIST	7000000	CLASSIFIED
304752	Hauge	Sharrie	FINANCIAL PROGRAM SUPERVISOR	7000000	CLASSIFIED
311392	Magney	Reid	COMMUNICATIONS SPECIALIST -SNR	7000000	CLASSIFIED
315281	Hanson	Brianna	ELECTIONS SPECIALIST-ENTRY	7000000	CLASSIFIED
98434	Wolfe	Meagan	FIXED TERM-20.923(4) ESG 4	7100000	INDEFINITE
315282	Hoag	Erin	ELECTIONS SPECIALIST-ENTRY	7000000	CLASSIFIED
339512	Rossmann	Steven	IS TECHNICAL SVCS SPEC	7000000	CLASSIFIED
339513	Judnic	Nathan	ATTORNEY	7000000	CLASSIFIED
339514	Hoeth	John	IS TECHNICAL SVCS PROF	7000000	CLASSIFIED
339515	Oberle	Ann	IS BUSINESS AUTOMATION SENIOR	7000000	CLASSIFIED
339516	Billingham	Julia	ACCOUNTANT-SEN	7000000	CLASSIFIED
339518	Vacant	Vacant	IS RESOURCES SUPPORT TECH INT	7000000	CLASSIFIED
339519	Doffing	Christopher	STAFF DEVELOPMENT PROGRAM SPEC	7000000	CLASSIFIED
339520	Soletski	Dawn	ELECTIONS SPECIALIST-ENTRY	7000000	CLASSIFIED
339521	Brennan	Patrick	STAFF DEVELOPMENT PROGRAM SPEC	7000000	CLASSIFIED
339522	Grube	Gregory	ELECTIONS SPECIALIST-SEN	7000000	CLASSIFIED
339525	Statz	Sarah	ELECTIONS SPECIALIST-SEN	7000000	CLASSIFIED
339526	Willman	Riley	ELECTIONS SPECIALIST-SEN	7000000	CLASSIFIED
339529	Kitts	Jodi	ELECTIONS SPECIALIST-SEN	7000000	CLASSIFIED
339530	Williams	Robert	ELECTIONS SPECIALIST-SEN	7000000	CLASSIFIED
339531	Coakley	Allison	ELECTIONS SPECIALIST-SEN	7000000	CLASSIFIED
339532	Bridges	Tony	IS TECHNICAL SVCS SPEC	7000000	CLASSIFIED
516310	Knautz	Aaron	ELECTIONS SPECIALIST-ENTRY	7130000	PROJECT
516311	Shehan	Connie	ELECTIONS SPECIALIST-ENTRY	7130000	PROJECT
516312	Barreau	Ahna	ELECTIONS SPECIALIST-ENTRY	7130000	PROJECT
516313	Harrison	Jeffrey	ELECTIONS SPECIALIST-ENTRY	7130000	PROJECT
516314	Davies	Cody	ELECTIONS SPECIALIST-SEN	7130000	PROJECT
516315	Walters	Jacob	OPERATIONS PROGRAM ASSOCIATE	7130000	PROJECT

* Classified Employees 24
* Unclassified Employees 2
* Project Employees 6

Wisconsin Human Resources Handbook

Chapter 370

Classification Policies and Procedures for the Analysis of Reclassification and Reallocation Requests

Sec. 370.010	Introduction	Sec. 370.080	Withdrawing Reclassification
Sec. 370.020	Statutory and Rule Authority	Sec. 370.090	Compensation
Sec. 370.030	Definitions	Sec. 370.100	Effective Date Policy
Sec. 370.040	Exclusions	Sec. 370.110	Documentation of Decision
Sec. 370.050	Submitting a Reclassification or Reallocation Request	Sec. 370.120	Classification Appeals
Sec. 370.060	Analyzing a Reclassification	Sec. 370.130	Administrative Information
Sec. 370.070	Competition and Competitive Examination	Attachment #1	Reclassification Analysis Flowchart
		Attachment #2	Sample Reclassification Denial Letter

Sec. 370.010 Introduction

Reclassification is a personnel transaction used to allocate or assign a filled position to a different classification (“class”) when the position has experienced logical and gradual changes to the point where a different classification becomes more appropriate or when the incumbent has attained the specified education or experience required in a formally defined progression series.

Reallocation is another personnel transaction used to allocate or assign a filled position to a different classification based on one of a number of reasons that are specifically described in the Wisconsin Administrative Code. This chapter provides detailed guidance on how to classify positions, and how to conduct analyses of reclassification and reallocation requests.

Budget constraints are not considered valid reasons to deny reclassification or reallocation requests. Positions must be correctly classified based on the duties permanently assigned to the positions.

Sec. 370.020 Statutory and Rule Authority

1. “After consultation with the appointing authorities, the director shall allocate each position in the classified service to an appropriate class on the basis of its duties, authority, responsibilities or other factors recognized in the job evaluation process. The director may reclassify or reallocate positions on the same basis.” s. 230.09(2)(a), Wis. Stats.
2. “Appointing authorities shall notify the director of any changes in the duties or responsibilities of individual positions which may affect the classification level of the position. Notification shall be in accordance with the procedures established by the director.” s. ER 3.03(1), Wis. Adm. Code.

3. “If after review of a filled position the director reclassifies or reallocates the position, the director shall determine whether the incumbent shall be regraded or whether the position shall be opened to other applicants.” s. 230.09(2)(d), Wis. Stats.
4. Section 15.02(4), Wis. Stats., states in part, “The head may delegate and re-delegate to any officer or employee of the department or independent agency any function vested by law in the head.”
5. “Class specifications shall be the basic authority for the assignment of positions to a class.” s. ER 2.04(2), Wis. Adm. Code.

Sec. 370.030 Definitions

The following are definitions of terms used in this chapter:

1. **Administrative Professional Level:** Work that requires the exercise of analytical ability, judgment, and discretion and the application of a substantial body of knowledge of principles, concepts and practices applicable to one or more fields of administration or management. While these positions do not require specialized education, they do involve the type of skills (analytical, research, writing, judgment) gained through a college-level education or through progressively responsible work experience. Administrative professional level work may be performed as part of the principal mission or program of an agency or subcomponent, or it can be performed as a service function that supports the agency’s mission or program. Employees engaged in administrative professional level work are concerned with analyzing, evaluating, modifying, and developing basic programs, policies, and procedures that facilitate the work of agencies and their programs. They apply knowledge of administrative analysis, theory, and principles in adapting practice to the unique requirements of a specific program.
2. **Advanced Level:** A concept that appears in some classification specifications intended to describe work that is beyond the objective level within a class series. Not all positions are expected to attain the advanced level. The classification specification defines the requirements for the advanced level in terms of duties and responsibilities and discusses whether positions can be reclassified to that level or whether competition is required.
3. **Allocation:** The initial assignment of a position to the appropriate class by the director as provided in s. 230.09(2), Wis. Stats. ER 3.01(1), Wis. Adm. Code.
4. **Allocation Pattern:** A description of different job or position types used within a classification or classification series. Allocation patterns identify different job types within a classification or different levels within a classification series. For example, within the Revenue Auditor classification series, the classification specification identifies the following allocation pattern for Individual Income Tax Office Auditors: the Revenue Auditor classification level is used as the entry level progressing to the developmental level; the Revenue Auditor 3 classification level is the objective level; and the Revenue Auditor 4 classification level is the advanced level. Representative positions within a classification specification can also be considered allocation patterns. However, it is possible that not all allocation patterns will be identified in the classification specification. Allocation patterns may be established by the Agency Human Resources Office for delegated classifications without being formally identified in the classification specification. They should be formally documented within that agency, and OSER should be informed of existence of the allocation patterns in order to determine if the classification specification needs to be modified.
5. **Best Fit:** Positions are classified based on the majority of duties performed (more than 50 percent) of the work assigned to and performed by the position when compared to the class concepts and definition of the classification specification or through other methods of position analysis. Position analysis defines the nature and character of the work through the use of any or all of the following: definition statements; listing of areas of specialization; representative examples of work performed; allocation patterns of representative positions; job evaluation guide charts, standards or factors; statements of inclusion and exclusion; licensure or

certification requirements; and other such information necessary to facilitate the assignment of positions to the appropriate classification.

6. **Classification:** A grouping of positions that perform similar duties and responsibilities and require similar knowledge, skills, and abilities.
7. **Classification Specification:** A document that defines the nature and character of the work of the class through the use of any or all of the following: definition statements; listings of areas of specialization; representative examples of work performed; allocation patterns of representative positions; job evaluation guide charts, standards or factors; statements of inclusion and exclusion; and such other information necessary to facilitate the assignment of positions to the appropriate classification.
8. **Competition:** Opening a position to other candidates. If it is determined that a filled position should be opened to other candidates, the position may be filled through many different transaction types such as promotion, transfer, demotion, reinstatement, etc. For the purposes of this chapter, competition is not synonymous with competitive examination. Refer to section 370.070 of this handbook chapter for more detailed information on competition and competitive examination and descriptions of situations requiring the processing of certification requests.
9. **Competitive Examination:** A method of evaluating an applicant's ability to perform the duties of the job. Refer to section 370.070 of this handbook chapter for more detailed information on when competitive examination may be required.
10. **Confidential:** Section 111.81(7), Wis. Stats., excludes from the definition of employee for collective bargaining purposes "individuals who are privy to confidential matters affecting the employer-employee relationship . . ." Refer to *Wisconsin Human Resources Handbook Chapter 324—Confidential Management or Supervisor Exclusions for Positions in the Classified Service* for more detail.
11. **Developmental Level:** An intermediate progression level between the entry and objective levels within in a classification series. At a developmental level, the employee is given progressively more complex assignments and/or receives decreasing levels of supervision compared to that at the entry level. This process is designed to enable the employee to develop the competence necessary to independently perform the full range of job duties at the objective level.
12. **Entry Level:** The first level in a progression classification series. Entry level positions function under close supervision and for a majority of the time perform the least complex duties assigned to that position type. Employees at the entry level may perform only parts of a process, procedure, or project; perform the less complex processes, procedures, or projects assigned to that position type; and often function under the direction or mentoring of a more experienced employee in that occupational area.
13. **Filled Position Transfer:** Form of competition where an employee stays in the same position number while the position is assigned new duties that may result in the position remaining in the same classification or moving to a different classification assigned to the same or counterpart pay range. The incumbent is selected to remain in the position, provided due consideration was given to other individuals and the incumbent's qualifications for the position were assessed in relation to the job requirements.
14. **Lead worker:** An employee whose permanently assigned duties include training, assisting, guiding, instructing, assigning and reviewing the work of two or more permanent full-time equivalent classified employees in the Lead worker's work unit as assigned and documented on the work unit's organization chart. Lead workers do not have supervisory authority as defined under s. 111.81(19), Wis. Stats.

Usually, lead workers will be required to lead the work of two or more employees in order to be credited with lead worker duties. Lead workers cannot "share" the responsibility of leading the work of employees. For example, if two positions lead the work of one employee each and together jointly lead the work of one more employee, neither position will meet the definition of lead worker. In certain circumstances, leading the work

of one other employee may justify lead worker status, if the employees are located in a geographically remote office or are in the field.

Note: Agencies use a variety of other terms to describe non-supervisory leadership positions such as project manager, project leader, team leader, project team leader, and project coordinator. These terms are not synonymous with lead worker and additional analysis is required to determine if individuals in these roles function as lead workers. Also, the classification significance of these roles cannot be determined in the abstract and must be evaluated based on the specific class factors and definitions contained in the relevant class specification.

As a general rule, when the work of the Lead worker is significantly different from that of the work s/he leads or the Lead worker performs advanced level duties while leading objective level employees, a separate lead work level is likely to exist within the classification series. When the work of the Lead worker is significantly similar to the work of others s/he leads, the lead work function is likely to be described within the objective level classification definition.

15. **Management:** Section 111.81(13), Wis. Stats., excludes management personnel from the definition of employee for collective bargaining purposes. Section 111.81(13) defines “management” as “those personnel engaged predominately in executive and managerial functions, including such officials as division administrators, bureau directors, institution heads, and employees exercising similar functions and responsibilities as determined by the [Wisconsin Employment Relations] Commission.” Refer to *Wisconsin Human Resources Handbook* Chapter 324 for more detail.
16. **Objective Level:** The classification level that any employee in any position allocated to that classification series can reasonably expect to achieve. This class level is then determined to be the objective level for all positions with similar duties and responsibilities, in that series. Objective level employees must satisfactorily perform the full range of job duties assigned to that position type under general supervision.
17. **Paraprofessional:** Work that is similar to “professional” work but does not have the breadth and depth of true professional work. A paraprofessional employee performs duties that are a narrow, specialized subset of professional duties, does not perform the full range of duties assigned to professional employees, or performs duties of lesser scope, impact, and complexity than duties assigned to professional employees. Paraprofessional duties support the work of professional employees. A paraprofessional employee may carry out or implement plans or projects that are developed, planned, and managed by professional employees, based on extensive experience and supplemental on-the-job training rather than on formal academic education in the discipline itself. Paraprofessional work is performed in a narrow or highly specialized area of the overall occupation and requires a high degree of practical knowledge and skill. The paraprofessional employee often works with considerable independence for significant periods of time. This independence, however, does not alter the nature and character of the work, which is to support a professional discipline.
18. **Position:** “[A] group or set of duties and responsibilities, which require the services of an employee on a part-time or full-time basis.” s. 230.03(11), Wis. Stats.
19. **Position Description:** A structured document that assigns duties and responsibilities to a position. Refer to *Wisconsin Human Resources Handbook* [Chapter 310—Completion and Use of the Position Description](#) for more detailed information.
20. **Professional:** Section 111.81(15), Wis. Stats., states, “‘Professional employee’ means:
 - (a) Any employee in the classified service who is engaged in work:
 1. Predominantly intellectual and varied in character as opposed to routine mental, manual, mechanical or physical work;
 2. Involving the consistent exercise of discretion and judgment in its performance;
 3. Of such a character that the output produced or the result accomplished cannot be standardized in relation to a given period of time;

4. Requiring knowledge of an advanced type in a field of science or learning customarily acquired by a prolonged course of specialized intellectual instruction and study in an institution of higher learning or a hospital, as distinguished from a general academic education or from an apprenticeship or from training in the performance of routine mental, manual or physical processes; or
- (b) Any employee in the classified service who:
1. Has completed the courses of specialized intellectual instruction and study described in par. (a)(4); and
 2. Is performing related work under the supervision of a professional person to qualify to become a professional employee as defined in par. (a).”

Professional work requires a high order of analytical ability combined with a comprehensive knowledge of (1) the functions, processes, theories, and principles of the occupational area; and (2) the methods used to gather, analyze, and evaluate information.

Professional work cannot be standardized or routine and requires independent judgment and discretion. It involves many “gray areas” that require substantial analysis and judgment to reach the appropriate conclusion and requires education and training in the principles, concepts, and theories of the occupational area. These are most often gained through the completion of a four-year degree in a specified curriculum at a college or university. In a limited number of circumstances, such knowledge may be gained through on-the-job experience.

Professional work requires creativity, analysis, evaluation, and interpretation. It involves applying or interpreting natural law, principles, or theory; evaluating the research of others; and assessing the need for and validity of proposed changes and improvements in procedures and methods. Professional responsibility involves the ability to reason from existing knowledge to unexplored areas; to adapt methods to circumstances that deviate from the standards; and to stay abreast of and evaluate technical subjects, analyses, and proposals.

21. **Progression Series:** A multiple-level classification series where employees are expected to progress by reclassification to the objective level if they satisfactorily perform the full range of duties assigned to the objective level classification for a majority of the time. Progression series often have some combination of entry, developmental and objective level classifications.
22. **Reallocation:** The assignment of a position to a different class by the director as provided in s. 230.09(2), Stats., based upon:
 - (a) A change in concept of the class or series.
 - (b) The creation of new classes.
 - (c) The abolishment of existing classes.
 - (d) A change in the pay range of the class.
 - (e) The correction of an error in the previous assignment of a position.
 - (f) A logical change in the duties and responsibilities of a position. Or
 - (g) A change in the level of accountability of a position such as that resulting from a reorganization when the change in level of accountability is the determinant factor for the change in classification. s. ER 3.01(2), Wis. Adm. Code.
23. **Reclassification:** The assignment of a filled position to a different class by the director as provided in s. 230.09(2), Stats., based upon a logical and gradual change to the duties or responsibilities of a position or the attainment of specified education or experience by the incumbent. s. ER 3.01(3), Wis. Adm. Code.
24. **Regrade:** The determination of the director under 230.09(2)(d), Stats., that the incumbent of a filled position which has been reallocated or reclassified should remain in the position without opening the position to other candidates. s. ER 3.01(4), Wis. Adm. Code.

25. **Supervisor/Supervisory:** Section 111.81(19), Wis. Stats., defines a supervisor as any individual “who has authority, in the interest of the employer, to hire, transfer, suspend, lay off, recall, promote, discharge, assign, reward, or discipline employees, or to adjust their grievances, or to authoritatively recommend such action” and “whose principal work is different from that of . . . subordinates.” Refer to *Wisconsin Human Resources Handbook*, [Chapter 324—Confidential, Management or Supervisor Exclusions for Positions in the Classified Service](#), for more detail.

Usually, positions will be required to supervise the work of three or more permanent, full-time equivalent, classified employees in order to be credited with supervisory duties because the amount of time required to support the supervisory designation is likely justified by the supervision of at least three employees. Supervising fewer than three employees may not meet the Wisconsin Employment Relations Commission’s *de minimus* test for supervisory duties. Supervisors cannot “share” supervision of employees.

Note: The U.S. Department of Labor Fair Labor Standards Act requires the supervision of at least two permanent full-time equivalent employees as one of the conditions for meeting the executive test for exemption from the overtime provisions of the federal Fair Labor Standards Act.

26. **Support work:** Involves proficiency in one or more functional areas in certain limited phases of a specified program. The work usually does not require knowledge of the interrelationships among functional areas or organizations.

Employees follow established methods and procedures. They may occasionally develop work plans or recommend new procedures related to individual assignments or the immediate work unit. Support work can be performed based on a practical knowledge of the purpose, operation, procedures, techniques, and guidelines of the specific program area or functional assignment. Employees learn to do the work on the job, sometimes requiring many years of experience and may attend specific training courses related to their work.

27. **Technical or Technician:** Similar to “paraprofessional,” this is work that is similar to professional work but does not have the breadth and depth of true professional work, usually in a scientific or technical field such as electronics, computers, etc. Technical employees carry out or implement plans or projects based on extensive experience and supplemental on-the-job training rather than on formal academic education in the discipline itself. They carry out tasks, methods, procedures, and/or computations that are laid out either in published or oral instructions and covered by established precedents or guidelines. Technical work is performed in a narrow or highly specialized area of the overall occupation and requires a high degree of practical knowledge and skill, care and precision. A technical employee does not perform the full range of duties assigned to professional employees, but does perform duties that are a narrow, specialized subset of the professional duties or performs duties of lesser scope, impact, and complexity than duties assigned to professional employees. Technical duties support the work of professional employees. A technical employee may carry out or implement plans or projects that are developed, planned, and managed by professional employees. Some technical work may appear similar to that performed by employees doing beginning-level professional work in the same general occupational field. The experienced technical employee often works with considerable independence for significant periods of time. This independence, however, does not alter the nature and character of the work, which is to support a professional discipline.

Sec. 370.040 Exclusions

1. According to s. ER 3.05, Wis. Adm. Code, “The position of a classified employee shall not be reclassified while the employee is on a temporary interchange under s. 230.047, Stats.”
2. Positions may not be classified, reclassified, or reallocated based on temporarily assigned or acting duties.
3. Limited term employees (LTEs) are not eligible for regrade upon reclassification or reallocation. Nor are they eligible to compete in promotional examinations.

Note: When classification surveys or new classifications are implemented, LTEs do not receive reallocation notices. Instead, the DOA and UW Payroll systems process class code/class title changes for the LTEs and notify agencies of the changes.

4. According to s. ER 3.015(3)(a) and (b), incumbents who are serving the first six months of a trial or probationary period and who have not performed the permanently assigned duties and responsibilities for a minimum of six months are not eligible to be regraded as a result of reclassification or reallocation under ER 3.01(2)(f), Wis. Adm. Code.

Sec. 370.050 Submitting a Reclassification or Reallocation Request

A reclassification or reallocation request may be initiated in one of the following three ways through submission of appropriate documentation:

1. If the first-line supervisor or above in the direct organizational chain of command requests that the position be reviewed for proper classification or recommends a specific classification change, the minimum required documentation is an updated position description (PD) signed by the supervisor, an accurate organization chart and written reasons for the request. Supervisors should consult their agency's policies and procedures for any additional documentation required by the Human Resources Office.
2. If a position's incumbent requests that his/her supervisor review the level of the position and the supervisor takes no action within 30 days or denies the reclassification request, the required documentation from the incumbent is a written request which includes a statement of the events (including the dates when the events took place) which have occurred in regard to the request for a classification review. Incumbents should consult their agency's policies and procedures on how to initiate a reclassification request.
3. If a position incumbent has attained the specified education or experience required by the appointing authority for regrade in a position identified in a classification series where the class levels are differentiated on that basis, the documentation, as determined by the appointing authority, must be submitted by the incumbent and/or appropriate supervisor.

Sec. 370.060 Analyzing a Reclassification or Reallocation Request

Positions are classified, reclassified, or reallocated. Employees may be regraded at the time a position is reclassified or reallocated. Such factors as an employee's current pay rate, length of service, special training or experience not required for the work of the classification, or quality of performance do not justify a classification action, nor does volume of work unless it significantly affects the complexity and/or responsibility level of the position in question. Outside offers of employment or salary increases granted to other employees are not adequate reasons for reclassifying positions.

Reclassification is a personnel transaction used to allocate (i.e., assign) a filled position to a different classification when the position has experienced logical and gradual changes to the point where a different classification becomes more appropriate or when the incumbent has attained the specified education or experience required in a formally defined progression series. Reclassification is the exception rather than the norm for most positions in classified civil service unless the position is in a designated progression series. This is due to the fact that most positions in state service are classified at either the objective or advanced level and movement to the advanced level frequently requires competition.

Reallocation is the assignment of a position to a different classification. Reallocations occur due to:

1. A change in concept of the class or series.
2. The creation of new classes.
3. The abolishment of existing classes.
4. A change in the pay range of the class.

5. The correction of an error in the previous assignment of a position.
6. A logical change in the duties and responsibilities of a position.
7. A change in the level of accountability of a position such as that resulting from a reorganization when the change in level of accountability is the determinant factor for the change in classification.

(See s. ER 3.01(2), Wis. Adm. Code.)

Refer to Attachment #1 for a flowchart describing the general sequence of events for the analysis of most reclassifications.

Steps in Analyzing a Reclassification or Reallocation Request

1. Determine the duties and responsibilities assigned to the position.
 - a. Ensure that a current PD which accurately reflects the position's duties and responsibilities has been developed by the incumbent's supervisor and has been signed and dated by all necessary parties.

Note: If there is a discrepancy between what the employee indicates he/she is doing and what management determines are the assigned duties of the position, every attempt should be made to resolve this problem before the final PD is prepared. Human Resources should discuss the duties and time assignments with the supervisor and employee and review time sheets, work logs, and other records to determine time spent on the duties. If no agreement can be reached, the final PD should reflect the duties as assigned by management. The employee should then be instructed to perform the duties as described and requested to sign the PD as an indication of his/her awareness of the assigned duties (not necessarily of his/her agreement with said assignment). If the employee refuses to sign the PD, the supervisor should note that on the PD. The employee is still held responsible and accountable for performing the duties assigned to the position.

If a goal comprises a large percentage (e.g., 40 percent or more) of the position's time, Human Resources may want to ask the supervisor to break this large percentage down into smaller, more specific time percentages for the worker activity statements. For example, if a position spends 50 percent of its time on Goal A, the supervisor may indicate that the position spends 15 percent of its time on worker activity statement A1, 5 percent on A2, and so on. If there is no more specific identification of the time spent on the worker activity statements, Human Resources must assume that the time percentage assigned to that goal is equally distributed to each of the worker activity statements.

- b. If the PD is general, vague, inaccurate, or incomplete, Human Resources should ask the supervisor to clarify and revise and more specifically describe the goals, worker activity statements, and knowledge, skills, and abilities on the PD.
- c. Obtain all other necessary materials such as:
 - 1) Organization charts.
 - 2) Copies of old PDs.
 - 3) Confidential, management or supervisory exclusion analysis forms.
 - 4) Agency-specific reclassification justification or memo completed by the position's supervisor describing the logical and gradual changes that occurred to the position's duties.

Note: For more detailed information, refer to *Wisconsin Human Resources Handbook* Chapter 310—Completion and Use of the Position Description, Chapter 330—Preparation and Use of Organization Charts, and Chapter 324—Confidential, Management or Supervisor Exclusions.

2. Determine the appropriate classification of the position.

- a. It is common for positions in state classified civil service to perform a combination of duties from different classification levels or different classifications. Compare the duties and responsibilities of the position to the classification specifications for the position's present classification, the proposed classification, and related classifications that might define the duties and responsibilities of the position. Determine which class specification best defines the position (i.e., "best fit").

It may be difficult to identify the appropriate classification for a position if it doesn't neatly fit an existing classification. Use the classification specification that most specifically describes the position's duties rather than one that generally describes such duties and responsibilities. Even if the position performs some of the duties identified in the more general classification specification, the position must be classified using the most specific classification specification that exists.

Example: A position spends the majority of its time developing and monitoring the department's biennial and annual operating budgets and conducting program, organizational, policy, legislative and fiscal analyses. Although some of the duties performed might be described by the Program and Policy Analyst classification specification, the majority of the duties are analytic functions that are more specifically described by the Budget and Policy Analyst-Agency classification specification. Budget and Policy Analyst-Agency is the more appropriate classification for this position.

- b. Compare the duties and responsibilities of the position to similar positions within the agency and in other state agencies. This information should substantiate the "best fit" decision.

Comparing a position to other similar positions is especially helpful when applying a general classification specification, such as Administrative Manager or Office Operations Associate. The specification language itself may be general and comparing similar positions based on specific duties and responsibilities is strongly encouraged under such circumstances.

Note: Information about positions in other agencies can be obtained from OSER or directly from the agency or campus that has similar position(s). It can be helpful to consult with Human Resources staff in OSER, other agencies, or campuses to identify similar positions. Each agency is required to maintain files of position descriptions for all positions within their agency and OSER maintains files of a number of position descriptions from all state agencies. Many agencies are now maintaining electronic position descriptions, which are easier to share.

- c. If a classification decision cannot be made based on the desk review of the materials received, an in-person audit (i.e., interview) should be conducted. Refer to "Conducting Classification Audits" at <http://oser.state.wi.us/docview.asp?docid=5921> for tips on how to conduct audits.
3. Determine the nature of the changes that have occurred in the duties and responsibilities of the position.

If changes have occurred and support changing the classification of the position, determine whether the changes were logical. If the changes were logical, determine if they were also gradual.

Compare the new PD to the last transactional PD that was formally reviewed for classification purposes (e.g., certification request, reclassification request, or reallocation request). Updated PDs which may have been developed since the last transactional PD was processed should also be included and given consideration in this review because they document changes that occurred in the interim.

Note: When calculating the changes that have occurred, focus on the changes that support changing the classification of the position. For example, if a position dropped 20 percent lower-level duties that were replaced by 20 percent higher-level duties that resulted in a different classification being more appropriate, the time percentage change that occurred to this position would be the 20 percent addition of higher-level duties, rather than a 40 percent change in duties.

Note: The Agency Human Resources Office should always carefully review updated PDs. In accordance with *Wisconsin Human Resources Handbook* Chapter 310—Completion and Use of the Position Description, the Human Resources Manager’s signature on the PD indicates that the position is appropriately classified. If the position is not classified correctly, the appropriate transaction must be initiated to correct it.

It is important to remember that it is natural for all positions to change over time. Positions can be reclassified or reallocated to a higher, lower, or the same or counterpart pay range. The assignment of additional duties at the same classification level does not result in a different classification level being more appropriate. Changes must be significant in relation to the relevant class specifications in order for reclassification or reallocation to be appropriate. Reclassification or reallocation may also be appropriate if there are relatively small time percentage changes, provided they result in a position spending the majority of its time on a different level within the current classification series or a different classification.

a. Were the changes logical?

- 1) Logical changes are changes that are reasonably related to the previous duties or responsibilities of the position. Generally, if the changes are reasonably related to the previous duties, satisfactory performance of the original duties or responsibilities of the position should provide any incumbent with a reasonable expectation that the changed duties or responsibilities will be satisfactorily performed.

“Reasonably related” means that the changes to the position were a natural outgrowth or progression of the previously assigned duties. The new duties are an extension and are of a similar nature to the previously assigned duties that were the basis for the original classification of the position and do not require extensive additional education, training, or mentoring for the incumbent to learn to perform the additional duties. Learning to perform the changed duties may require additional education, training, or mentoring, provided the subject matter is directly related to the original underlying knowledge, skills, and abilities of the position.

Examples of reasonably related duties:

Example A: An Office Operations Associate position orders routine supplies, maintains inventories, and identifies the sources for and orders special supplies. This is the only position in the work unit that performs such duties. It may be logical to assign the position the responsibility for contacting vendors to acquire information to compare prices and quality of the products.

Example B: An Engineering Technician-Transportation position reviews permits for utility right-of-way activities. A new permit program is created that requires the review of permits for driveway access to a roadway. It may be logical to assign the new access permit reviews to this position because it is already reviewing other permits for legal compliance.

Example C: A section has a filled Financial Specialist 2 and a vacant Financial Specialist 3 position. The Financial Specialist 3 position is abolished due to budget cutbacks. Forty percent of the vacant Financial Specialist 3 position’s duties are assigned to the Financial Specialist 2 position, which is the only Financial Specialist position left within that unit. It may be logical to assign these duties to the Financial Specialist 2 position because these duties are reasonably related to the previously assigned duties.

Examples where the duties are **not** reasonably related:

Example A: An Offset Press Operator position being assigned Graphic Designer duties. The Offset Press Operator position was a production worker, and the assignment of graphics design work would not be a logical change because the employee would have to acquire unrelated, specialized technical training to perform the Graphic Designer duties. Even if the employee classified as Offset Press Operator possessed those skills required of Graphic Designers, the graphic design duties are unrelated to the Offset Press Operator duties; one position is mass producing what the other position has created.

Example B: An Office Operations Associate position being assigned certified Nursing Assistant duties. Even if the incumbent possesses or acquires certification as a Certified Nursing Assistant, these changes would not be reasonably related. The changes to the position occurred based on the knowledge, skills, and abilities of the particular incumbent and are not a natural outgrowth of previously assigned duties and responsibilities.

Example C: A position that was hired to perform routine filing and copying being assigned IS Technician duties. The employee hired had extensive experience working with personal computers and is in the process of taking information systems training at a technical college. The supervisor starts adding IS Technician duties to the position, such as installing software on desktop PCs, and eventually submits the position for reclassification to one of the IS Technician classifications. The changes that occurred to this position are not reasonably related because they are based on the knowledge and skills possessed by the incumbent rather than the knowledge, skills, and abilities required by the position for which the employee was hired. The position wasn't originally filled to perform IS Technician duties, and the examination used to fill the position didn't test for such knowledge, skills and abilities.

- 2) Movement of a position from one bargaining unit to another is rare but may be considered logical in very limited situations. Such changes must be reviewed carefully on a case-by-case basis, and the transactions must be approved by OSER.
 - 3) If more than 50 percent of the duties or responsibilities of a position have changed since the position was last formally reviewed for classification purposes (such as for a certification request, reclassification request, or reallocation request), and those changes may affect the classification of the position, the changes are not considered logical changes to a position but are the creation of a new position.
 - 4) **Initial assignment or complete removal of lead work, supervisory or managerial duties or responsibilities are not logical changes.** Such changes constitute such a major change in the concept of a position that they no longer meet the concept of logical.
- b. Were the changes gradual?
- 1) Changes in assigned duties of 25 percent or less are considered gradual changes.
 - 2) Generally, changes are not gradual if they:
 - a) constitute a significant portion of the position (more than 25 percent) and occur over a period of less than six months.
 - b) occur abruptly resulting from a reorganization, changes in the equipment used to perform the work, or a reassignment of duties from a vacant or abolished position.
 - c) result from the removal of a supervisory level.

Examples of changes considered gradual:

Example A: If the duties that constitute the reason for the class level change were previously at least 35 percent of the position, the expansion of such duties to 60 percent of the total position will likely be considered gradual.

Example B: A Facilities Repair Worker position spends 30 percent of its time welding. When this vacant position is filled, the supervisor hires an employee with extensive welding experience. Over several years, the percentage of time spent on welding increases to 40 percent, then to 55 percent. This is the only position in the work unit that performs welding. The expansion of the welding duties to 55 percent may be considered gradual.

Example C: An Office Operations Associate position was filled with a PD identifying 38 percent of the position's time being spent on Purchasing Associate duties. Over a one-year period, the percentage of time spent on Purchasing Associate duties increases to 51 percent. The increase in time spent on the Purchasing Associate duties is likely considered gradual.

Example D: A position experienced 40 percent job change over a one-year period. This may be considered a gradual change, depending on the specifics of the situation.

Examples of changes that are **not** considered gradual:

Example A: As a result of reorganization, a position that provided secretarial and administrative support to a Bureau Director now reports to a Division Administrator. The position will be reviewed for appropriate classification as a result of the reorganization. The changes that occurred to the position are not gradual because they happened at a singular point in time as a result of the reorganization.

Example B: A work unit has one Office Associate position and one Office Operations Associate position. The Office Operations Associate incumbent terminates from state civil service and the Office Associate position is assigned 40 percent of the vacant position's duties. Although the changes that occurred to the Office Associate position may be considered logical, they were not gradual because they resulted abruptly from the assignment of duties from a vacant position.

4. Determine the appropriate type of position classification action to be taken if a change in classification is appropriate.
 - a. Where the change in classification is appropriate because of changes in duties or responsibilities.
 - 1) If the changes in the duties and responsibilities are determined to be both logical and gradual, reclassify the position.

Note: Changes that result in the reclassification of a position from one bargaining unit to a different bargaining unit, and/or the reclassification of a position between broadbands (other than those within a recognized progression series) are rare and should be carefully evaluated on a case-by-case basis. There are limited circumstances where such reclassifications can meet the requirements for logical and gradual change. Transactions such as these are not delegated and must be approved by OSER.

- 2) If the changes in the duties and responsibilities are determined to be logical but fail to meet the criteria for gradual, reallocate the position under ER 3.01(2)(f), Wis. Adm. Code.
- 3) If changes in the position fail to meet the criteria for logical, and a new position is created (i.e., more than 50 percent of the duties have changed), allocate the newly created position to the appropriate classification and process a certification request to initiate a staffing action.

- b. Where the change in classification is appropriate for a reason other than a change in duties or responsibilities.
 - 1) If the reason for the change in classification is the level of accountability of the position (such as that resulting from reorganization), reallocate the position under ER 3.01(2)(g), Wis. Adm. Code.
 - 2) If ER 3.01(2)(a) through (e), Wis. Adm. Code, reasons apply, reallocate the position.
 - 3) If the reason for the change in classification is the attainment of specified education or experience by the incumbent as specified in the classification specification, reclassify the position under ER 3.01(3), Wis. Adm. Code.
- 5. Determine whether the incumbent should be regraded or the position opened to competition.

In order to make this determination, apply the following guidelines and rule provisions.

- a. Where no changes have occurred in the duties and responsibilities, and the position will be reallocated under ER 3.01(2)(a) through (e), Wis. Adm. Code, regrade the incumbent if the appointing authority determines that his/her performance is satisfactory.
- b. Where changes in a position support a reallocation under ER 3.01(2)(f) or (g), Wis. Adm. Code, or reclassification, regrade the incumbent unless:
 - 1) The appointing authority has determined that the incumbent's job performance is not satisfactory.

Note: Refer to "Conducting Classification Audits" at <http://oser.state.wi.us/docview.asp?docid=5921> for additional information on auditing an employee when the supervisor identifies unsatisfactory performance in association with a reclassification or reallocation request.

- 2) The incumbent has not satisfactorily attained specified training, education, or experience in a position identified in a classification series where the class levels are differentiated on this basis.
- 3) The incumbent is serving the first six months of a trial or probationary period.
- 4) The incumbent has not performed the permanently assigned duties and responsibilities for a minimum of six months. The six-month period may include a portion of the trial or probationary period. In rare circumstances, a maximum of three months of a six-month trial or probationary period may be applied if appropriate justification is provided.

Note: Whether an individual is placed on probation or not, incumbents must perform the duties and responsibilities that they were hired for or appointed to for a minimum of three months. Therefore, **nine** months from the date the incumbent was appointed to the position is the absolute earliest date that any incumbent can be regraded. This should be a rare occurrence, and the supervisor must provide documentation stating why this is appropriate (e.g., the incumbent had relevant prior education or work experience).

- 5) The OSER Director has determined that the position should be filled by competitive examination, even though changes in the position may have been logical and qualify as a reallocation under ER 3.01(2)(f) or (g), Wis. Adm. Code; or logical and gradual and qualify as a reclassification.

Example: A department decides to reorganize to reduce the number of supervisory levels. As a result of the reorganization, a supervisory position that formerly reported to a bureau director will now report to the division administrator and will be assigned additional responsibilities. Although this supervisory position could be reallocated under ER 3.01(2)(g), Wis. Adm. Code, and the incumbent regraded, management determines that they will hold a competitive examination to ensure that the person selected is qualified to perform the assigned duties.

- c. Competition is appropriate under conditions such as the following:
- 1) A position was selected to be assigned duties and responsibilities which warrant a different classification title at a higher, lower, or the same classification level where such assignments could reasonably have been assigned to other positions. Holding competition allows other employees the opportunity to be considered for the position.
 - 2) A position was assigned the duties of a previously vacant position for which competition was held and subsequently cancelled.

Example A: Two Facilities Repair Worker positions have 30 percent of their time assigned to welding. When these two vacant positions are filled, the supervisor hires two employees with extensive welding experience. Over several years, the supervisor determines that the percentage of time spent on welding for one of the positions will need to increase to 55 percent which could result in a change in the classification. Since the increase in welding duties could reasonably be assigned to either of the two positions, competition must be held to fill the position that will spend 55 percent of its time on welding.

Example B: A work unit has two Office Associate positions and one Office Operations Associate position. The Office Operations Associate incumbent terminates from state civil service and one of the Office Associate positions needs to be assigned higher level duties from the vacant position that will affect the classification of the position to which the duties are assigned. These higher-level duties could reasonably be assigned to either of the two Office Associate positions; therefore, it would be necessary to hold competition to assign the higher level duties.

6. Determine what happens to the incumbent of a filled position who is not immediately regraded when a position is reclassified or reallocated.
- a. If an incumbent of a filled position which is reallocated or reclassified is not regraded due to unsatisfactory performance or lack of attainment of specified training or experience, initiate the layoff process or change the duties and responsibilities assigned to the position to reflect the current position classification.
 - b. If an incumbent is not regraded because the administrator has determined that the position should be filled by competitive examination, the employee may temporarily serve in the position on an acting basis, under Ch. ER-MRS 32, Wis. Adm. Code, or on a temporary basis, until such time as a permanent appointment is made or the duties and responsibilities assigned to the position can be changed to reflect the current position classification. The employee must be notified in writing of this status.
 - c. If an incumbent is not regraded because he/she is serving the first six months of a probationary period and/or has not performed the permanently assigned duties for a minimum of six months, the employee may remain in the position pending completion of these time requirements. The effective date of the reclassification request should be modified to reflect the date the incumbent completes the six-month probationary period and/or has performed the permanently assigned duties for the minimum six months.

Sec. 370.070 Competition and Competitive Examination

Part of the classification analysis process for a filled position is determining which transaction to use in assigning the position to the appropriate classification.

There are situations where reclassification is not appropriate because the changes to the position are not logical and gradual, and situations where reallocation is not appropriate because the changes are not logical. Under such circumstances, a certification request must be processed and the position must be filled through competition.

There are also situations where the OSER Director has determined that the position should be filled by a competitive process rather than by reclassification or reallocation. For the purposes of this chapter, competitive process means that (1) the pool of potential candidates considered for the position is not exclusively limited to the position's incumbent; and (2) the process is consistent with the merit principles, that the individual selected for the position must be qualified for the position as determined through a job-related assessment process. A competitive process does not always require a formal open selection process with a job announcement and examination.

In situations where reclassification or reallocation is not appropriate, the action to be taken depends on the type of transaction:

1. If the appropriate classification for the filled position is a classification assigned to a higher pay range, a certification request must be processed, and the position must be filled by competitive examination which may result in a promotion if the incumbent is the candidate selected.

Note: There are situations where a transfer opportunity must be opened up to the relevant applicant pool, such as if a position was formally downgraded for developmental purposes. The possibility for reclassification to the higher level must be clearly noted in the announcement. Refer to bulletin OSER-0139-MRS for additional information on downgrading positions for developmental purposes (http://oser.state.wi.us/bulletins/bulletin_get.asp?bid=357)

2. If the appropriate classification for the position is at the same or counterpart pay range level, the correct transaction is a filled position transfer and a certification request must be processed to document the assignment of the new duties to the position.

Example: An agency's district office eliminates a vacant Information Systems Supervisor 2 position due to budget constraints. There are too many positions for one position to supervise, so management determines that a lead worker position needs to be created. There are sixteen positions in the work unit and the supervisor wants to use one of them for the new lead worker position. Based on the classification specification, the addition of lead worker responsibilities will not serve as the basis for a different classification level. Reclassification or reallocation would not be appropriate because the addition of lead worker duties does not constitute a logical change in duties. It may be appropriate to transfer one of the employees into this position by processing a replace-changed duties certification request, using the selected employee's position number. In consultation with Human Resources staff, the supervisor may choose to allow any of the sixteen employees to apply for the position or the supervisor can evaluate the pool of sixteen candidates and select one of the employees to be appointed to the position without a formal application process. It's still a transfer, still a form of competition without requiring a competitive examination, as long as the supervisor applied some objective judgment, consideration, and evaluation in selecting which employee will be assigned those duties. If the supervisor announced the position and only one employee applied, it's still a transfer and still a form of competition because other employees had the opportunity to apply for the position, but chose not to do so.

Sec. 370.080 Withdrawing Reclassification Requests

A request may be withdrawn at any time prior to the final classification determination being issued by the Human Resources Office, by the party initiating the request, regardless of whether that is the supervisor, manager or the employee. All such requests must be in writing. In some situations where the employee withdraws the reclassification request, the supervisor may need to revise the employee's position description. If the supervisor/division administrator requests withdrawal, the employee should also be notified in writing by the

supervisor/division administrator of the withdrawal. If the employee disagrees with the action, s/he may initiate a new reclassification request in accordance with agency procedures for self-initiating such a request.

Sec. 370.090 Compensation

Regraded employees whose positions are reclassified to a class assigned to a higher pay range under s. ER 3.01(3), Wis. Adm. Code, or reallocated under s. ER 3.01(2), Wis. Adm. Code, have their pay rate adjusted in accordance with the relevant contract language or nonrepresented Compensation Plan language on pay administration, as appropriate.

If the employee also has reinstatement eligibility or restoration rights to the higher pay range, the employee's pay is calculated in accordance with s. ER 29.03(3), (6) or (7), Wis. Adm. Code, the relevant contract language, or nonrepresented Compensation Plan language on pay administration, as appropriate.

Note: The rules were revised in 1983 to prevent "yo-yo" progression whereby an employee accepts a demotion and the position is reclassified or reallocated at a later date to a higher classification level to which the employee has reinstatement eligibility or restoration rights. The intent of this provision is to treat the reclassification or reallocation as a reinstatement or restoration for pay purposes rather than as a regrade that may provide the employee with an additional pay increase.

Refer to Bulletin OSER-0022-MRS-CLR/LR/PP for definitions of upward classification movements and higher level classes within the same broadband. (http://oser.state.wi.us/bulletins/bulletin_get.asp?bid=210)

Sec. 370.100 Effective Date Policy

1. The transactions below are effective at the beginning of the first pay period following effective receipt of the request. Effective receipt of a request may be made by any office within the operating agency that has been delegated, in writing, effective receipt authority by the appointing authority. However, a later effective date may be designated by the appointing authority when the conditions which warrant the reclassification/regrade or reallocation/regrade (e.g., attainment of required education or experience, performance of duties and responsibilities for six months, etc.) will not occur until such later date.
 - a. Delegated and nondelegated reclassification regrade actions and reallocation regrade actions based on the correction of an error in the previous assignment of a position taken under s. ER 3.01 (1)(e), Wis. Adm. Code.
 - b. A logical change in the duties and responsibilities of a position under s. ER. 3.01(f), Wis. Adm. Code.
 - c. A permanent change in the level of accountability of a position such as that resulting from a reorganization when the change in level of accountability is the determinant factor for the change in classification under s. ER. 3.01(g), Wis. Adm. Code.
2. Effective Dates for Regrades Resulting From Reallocation Actions under s. ER 3.01(1)(a) through (d), Wis. Adm. Code.
 - a. Reallocations based on the modification, creation, or abolishment of classifications under s. ER 3.02(a), (b), or (c), Wis. Adm. Code, respectively.

According to s. 230.09(2)(am), Wis. Stats., the authority to modify, create or abolish classifications is limited to the OSER Director or his/her designee.

- 1) For all classifications, represented and not represented by a certified collective bargaining unit:

The effective date for the modification, creation, or abolishment of classifications is the first day of the first pay period following the approval by the OSER Director or a later date if the Director specifies a later date.

Note: The creation or abolishment of classifications is a prohibited subject of bargaining under s.111.91(2)(b)(2), Wis. Stats.

- b. Reallocations based on the assignment or reassignment of classifications to pay ranges under s. ER 3.02(d), Wis. Adm. Code.

According to s. 230.09(2)(b), Wis. Stats., the OSER Director has the authority to assign and reassign nonrepresented classifications to pay ranges.

According to s. 111.91(1)(1), Wis. Stats., the assignment of classifications to pay ranges is a mandatory subject of bargaining.

- 1) For classifications not represented by a certified collective bargaining unit:

The assignment or reassignment of classifications to pay ranges will be the first day of the first pay period following the approval by the OSER Director or a later date if the Director specifies a later date.

- 2) For classifications represented by a certified collective bargaining unit:

The assignment or reassignment of classifications to pay ranges shall be the first day of the first pay period following the approval by the OSER Director or a later date if the Director specifies a later date **unless** the Director negotiates a different date as part of a collective bargaining agreement regarding the effective date of the assignment or reassignment of classifications to pay ranges.

3. Agency reorganization classification actions.

Wis. Stats. 230.09(2)(c) states:

“If anticipated changes in program or organization will significantly affect the assignment of duties or responsibilities to positions, the appointing authority shall, whenever practical, confer with the director within a reasonable time prior to the reorganization or changes in program to formulate methods to fill positions which are newly established or modified to the extent that reclassification of the position is appropriate. In all cases, appointing authorities shall give written notice to the director and employee of changes in the assignment of duties or responsibilities to a position when the changes in assignment may affect the classification of the position.”

The Department of Administration (DOA) Division of Executive Budget and Finance publishes guidelines which indicate when reorganization plans must be submitted to DOA for review and approval. Certain reorganizations are delegated to the agencies and do not require approval by DOA. For nondelegated reorganizations which require DOA approval, agencies submit proposals to the DOA Division of Executive Budget and Finance and to OSER. DOA reviews and evaluates the reorganization plans to ensure the structural change will accomplish goals such as to make public services more responsive or accessible to the public, to improve program and fiscal decision making, to improve efficiency, and to accommodate new services or functions. DOA authorizes agencies to proceed with the reorganization, but does not set the effective date of actual implementation of permanent changes to positions' responsibilities.

In accordance with the DOA guidelines, “Personnel transactions which carry out a reorganization still must be subsequently approved by OSER and the DOA budget analyst.” Reorganization changes are implemented by certification request as replace change d duties. Under some limited circumstances, a logical change reallocation may be processed in lieu of a certification action.

OSER must review the nondelegated classification actions which formally implement the reorganization. As always, upon DOA approval of the proposed reorganization, agencies may immediately assign or reassign duties and responsibilities to staff. These assignments are temporary until formal action is taken to permanently implement the changes by processing either a certification request or a reallocation request.

Nondelegated reorganization-related classification actions become effective the first day of the first pay period following the date of OSER's approval of the certification or reallocation requests, unless the reallocation request designates an earlier effective date and OSER approves that date.

Delegated reorganization classification actions become effective the first day of the first pay period following the date of approval of the certification or reallocation requests by the Agency Human Resources staff, unless the reallocation request designates an earlier effective date that the Agency HR office has approved.

4. Multiple and/or Simultaneous Transactions.

According to s. ER 3.03(4), Wis. Adm. Code, requests for reallocation, reclassification, or regrade are canceled when an employee resigns, retires or is terminated from pay status in the position prior to the effective date of the requested action.

However, requests for reallocation, reclassification, or regrade must be processed if an employee resigns, retires, is terminated and/or transfers, demotes, etc., on the same or later date as the requested action is to take effect. (See s. ER 29.04, Wis. Adm. Code, for order of application when multiple pay adjustments occur on the same date.)

Sec. 370.110 Documentation of Decision

1. Agencies use a variety of reclassification or reallocation write-up formats to document reclassification or reallocation analyses. Human Resources staff use these forms to document the changes that have occurred to the position, compare the position to the relevant classification specifications, compare to other positions within state civil service, and explain why regrade is appropriate and whether or not competition may be necessary. The comparison of the position to the classification specification should consist of more than a quotation of the classification specification language; the comparison should specifically cite goals and worker activities that meet the specification language.
2. Documenting reclassification or reallocation denials.
 - a. It is particularly important to document a reclassification or reallocation denial because:
 - 1) The letter provides the employee with a detailed description of the analysis that was conducted and explains the reasons the reclassification or reallocation was denied.
 - 2) For a nondelegated decision, the agency's denial letter provides information to OSER regarding why the request was denied. OSER is responsible for making the final classification decision for nondelegated classification actions.
 - 3) The letter informs the employee of the right to appeal and the process to follow in order to file an appeal.
 - 4) The denial letter serves as a crucial exhibit if the employee appeals the decision to either the Office of State Employment Relations or the Wisconsin Employment Relations Commission.
 - 5) A well-documented denial letter should provide the employee with the facts supporting the denial and may result in an employee choosing not to appeal the classification decision to either

the Office of State Employment Relations or the Wisconsin Employment Relations Commission.

- b. Denial letters must be addressed to the individual who initiated the reclassification request. If the supervisor initiated the request, the denial letter should be addressed to the supervisor. If the employee initiated the request, the denial letter should be addressed to the employee.

OSER processes the nondelegated denial letter and the accompanying reclassification or reallocation analysis documentation through the agency human resources office for appropriate distribution within the agency. Agencies should develop internal procedures for processing all reclassification and reallocation denials to ensure that the employee's supervisor or manager receives the denial letter for distribution to the employee and to document when the employee received the decision.

The denial letter must document the changes that have occurred to the position, the comparison of the position to the relevant classification specifications, comparisons to other positions within state civil service, and whether regrade is appropriate and whether competition is necessary. Refer to Attachment #2 for a sample denial letter.

Denial letters must include the employee's right to appeal the classification decision.

- 1) Standard delegated reclassification appeal rights language:

If the employee disagrees with this decision, s/he may appeal this action to the Wisconsin Employment Relations Commission, 4868 High Crossing Blvd.; Madison, WI 53704-7403. Appeals must be made in writing and must be received by the Wisconsin Employment Relations Commission within 30 calendar days from the effective date of the decision or the employee's notification of such decision, whichever is later. The employee should contact the Wisconsin Employment Relations Commission directly to receive information on the procedures for filing an appeal (including any applicable filing fees).

- 2) Standard nondelegated reclassification appeal rights language:

If the employee disagrees with this decision, s/he may appeal this action to the Director of the Office of State Employment Relations, by submitting a written request to the employee's agency Human Resources Manager. Appeals must be made in writing and must be received by the agency Human Resources Manager within 30 calendar days from the effective date of the decision or the employee's notification of such decision, whichever is later. Upon receipt of the written appeal, the agency Human Resources Manager will forward the employee's request and pertinent materials to the Office of State Employment Relations.

- 3) If OSER denies a nondelegated reclassification request, the employee's appeal rights are to the Wisconsin Employment Relations Commission, and the language is the same as under (2)(b)(2) above (the delegated reclassification appeal rights language).

- c. It is strongly recommended that agencies use the [*Employee Notification Form: Receipt of Reclassification or Reallocation Decision \(OSER-DMRS-204\)*](#) to document an employee's receipt of reclassification or reallocation denial. This form documents when the employee received notification of the decision and assists in determining whether the employee's appeal was filed in a timely manner.

Sec. 370.120 Classification Appeals

Please see *Wisconsin Human Resources Handbook* Chapter 420—Appeal Procedures for Classification Actions, for additional information on classification appeals. (<http://oser.state.wi.us/docview.asp?docid=1392>)

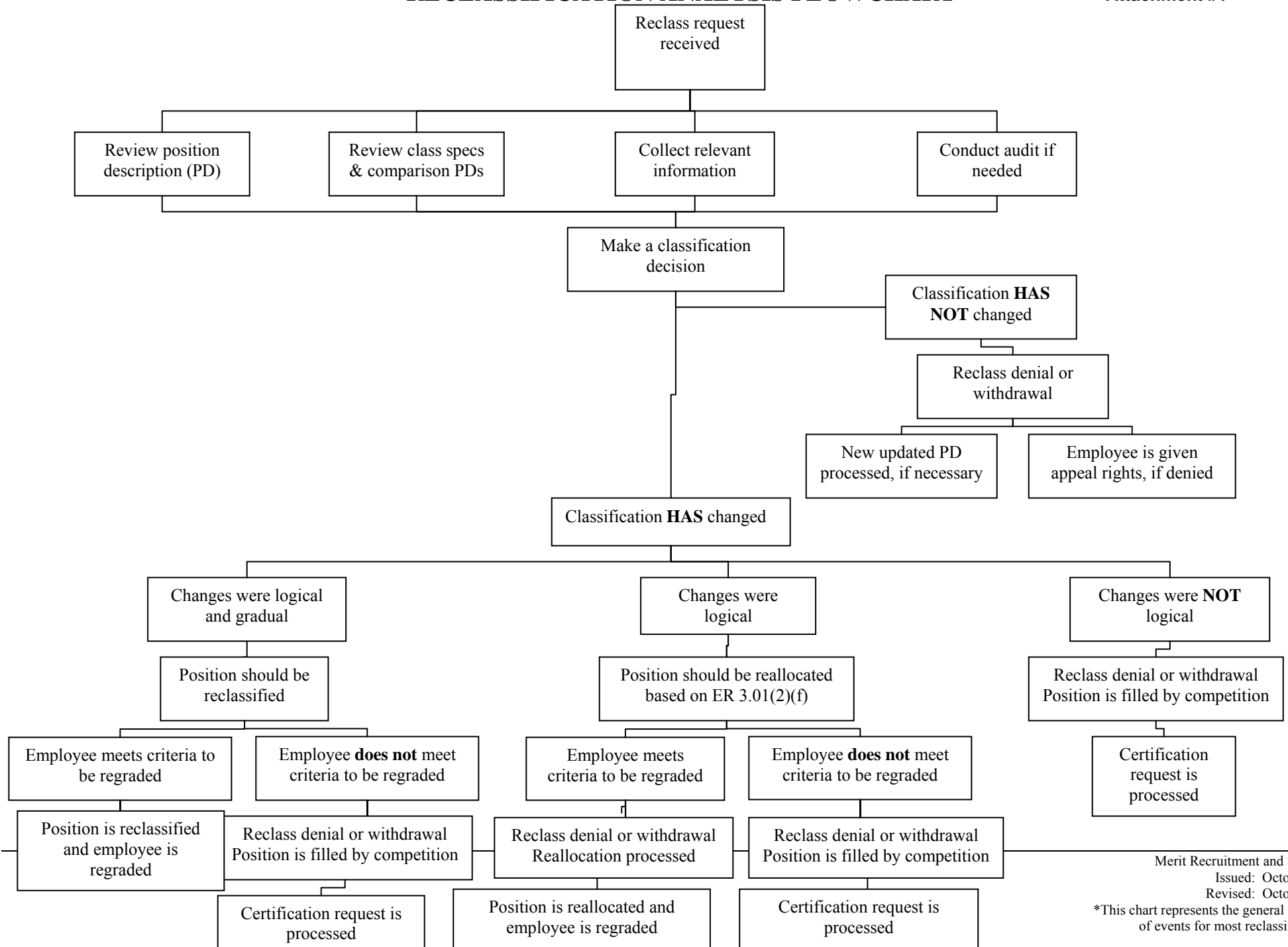
Sec. 370.130 Administrative Information

This chapter replaces Wisconsin Personnel Manual Chapter 332—Job Classification – Policies and Procedures published in 1983 and DER Bulletin CLR/POL-57 published on Effective Dates for Classification Related Actions, which should be discarded.

In October 2011 the chapter was revised to update the address of the Wisconsin Employment Relations Commission, titles of some classifications that are no longer used, remove delegation to the Administrator of the Division of Merit Recruitment and Selection, and make other minor typographical revisions.

RECLASSIFICATION ANALYSIS FLOWCHART*

Attachment #1



Merit Recruitment and Selection
 Issued: October 2006
 Revised: October 2011

*This chart represents the general sequence of events for most reclassifications.

**SAMPLE RECLASSIFICATION DENIAL LETTER
For Delegated and Nondelegated Reclassifications**

Date:

To: Name of Addressee (i.e., person who initiated the request)

From: Auditor Name
Agency Name

Subject: Reclassification Request for (employee's name), # _____

The introductory section should include:

- Name of the employee (unless the memo is addressed to the incumbent).
- Organizational location of the position.
- Current and requested classification levels.
- Date and location of the audit.
- Name of the Auditor.
- Names of other individuals contacted.
- Statement of comparisons to the relevant classification specifications.
- Statement regarding comparisons to comparable and contrasting positions.
- The resulting classification decision.

Next, summarize the duties and responsibilities of the position, citing the goals and important worker activity statements from the old and new position descriptions. Include the dates of the PDs used for the evaluation.

Describe the changes that have occurred to the position since it was last reviewed for classification purposes, including time percentage changes, the addition of new duties, duties that are no longer performed, or how the duties have become more complex.

Cite the relevant classification specifications and compare the new position description to the specifications, including comparisons to the inclusion and exclusion statements, definition language, and representative positions. Clearly explain why the position does not compare favorably to the requested classification specification requirements, citing required classification factors that the position does not meet in terms of scope, impact, complexity, discretion, and accountability. Explain why the position is more appropriately described by the current classification specification, again citing specific language from that specification. In some cases, a classification other than the current or requested class is more appropriate for the position and a detailed explanation should be provided.

Compare the incumbent's position to comparable and contrasting positions both within the incumbent's agency and within other state agencies. For example, if a request for a Human Resources (HR) Specialist–Senior is being denied reclassification to the HR Specialist–Advanced level, the comparable positions would be appropriately classified HR Specialist–Senior positions and the contrasting positions would be HR Specialist–Advanced positions. Specifically explain why the incumbent's position does not compare favorably to the comparison positions in terms of scope, impact, complexity, discretion, and accountability factors described in the classification specification.

Summarize the conclusion reached as a result of the classification analysis.

The final section states the employee's right to appeal the decision to the appropriate authority. (Refer to *Wisconsin Human Resources Handbook* Chapter 370.120 for standard appeal rights language.)

If the Office of State Employment Relations denies the reclassification request, the employee's appeal rights are to the Wisconsin Employment Relations Commission.

Wisconsin Human Resources Handbook

Chapter 504

Official Hourly Rate (OHR)

Sec. 504.010	Introduction	Sec. 504.060	Effective Date of
Sec. 504.020	Statutory and Rule Authority		Compensation Adjustments
Sec. 504.030	Definitions	Sec. 504.070	Referral of Questions
Sec. 504.040	Conversion of OHR to Other Rates	Sec. 504.080	Administrative Information
Sec. 504.050	Pay Adjustments—Calculating a New OHR		

Sec. 504.010 Introduction

The primary use of the Official Hourly Rate (OHR) is for payroll calculation purposes. Classified state employees are paid for hours in pay status each two-week period (i.e., biweekly). It has also been determined by the Department of Administration, Division of Personnel Management that computations of pay rates for most employees subject to this biweekly payroll cycle, who are covered under the Compensation Plan for non-represented employees, are based on the OHR rounded to two decimal places for base pay rates and supplemental pay. The OHR is also used when negotiating pay rates or pay ranges and supplemental pay for represented employees.

Sec. 504.020 Statutory and Rule Authority

Subsection 16.53 (1)(d)(1), Wis. Stats., provides that “. . . the secretary [of the Department of Administration], with the approval of the Joint Committee on Employment Relations, shall fix the time . . . and frequency for payment of salaries due elective and appointive officers and employees of the state. As determined under this subdivision, the salaries shall be paid either monthly, semimonthly or for each 2-week period.”

Subsection 16.53(1)(d)(3), Wis. Stats., provides that “In order to utilize modern accounting methods in processing payrolls, the Department of Administration may convert and adjust salaries of all state officers and employees so that they are payable in equal payments throughout the year. To this end, the secretary may promulgate rules necessary to administer this subdivision.”

The Department of Labor has determined that state employees are paid on a salary basis and therefore, while the OHR methodology is used to calculate wages earned, the consequent hourly rate amount is independent of the Fair Labor Standards Act (FLSA) decision as to whether an employee is considered or treated as an “hourly” employee (non-exempt) or “salaried” employee (exempt). See Chapter 520 – Fair Labor Standards Act (FLSA), of the *Wisconsin Human Resource Handbook* for further information on the Salary Basis Test.

Sec. 504.030 Definitions

1. “**Base pay**” or “**basic pay**” means the pay rate excluding any overtime or supplementary compensation.
2. “**Supplemental pay**” means an amount paid in addition to the base pay in recognition of factors or conditions not reflected in the base pay (e.g., Physician Board Certification Add-On, Supervisor Add-On, Certified Public Accountant Add-On, Certified General Appraiser Add-on, etc.).

Sec. 504.040 Conversion of OHR to Other Rates

In announcing positions and associated pay rates or pay ranges, it may be more appropriate to list a rate or range other than hourly. For example, most professional managerial positions are often announced with annual pay rates or ranges. When converting the OHR to other rates, the following formula is used:

$$\begin{aligned} \text{Biweekly Rate} &= \text{OHR} \times 80 \text{ (hours)} \\ \text{Monthly Rate} &= \text{Divide the annual rate by 12} \\ \text{Annual Rate} &= \text{OHR} \times 2080 \text{ (hours)} \end{aligned}$$

When establishing a biweekly, monthly or annual rate, round to two decimal places using normal rounding procedures (i.e., if the third digit is 5 or greater round up; if the third digit is less than five round down).

Note: Agencies should exercise caution when using bi-weekly, monthly, or annual rates. Rounding and/or using other than actual hours will often result in bi-weekly, monthly, or annual rates that differ from the amount an employee actually receives.

Sec. 504.050 Pay Adjustments—Calculating a New OHR

When an OHR is affected by a pay adjustment, the following rounding procedure is used for both base pay rates and supplemental pay:

The computation is carried out to five decimal places and any digits beyond the fifth decimal place are dropped. If any digit other than zero appears in the third, fourth or fifth decimal column, the digit in the second decimal column is rounded up.

\$.4321012345	Results of Initial Calculation
\$.43210 12345	All digits beyond the 5 th decimal place dropped
\$.432 <u>10</u>	Determine if any positive digit is in the 3 rd , 4 th or 5 th place beyond the decimal
\$.44	Round up the 2 nd digit because there is a positive digit in the 3 rd , 4 th <u>or</u> 5 th place

Note: Use of two decimal places for base pay rates is effective June 28, 2015. For transactions prior to that date or retroactive adjustments prior to that date, base pay rates will be calculated out to three decimal places and then rounded up to two decimal places effective June 28, 2015. Any subsequent adjustments will be calculated as provided above.

Sec. 504.060 Effective Date of Compensation Adjustments

Except as provided in s. 20.923(3), Wis. Stats., all compensation adjustments for state employees shall be effective on the beginning date of the pay period nearest the statutory or administrative date. For employees on a bi-weekly payroll, the administrative effective date is alternating Sundays as published by the Office of the State Controller (Central Payroll Section) in the Department of Administration.

Sec. 504.070 Referral of Questions

Questions should be directed to staff of the Classification and Compensation Section.

Sec. 504.080 Administrative Information

This handbook chapter was originally issued with Bulletin P-862 May 24, 1977 as Chapter 504 of the *Wisconsin Personnel Manual*. This handbook chapter was revised in September 2004 to incorporate the information into the *Wisconsin Human Resources Handbook*.

This handbook chapter was revised July 2015 to implement an Official Hourly Rate of two decimal places instead of three decimal places for base pay rates and the calculation of annual rates based on 2080 hours.

This chapter was revised February 2016 to indicate that monthly rates are to be determined by dividing the annual rate by 12. Pursuant to the changes introduced by 2015 Wisconsin Act 55, 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.

In June 2018, minor updates were made to ensure that the information is current and to update the formatting of the chapter to align with the Wisconsin Human Resources Handbook standards. In May 2017, the Bureau of Compensation and Labor Relations was modified to be the Bureau of Compensation and Employment Relations. Updates were made to reflect this name change.

Chapter 504 was updated in August 2018 to reflect organizational changes that occurred to the Division of Personnel Management in conjunction with the implementation of Shared Services. The Bureau of Compensation and Employment Relations was divided into two separate bureaus: The Bureau of Classification and Compensation and the Bureau of Employee Management.

Wisconsin Human Resources Handbook

Chapter 704

Annual Leave Options

Sec. 704.010	Introduction	Sec. 704.060	Proration
Sec. 704.020	Statutory and Rule Authority	Sec. 704.070	Eligible Employee Notification
Sec. 704.030	Definitions	Sec. 704.080	Referral of Questions
Sec. 704.040	Eligibility	Sec. 704.090	Administrative Information
Sec. 704.050	Available Annual Leave Options		

Sec. 704.010 Introduction

Employee decisions regarding optional use of annual leave accrued during a calendar year must be made prior to the end of that year. In addition to use of annual leave during the calendar year, these options may be in the form of termination leave credits, sabbatical leave credits, and cash payments. The purpose of this chapter is to provide guidance in determining these other annual leave options for eligible employees.

Note: Permanent and Project Crafts Workers are not eligible to convert annual leave to sabbatical/termination leave, per Section K of the Compensation Plan.

Represented public safety employees may have similar annual leave options, but the collective bargaining agreement should always be referenced for specific language regarding the options available to them unless changed by mutual agreement. The proration and notification processes established in this chapter will also apply to represented public safety employees unless otherwise provided for in the applicable collective bargaining agreement or by mutual agreement.

Sec. 704.020 Statutory and Rule Authority

1. “Except as otherwise provided in the compensation plan under s. 230.12:
 - (a) Employees at the 160-hour, 176-hour, or 184-hr rate under sub. (1) or (1m) may, in the year earned, elect to receive not more than 40 of those hours of earned annual leave as credit for termination leave or as accumulated sabbatical leave.
 - (b) Employees at the 200-hour rate under sub. (1) or (1m) may, in the year earned, elect to receive not more than 80 of those hours of earned annual leave among one or more of these options:
 1. Not to exceed 40 hours in cash;
 3. As credit for termination leave;
 4. As accumulated sabbatical leave.
 - (bm) Employees at the 216-hour rate under sub. (1) or (1m) may, in the year earned, elect to receive not more than 120 of those hours of earned annual leave among one or more of these options:
 1. Not to exceed 40 hours in cash.
 2. As credit for termination leave.
 3. As accumulated sabbatical leave.
 - (c) Employees with less than the 160-hour rate under sub. (1) or (1m) who have accumulated, at any time during the employee's continuous state service, a minimum of 520 hours of sick leave may elect to receive not more than 40 hours of earned annual leave as credit for termination leave or as accumulated sabbatical leave or both. An election under this paragraph shall be made in the year in which the annual leave is earned.”
[s. 230.35\(1p\), Wis. Stats.](#)

2. Provisions similar to those in s. 230.35(1p), Wis. Stats., are provided in s. ER 18.02(5)(a), (b), and (bm), Wis. Adm. Code.
3. “The number of hours available for use under (a), (b), and (bm) shall be prorated at the pertinent annual leave rate or rates for employees who work less than 2080 hours during the calendar year.” (These are references to Adm. Code provisions, not the statutory paragraphs quoted in 1., above.)
[s. ER 18.02\(5\)\(c\), Wis. Adm. Code.](#)

Sec. 704.030 Definitions

1. **Base Pay:** “The pay rate excluding any overtime or supplementary compensation.” [s. ER 1.02\(5\), Wis. Adm. Code](#)
2. **Employee:** “Means any person who receives remuneration for services rendered to the state under an employer-employee relationship in the classified or unclassified civil service except:
 - (a) Elected officials;
 - (b) Employees of the University of Wisconsin system;
 - (c) Unclassified staff of the legislature not identified under s. 20.923 (4), Stats.;
 - (d) Unclassified staff of a legislative service agency under subch. IV of ch. 13, Stats.;
 - (e) Stenographers employed under s. 230.08 (2)(g), Stats; and
 - (f) Staff of the state court system.”
[s. ER 18.01\(2\), Wis. Adm. Code](#)
3. **Sabbatical Leave:** “Annual leave which was deferred during the year earned to be used in a subsequent year to extend the annual leave, unless used for termination leave.” [s. ER 18.01\(7\), Wis. Adm. Code](#)
4. **Termination Leave:** “Annual leave which was deferred during the year earned to be used in a subsequent year to extend an employee’s termination date or for payment in a lump sum upon termination.” [s. ER 18.01\(8\), Wis. Adm. Code](#)

Sec. 704.040 Eligibility

The annual leave options covered in this chapter are only applicable to individuals who meet the definition of “employee” in section 704.030 of this handbook chapter. In addition, Limited Term Employees are not eligible for annual leave benefits.

All employees who earn annual leave at or above the 160-hour rate, and employees at less than the 160-rate who have accumulated a minimum of 520 hours of sick leave, are eligible to exercise annual leave options.

To gain eligibility by accumulating sick leave, the employee must have a sick leave balance of at least 520 hours at the end of the October “B” payroll period in the current year. Once an employee gains eligibility in this manner, the eligibility continues even if the employee’s accumulated sick leave balance subsequently drops below 520 hours. If the employee moves to another agency, the eligibility designation will move with them in STAR HCM.

An employee who gained eligibility by accumulating sick leave does not gain an additional 40 hours after attaining the 160-hour rate of earned annual leave.

The options for which a represented public safety employee is eligible will be determined based on the provisions of the collective bargaining agreement on the date eligibility is determined.

Sec. 704.050 Available Annual Leave Options

Annual leave options available to eligible employees are those provided in s. 230.35(1p), Wis. Stats. (See section 704.020 of this handbook chapter.) Options available to eligible represented public safety employees may be similar, but see the collective bargaining agreement for variance from the statutory provisions.

Decisions on annual leave options must be made by an employee prior to the end of the calendar year. If an employee fails to meet this deadline, the annual leave shall be treated as though the options were not available. If an employee chooses the cash option, the amount should be included in the last paycheck of the calendar year.

Note: Section 40.02(22)(b)(11), Wis. Stats., excludes cash payments as leave options and lump sum payments at termination for unused leave credits (including sabbatical and termination leave credits) from the definition of “earnings” for retirement purposes. Therefore, no retirement earnings or service credits are generated on such payments. However, when sabbatical and termination leave credits are used as deferred annual leave or to extend an employee’s termination date, the leave does generate retirement earnings and service credits.

Cash-out payments shall be based on an employee’s **base pay rate** as of December 31 of the calendar year for which the option is taken.

Sec. 704.060 Proration

In accordance with s. ER 18.02(5)(c), Wis. Adm. Code, annual leave options of eligible employees “shall be prorated at the pertinent annual leave rate or rates for employees who work less than 2080 hours during the calendar year.” A proration of leave options is required if an eligible employee works part-time or has been on an unpaid leave of absence during the calendar year.

Proration for **all** eligible full-time employees may be necessary anytime a new annual leave rate is reached during a calendar year. However, no proration is necessary for full-time employees if eligibility is based on the accumulation of 520 hours of sick leave. Also, no proration is necessary in the calendar year a full-time employee reaches the 160-hour rate if the employee is also eligible due to sick leave accumulation.

Employees who begin a calendar year at a level not allowing a cash-out but reach a cash-out level during the calendar year may convert to cash only those hours generated for use after reaching the cash-out level.

To determine the number of annual leave hours available for use under various options, Central Payroll performs the following calculation:

1. Estimate regular hours worked (excluding overtime and compensatory time) based on leave allocation hours.
2. Multiply the result of step 1 by the following conversion factors for full-time positions:
 - a. 40 divided by 2080 = 0.019231
 - b. 60 divided by 2080 = 0.028846
 - c. 80 divided by 2080 = 0.038462
 - d. 120 divided by 2080 = 0.057692
3. Round the hours calculated to whole hours by dropping all fractions of an hour.

However, these proration calculations often need manual adjustments by agency payroll staff to reflect a more accurate estimate of hours based on information that is unavailable to Central Payroll or cannot be included in the system’s calculation.

The following chart provides examples of annual leave option proration.

	Hrs worked at 184 hr rate	Hrs avail for use at 184 hr option		Hrs worked at 200 hr rate	Hrs avail for use at 200 hr option		Max hrs term/sabb option*	Max hrs cash option*
Employee A	1040	20		1040	40		60	40
Employee B	1560	30		520	20		50	20
Employee C	520	10		0	0		10	0
Employee D	N/A	N/A		1040	40		40	40

* Total combined hours used under the termination/sabbatical options and the cash payment option may not exceed the **lesser** of the following amounts:

1. Whole hours available for utilization under the applicable contract or rules/statutes; or
2. Whole hours of unused leave.

Sec. 704.070 Eligible Employee Notification

Each agency, under the instructions from Central Payroll, shall provide eligible employees with written verification of the number of annual leave hours available for option election based on information available at the end of the October “B” payroll period each calendar year. Agencies shall adjust this number if the employee’s level of annual leave earned changes between the October “B” payroll period and the end of the calendar year or for any other reason instructed by Central Payroll. As mentioned in other parts of this chapter, other manual adjustments by the agencies may be necessary for factors of which Central Payroll either is not aware or cannot implement in the payroll system.

An employee option selection for a cash payment must be made by a date set and communicated by Central Payroll to be included in the last payroll check of the calendar year.

Sec. 704.080 Referral of Questions

Questions should be directed to staff of the Bureau of Classification and Compensation, Division of Personnel Management, in the Department of Administration.

Sec. 704.090 Administrative Information

This handbook chapter was revised November 25, 1992, to extend the annual leave options based on accumulation of 520 hours of sick leave to certain represented employees. The purpose of this revision is to update the chapter based on changes to annual leave schedules, eligibility and option amounts that have been made to the statutes and various collective bargaining agreements since that date.

This handbook chapter was revised June 2018 to generally remove distinctions between represented and non-represented staff. Pursuant to the changes introduced by 2015 Wisconsin Act 55, 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. Additionally, in May 2017, the Bureau of Compensation and Labor Relations was modified to be the Bureau of Compensation and Employment Relations. This chapter was updated to reflect the changes in terminology that resulted from the organizational restructuring and the bureau name change. The chapter is also updated to reflect the change to using 2080 hours instead of using 2088 hours for calculating sabbatical pro-rations.

Chapter 704 was updated in August 2018 to reflect updates to Ch. ER 18, Wis. Adm. Code for the definition of employee and inclusion of the 184-hour rate to match statute. Additionally, the chapter was updated to reflect

organizational changes that occurred to the Division of Personnel Management in conjunction with the implementation of Shared Services. The Bureau of Compensation and Employment Relations was divided into two separate bureaus: The Bureau of Classification and Compensation and the Bureau of Employee Management.

Wisconsin Human Resources Handbook

Chapter 764

Reimbursement for Applicant's Travel Expense

Sec. 764.010	Introduction
Sec. 764.020	Statutory Authority
Sec. 764.030	Basic Concepts
Sec. 764.040	Procedures
Sec. 764.050	Administrative Information

Sec. 764.010 Introduction

This handbook chapter provides administrative guidance on the payment for reimbursement of applicant travel expenses. Reimbursements may be made to applicants for all or part of actual and necessary travel expenses incurred in connection with oral examination and employment interviews.

Sec. 764.020 Statutory Authority

Section 20.916 (2), Wis. Stats., and Section F 11.00 of the Compensation Plan provide reimbursement for all or part of actual, reasonable, and necessary travel expenses incurred by an applicant in connection with reporting for and participating in oral examinations and employment interviews for positions in State Civil Service.

Sec. 764.030 Basic Concepts

1. Reimbursement may be made only if it is necessary for effective recruitment, and shall conform to the travel schedule amounts established for state employee travel expenses. Payment of expenses must be consistent with the applicable provisions of section 20.916, Wis. Stats., and must be made in accordance with the established agency plan assuring equitable treatment of all candidates.
2. A plan for applicant travel reimbursement should be made for each position to be filled if it is determined that reimbursement is appropriate. Each applicant must be notified of the specific reimbursement plan before the expenses are incurred.
3. The agency determines if applicants are to be reimbursed for travel expenses incurred during the participation of an examination or interview.
4. All candidates must be given the same consideration in accordance with an agency plan for determination of such reimbursement. Each plan must include specific guidelines assuring equitable treatment. For example:
 - a. Reimburse each applicant for travel expenses in excess of \$25.00.
 - b. Partially reimburse each applicant for travel expenses by paying a specified amount, such as \$100, or varying the flat grant depending upon distance traveled to the exam or interview site.

Sec. 764.040 Procedures

1. Agency
 - a. Determine that reimbursement of applicant's travel expenses is appropriate in accordance with the criteria cited in 20.916, Wis. Stats.
 - b. Prior to the exam and/or interview, develop a plan to include supporting justification to meet the criteria for reimbursement prior.
 - c. Notify candidates of the requirements for reimbursement of travel expenses, including the address to which two signed copies of the Travel Voucher (DOA-6107) and supporting receipts must be sent when the travel is completed.
 - d. Process the submitted Travel Voucher (DOA-6107), Taxpayer Identification Number (TIN) Verification form (DOA-6448) along with any supporting receipts in order to make a payment directly to the applicant.
 - e. Submit any modifications to the Taxpayer Identification Number (TIN) Verification form (DOA-6448) to the State Controller's Office - Division of Executive Budget and Finance.
2. State Controller's Office - Division of Executive Budget and Finance

Process all modifications to the information provided in the Travel Voucher Taxpayer Identification Number (TIN) Verification form (DOA-6448).

Sec. 764.050 Administrative Information

This handbook chapter was updated to post electronically. No administrative changes were made since last revised on May 3, 1983, to give agencies delegation for authorizing and reimbursing applicants for travel expenses consistent with the provisions in 20.916, Wis. Stats.

In June 2018, minor updates were made to ensure that the information is current and to update the formatting of the chapter to align with the Wisconsin Human Resources Handbook standards. In May 2017, the Bureau of Compensation and Labor Relations was modified to be the Bureau of Compensation and Employment Relations. Updates were made to reflect this name change.

Chapter 764 was updated in August 2018 to reflect organizational changes that occurred to the Division of Personnel Management in conjunction with the implementation of Shared Services. The Bureau of Compensation and Employment Relations was divided into two separate bureaus: The Bureau of Classification and Compensation and the Bureau of Employee Management.

Wisconsin Human Resources Handbook

Chapter 104

Procedures for Staffing Permanent Positions

Sec. 104.010	Introduction	Sec. 104.100	Post Certification Activities
Sec. 104.020	Statutory and Rule Authority	Sec. 104.110	Staffing Records and Retention
Sec. 104.030	Definitions	Sec. 104.120	Administrative Information
Sec. 104.040	Timeline to Fill a Vacancy	Attachment #1	Sample Recruitment Checklist
Sec. 104.050	Options to Fill a Vacancy	Attachment #2	Selection Assessment Strategy
Sec. 104.060	Preparation for Recruitment	Attachment #3	Sample Confirmation of Participation
Sec. 104.070	Recruitment Activities		
Sec. 104.080	Assessment Administration, Evaluation, and Registers		
Sec. 104.090	Certification		

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

Job/Working Title:		Recruitment ID/Cert#:				Job Announcement Code:			
Hiring Manager (HM):		HR Specialist:				Recruitment Type:			
Date Request To Fill (RTF) Initiated:		Career Executive ___ Yes ___ No Staffing Delegation ___ Yes ___ No Classification Delegation ___ Yes ___ No Pre-Cert Background Check ___ Yes ___ No				___ Transfer ___ Related Register ___ Open			
Date Approved To Fill:	Date Certification Requested:					___ Disabled Veteran ___ ER-MRS 27 ___ W-2			
Date Cert Due:	Date Cert Created:					Transfers: ___ must take assessment			
Date First Offer Due:	Date of First Offer:					# of Vacancies:			
						Cert Rule:			
Task		HM	HR	AA	DPM	Timeframe/Requirements		Planned	Actual
Preliminary Activities									
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.			
Cert Request to Cert Created									
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						
Cert Created to Offer									
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.

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

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)
Initial assessment <i>(required)</i>	1.	Choose an item.	Choose an item.	1.
	2.	Other:	Choose an item.	2.
	3.		Other:	3.
	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.
2nd Level Human Resources Review:		

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)
Additional assessment <i>(optional – add additional as appropriate)</i>	1.	Choose an item. Other:	Choose an item. Other:	1. 2. 3.
	2.			
	3.			
	4.			
Initial interview <i>(required)</i>	1.	INTERVIEW	MTA, A, LTA	1. 2. 3.
	2.			
	3.			
	4.			
Additional interview <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.

Date:	Human Resources Specialist:
Date:	2nd Level Human Resources Review:

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.

Wisconsin Human Resources Handbook

Chapter 116

Probationary Periods

Sec. 116.010	Introduction	Sec. 116.070	Positions Brought Into Classified Service
Sec. 116.020	Statutory and Rule Authority	Sec. 116.080	Dismissal While on Probation
Sec. 116.030	Definitions	Sec. 116.090	Administrative Information
Sec. 116.040	Probationary Periods	Attachment #1	Probationary Periods
Sec. 116.050	Lengthened Probationary Periods		
Sec. 116.060	Extensions of Probationary Periods		

Sec. 116.010 Introduction

This chapter provides guidance and information related to probationary periods. The purpose of a probationary period is to evaluate an employee's performance to determine if the person is effectively able to carry out the assigned duties and responsibilities on a continuing basis. The employee attains permanent status in class upon successful completion of the probationary period. This handbook chapter provides guidance on the required probationary periods for original, promotional, and permissive probationary periods. Information on extended and lengthened probationary periods is also included. Trial periods for Career Executive positions are covered in Chapter 156 – Career Executive Employment, of the *Wisconsin Human Resources Handbook*.

Sec. 116.020 Statutory and Rule Authority

1. All original and all promotional appointments to permanent, sessional and seasonal positions in the classified service must serve a one year probationary period. However, the administrator may extend the probationary period for a maximum of 12 additional months. Probationary periods for an individual with a disability may be extended for up to one additional year (not to exceed 2 years). (Reference [s. 230.28, Wis. Stats](#) and Ch. [ER-MRS 13, Wis. Adm. Code](#).)
2. “The administrator may authorize a longer probationary period not to exceed 2 years for any administrative, technical or professional position, in order to provide the appointing authority assurance that the employee has had adequate exposure to the various responsibilities which are a part of the position or classification.” s. 230.28(1)(b), Wis. Stats.
3. Section 230.046(2), Wis. Stats., states, in part, that “After initial appointment to a supervisory position, each appointing authority shall ensure that each classified service supervisor successfully completes a supervisory development program.”
4. “An employee who transfers between agencies **may** be required by the appointing authority to serve a probationary period, **except** that a probationary period **shall be** required upon transfer to any position identified in s. ER-MRS 13.02(1) . . .” (Emphasis added). See s. ER-MRS 15.03, Wis. Adm. Code. See below for reference to s. ER-MRS 13.02(1), Wis. Adm. Code.
5. “In the case of an understudy, intern, trainee, student cooperative program or an apprentice appointment, the probationary period shall be lengthened by the total length of such understudy, intern, trainee, student cooperative program or apprentice period.” s. ER-MRS 13.02(1), Wis. Adm. Code

6. “An employee who transfers between different employing units of the same agency may be required by the appointing authority to serve a probationary period, except that a probationary period shall be required upon a transfer to a trainee position. If the transfer is to a position in a different class and no probationary period resulting from the transfer is required, the employee shall immediately attain permanent status in class. An employee who transfers while serving a probationary period may continue in the probationary status being served prior to transfer or begin a new probationary period under s. ER-MRS 15.07.” s. ER-MRS 15.04(1), Wis. Adm. Code
7. “An employee currently serving a permissive probationary period or an employee not currently serving a probationary period who is involuntarily transferred will not be required to serve a probationary period and the employee shall immediately attain permanent status in class.” s. ER-MRS 15.04(2), Wis. Adm. Code
8. A person who previously obtained permanent status in class and reinstates to an agency other than the one from which the person earned reinstatement eligibility or to a different employing unit in the same agency may be required by the appointing authority to serve a probationary period. However, a person shall not be required to serve a probationary period when reinstated to the same employing unit from which the person earned reinstatement eligibility and shall immediately attain permanent status in the class, except that a probationary period may be required for reinstatement to a supervisory or management position in accordance with the provisions of s. 230.28 (4), Wis. Stats. See s. ER-MRS 16.04(1), Wis. Adm. Code
9. “If the voluntary demotion is to a position in the same employing unit no probationary period for employment in the lower class may be required, except that a probationary period shall be required upon a voluntary demotion to a trainee position and a probationary period may be required upon voluntary demotion to a supervisory or management position in accordance with the provisions of s. 230.28(4) Wis. Stats. If the employee is not required to serve a probationary period, the employee immediately attains permanent status in class in the class to which voluntarily demoted.” s. ER-MRS 17.04 (3)(b), Wis. Adm. Code
10. “If the voluntary demotion is to a position in a different employing unit, the employee may be required by the appointing authority to serve a probationary period, except that a probationary period shall be required upon voluntary demotion to a trainee position. If the employee is not required to serve a probationary period, the employee immediately attains permanent status in class in the class to which voluntarily demoted.” s. ER-MRS 17.04 (3)(c), Wis. Adm. Code
11. “An employee who has completed a trial period [in a career executive position], upon transfer to a new agency, may be required by the appointing authority at the receiving agency to serve a permissive probation of up to 12 continuous months. At any time, during the permissive probationary period, the receiving agency may remove the employee from the career executive position without right of appeal. Any other removal or discharge during the probationary period shall be subject to s. 230.34, Stats. Termination of the permissive probationary period shall be in accordance with s. ER-MRS 13” s. ER-MRS 30.06(3), Wis. Adm. Code

Sec. 116.030 Definitions

The following are definitions of terms used in this Chapter.

1. **Appointing authority:** “. . . [T]he chief administrative officer of an agency unless another person is authorized to appoint subordinate staff in the agency by the constitution or statutes. s. 230.03(4), Wis. Stats.
2. **Extended Probationary Period:** The extension of the time period during which an employee’s performance is evaluated upon appointment to a position. The extended period provides the employee with additional time to show that he/she is capable of performing the duties satisfactorily.
3. **Lengthened Probationary Period:** A longer approved probationary period for administrative, technical, and professional positions when the normal (12-month) probationary period will not provide the employee with adequate exposure to the responsibilities of the position.

4. **Permanent Appointment:** “. . . [T]he appointment of a person to a classified position in which permanent status can be attained.” s. ER-MRS 1.02(20), Wis. Adm. Code
5. **Permanent Status:** “. . . [T]he rights and privileges attained upon successful completion of a probationary period or career executive trial period required upon an appointment to permanent, seasonal or sessional employment.” s. ER-MRS 1.02(22), Wis. Adm. Code
6. **Position:** “. . . [A] group of duties and responsibilities in either the classified or the unclassified divisions of the civil service, which require the services of an employee on a part-time or full-time basis.” s. 230.03(11), Wis. Stats.
7. **Probationary Period:** The time period during which an employee's performance is evaluated after appointment to a position and prior to attaining permanent status.

Sec. 116.040 Probationary Periods

1. A one year probationary period, at a minimum, is required for all original and promotional appointments to positions in the classified service. See ss. 230.28 (1)(a) & (am), Wis. Stats. and ss. ER-MRS 13.02 and 13.03, Wis. Adm. Code
2. The duration of a permissive probation period, when required, shall be for one year, except that the last 6 months may be waived by the appointing authority. s. ER-MRS 13.02, Wis. Adm. Code.
3. Any probationary period, no matter how long, is for the employee to show that he or she is capable of doing the job for which he or she was hired. The expectation of any new employee is successful completion of the probationary period. A supervisor shall complete performance evaluations of the employee's work throughout the duration of the probationary period, normally at 3 month intervals.
4. The final evaluation will occur far enough in advance of the probationary period end date to permit sufficient time for a decision to be made and written notice provided (s. ER-MRS 13.09, Wis. Adm. Code) to the employee regarding whether the employee will successfully complete probation. Unless the employee is formally provided notice of failure to meet probationary status in advance of the end date, the employee will have attained permanent status in class.
5. An employee must be notified of the probationary period to be served. This information will be provided in the letter confirming an appointment. Section. ER-MRS 12.08, Wis. Adm. Code, states, “Confirmation of appointment shall be in writing by the appointing authority and shall be provided to the employee no later than the first day of employment. Such letter of appointment shall include conditions of employment such as starting date, rate of pay, and probationary period to be served.”
6. Employees who transfer or demote in lieu of layoff may be required to serve a probationary period. (See ss. ER-MRS 22.08(1) and (2), and chs. ER-MRS 15 and 17, Wis. Adm. Code, for requirements for the fulfillment of probationary periods.) See also Chapter 232—Permanent Layoff of Nonrepresented Employees of the *Wisconsin Human Resources Handbook*.
7. An employee may be released from a probationary period at any time. See Section 116.080 of this chapter for more information on Dismissal While on Probation. .

Note: See Attachment #1 for a chart on probationary periods including requirements pertaining to probationary periods on transfer, reinstatement, or voluntary demotion.

Sec. 116.050 Lengthened Probationary Periods

1. Lengthened probationary periods for administrative, technical, and professional positions may be established for up to two years.
2. Lengthened probationary periods may be approved when the normal (12-month) probationary period will not provide the employee with adequate exposure to the various responsibilities assigned to the position.
3. To obtain approval, a written request will be submitted to BMRS prior to beginning any recruitment activities for the position(s), allowing enough time for review and decision making before recruiting for the position(s). Without exception, a written request must be submitted no later than prior to certification of applicants per s. ER-MRS 13.02, Wis. Adm. Code. The request will:
 - a. Identify the position(s);
 - b. Provide evidence establishing that a standard 12-month period is insufficient for exposing the employee to the various responsibilities of the position(s); and
 - c. State the desired length of the probationary period.
4. Include information in the job announcement regarding the duration of the lengthened probationary period.
5. Approved requests for lengthened probationary periods can be applied to subsequent positions for a period of five years from the approval date of the initial request.
6. The appointing authority will notify the individual hired for a position of the lengthened probationary period.

Note: Notification must occur before or at the time an offer of appointment is made. The letter of appointment, as required under s. ER-MRS 12.08, Wis. Adm. Code, shall include the length of probation required.

7. The appointing authority may waive a portion of the lengthened probationary period of an employee, provided at least 12 months have been served. In addition, the appointing authority will provide the employee written notification prior to the effective date of the waiver. Agencies shall maintain copies of the documents relating to any probationary waivers granted by the appointing authority.

Sec. 116.060 Extensions of Probationary Periods

While a one year probationary period is required for all original and promotional appointments to positions in the classified service, occasionally the need to provide the employee with additional time to show whether he or she is capable of performing the duties of the position satisfactorily is needed. This means the appointing authority may want, or need, to extend an employee's probationary period. Extensions may be provided under the provisions below.

1. Sections 230.28(1)(a) and (am), Wis. Stats., establishes the authority of the BMRS Director to extend for up to 12 additional months any original or promotional probationary period in accordance with the rules. Extensions can be based on factors such as:
 - a. An unanticipated change in the program or duty assignment.
 - b. Substantial change in performance of the employee.

Note: An unanticipated change in duty assignment may occur due to an approved "light duty assignment" permitted as the result of employee injury. In the event light duty is assigned and the modified duties will not permit sufficient opportunity to evaluate the employee's ability to successfully perform the intended duties and essential job functions, an extension may be warranted.

2. Extensions under ss. ER-MRS 13.02(2)(a) and (b), Wis. Adm. Code are not available in cases in which the employee is already serving a lengthened probation period or permissive probationary period.

3. Section 230.28(1)(bm), Wis. Stats., allows the administrator, “[a]t the request of an appointing authority and an employee, . . . [to] authorize . . . an extended probationary period of up to one additional year for an individual with a disability, as defined in s. 111.32(8), Wis. Stats, who is the employee to allow the employee to do any of the following:
 - a. Complete any necessary comprehensive or vocational rehabilitation program.
 - b. Obtain or adapt to special modifications made to the employee’s workplace to accommodate the employee’s disability.
 - c. Achieve the knowledge, skills and abilities to competently perform the required tasks for the position for which the employee is appointed.”

In addition, s. ER-MRS 13.05, Wis. Adm. Code, provides that extending a probation due to absences greater than the allowable threshold of 348 hours is mandatory only when the probation being served is a required probation under s. ER-MRS 13.03, Wis. Adm. Code; i.e. original and promotional. Extending a probation under this provision is discretionary when the probation is permissive, provided that at least 6 months of the permissive probation is served, consistent with s. ER-MRS 13.02 (4), Wis. Adm. Codes. Extensions must be timely. Written notice of the extension must be delivered to the employee prior to completion of the last assigned day of work , regardless of whether the last day of work occurs on or before the last day of the probationary period. If timely notice is not provided, the employee attains permanent status in class. (See s. ER-MRS 13.09, Wis. Adm. Code.) If the employee is granted a leave of absence during a probationary period, the approval to the employee will include a statement advising that the probation may be impacted by duration of the leave and the employee will be provided notice of any such extension upon return.

4. Agencies shall maintain copies of the documents relating to any probationary extensions granted.

Sec. 116.070 Positions Brought Into Classified Service

1. Section 230.15(1m)(a), Wis. Stats., indicates that whenever the state becomes responsible for a function previously administered by another governmental agency or a quasi-public or private enterprise, or when positions in the unclassified service (excluding employees of the legislature) are determined to be more appropriately included in the classified service the affected positions will be included in the classified service. When this occurs, the administrator may waive the requirement to compete for the position and certify the employee for appointment to the position.
2. The director will determine the employee’s probationary status. However, the employee will receive credit toward his or her probationary period for the time that he or she had been employed in the position immediately prior to appointment as required by ss. 230.15(1m)(c), Wis. Stats., and ER-MRS 13.045, Wis. Adm. Code.

Sec. 116.080 Dismissal While on Probation

1. In accordance with s. ER-MRS 13.08, Wis. Adm. Code, the appointing authority may dismiss an employee without the right of appeal during the probationary period. Dismissal shall not be made on a discriminatory basis as defined under ss. 111.31 to 111.395, Wis. Stats.
2. When a probationary employee is dismissed, the appointing authority shall immediately provide written notice to the employee of the reasons for dismissal, the date of dismissal, and that the employee may be restored to the register from which he or she was appointed, if it still exists, upon request to and with the approval of the director s. 230.28(3), Wis. Stats. A copy of the notice shall be sent to the director.
3. When an employee with permanent status is dismissed while on probation under provisions of ss. ER-MRS 14.03 or 15.055, Wis. Adm. Code, the employee shall also be notified whether the employee will be restored

to the employee's former position, or to a position assigned to a class with the same pay range or counterpart pay range.

4. If an employee was terminated during a probationary period due to a pending layoff prior to July 1, 2016, and is later reinstated, the time served may be carried over at the discretion of the new appointing authority. However, if an employee resigns during a probationary period and is later reappointed from the same employment register, the time served will not be carried over. ss. ER-MRS 13.05(3) and (4), Wis. Adm. Code

Sec. 116.090 Administrative Information

This chapter was originally issued in February 1981 as part of the *Wisconsin Personnel Manual*.

It was revised and issued in June 2003 for the *Wisconsin Human Resources Handbook*. The chapter reflects current procedures and incorporates policy information from Bulletins MRS-15 dated November 12, 1984, and MRS-213, dated April 10, 2001. Bulletins MRS-15 and MRS-213 are now obsolete.

In September 2003, the chapter was revised to incorporate a statement regarding probationary periods for employees who transfer or demote in lieu of layoff.

Changes were made to the chapter in October 2003 to correct erroneous information regarding a probationary period for employees who transfer from a non-supervisory to a supervisory position. Section 116.060 has been updated to reflect that employees who transfer within an employing unit are not required to serve a probationary period but those who transfer to a different employing unit may serve a probationary period, at the appointing authority's discretion.

In May 2004, the chapter was updated to reflect that approved requests for lengthened probationary periods can be applied to subsequent positions for a period of five years from the approval date of the initial request.

The chapter was updated in August 2004, to remove an incorrect statement under Section 116.070 regarding employees who take a transfer or promotion to a different agency and are placed on a lengthened probationary period. Employees that transfer or promote do not have restoration rights back to their former agency.

In August 2018, the chapter was updated in accordance with 2015 Wisconsin Act 150, s. 230.28, Wis. Stats. and Administrative Code codes changes to ER-MRS 13, ER-MRS 14, ER-MRS 16, ER-MRS 15, and ER-MRS 17. There is no longer a significant distinction between probation for general classified positions and supervisory or management positions. As a result, sections were restructured to provide general guidance regarding probationary periods. A section on extensions of probationary periods was also added to provide clarity, including additional information regarding effects of "light or modified duty" on probation. With the publication of this chapter, Bulletin OSER-0049-MRS is obsolete. A section on dismissal during probation was also added to the chapter.

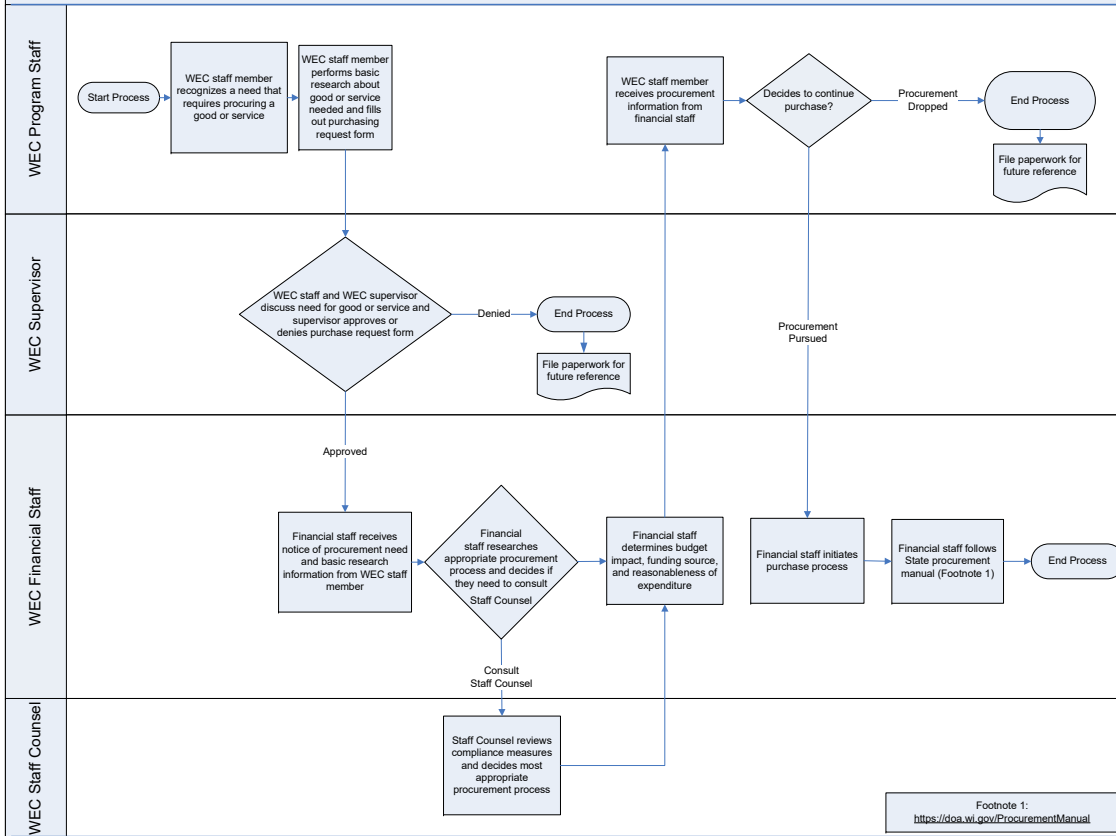
PROBATIONARY PERIODS

1. A one year probationary period is required for all original and promotional appointments to positions in the classified service.
2. Sections 230.28(1)(a) & (am), Wis. Stats., establishes the authority of the BMRS Director to extend probationary periods for up to 12 additional months.
3. Section 230.28(1)(bm), Wis. Stats., allows the director to extend a probationary period of up to one additional year for a person with a disability.
4. Successful completion of supervisory training is required after initial appointment to supervisory positions under s. 230.046(2), Wis. Stats., regardless of probationary status.

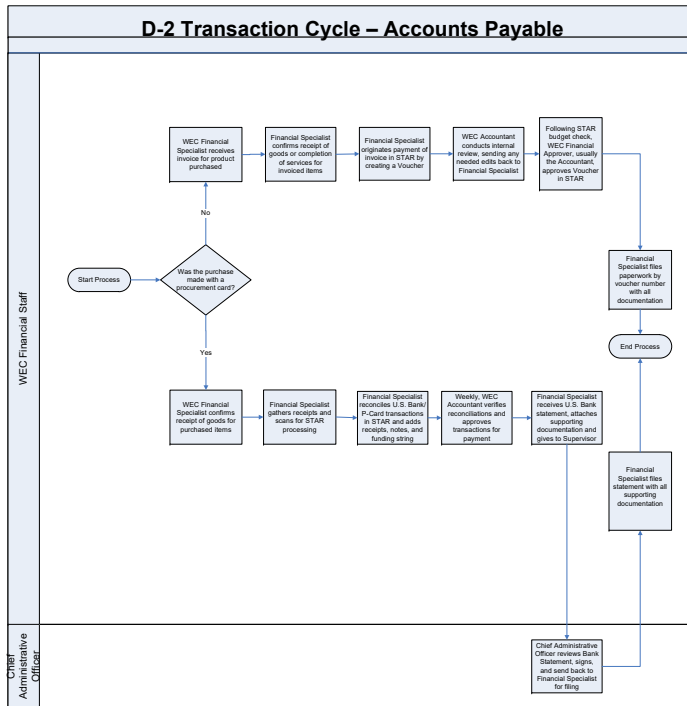
Type of Appointment	Within Agency		Between Agencies
	Within Employing Unit	Between Employing Units	
Original & Promotional	One year probation, which cannot be waived.	Same	Same
Voluntary Transfer	No probation permitted* if permanent status has been obtained by completing an initial probationary period or if involuntarily transferred. If serving a probationary period in the unit, time already served shall be carried over. ss. 230.28(4), Wis. Stats., and ER-MRS 15.03, 15.04, and 15.05 Wis. Adm. Code	1. Probation is permissive. s. 230.28(4), Wis. Stats. 2. If probation required, it is 12 months, any portion may be waived after 6 months served.	1. Probation is permissive. s. 230.28(4), Wis. Stats. 2. If probation required, it is 12 months, any portion may be waived after 6 months served.
Reinstatement	No probation permitted if reinstated to the same employing unit and permanent status previously held in the unit except that a probation may be required for reinstatement to a supervisory or management position in accordance with s. 230.38 (4), Wis. Stats. If separated, prior to July 1, 2016 during probation, appointing authority may carry over time already served if within 5 years of separation. s. ER-MRS 16.04(2), Wis. Adm. Code	1. Probation is permissive. s. 230.28(4), Wis. Stats. 2. If probation required, it is 12 months, any portion may be waived after 6 months served.	1. Probation is permissive. s. 230.28(4), Wis. Stats. 2. If probation required, it is 12 months, any portion may be waived after 6 months served.
Voluntary Demotion	No probation permitted.* Cannot demote unless permanent status gained at higher level. s. ER-MRS 17.04(3)(b), Wis. Adm. Code	Probation is permissive. s. ER-MRS 17.04(3)(c), Wis. Adm. Code	Probation is permissive. s. ER-MRS 17.04(3)(c), Wis. Adm. Code
Positions Brought Into Classified Service	One year probation, but credit will be applied for time worked in the position prior to appointment. ss. 230.15, Wis. Stats., and ER-MRS 13.045, Wis. Adm. Code		

* Probation is required upon transfer or demotion to a trainee position and may be permissive under s. 230.28(4), Wis. Stats for employees who transfer or demote under limited circumstances to a supervisory or management position.

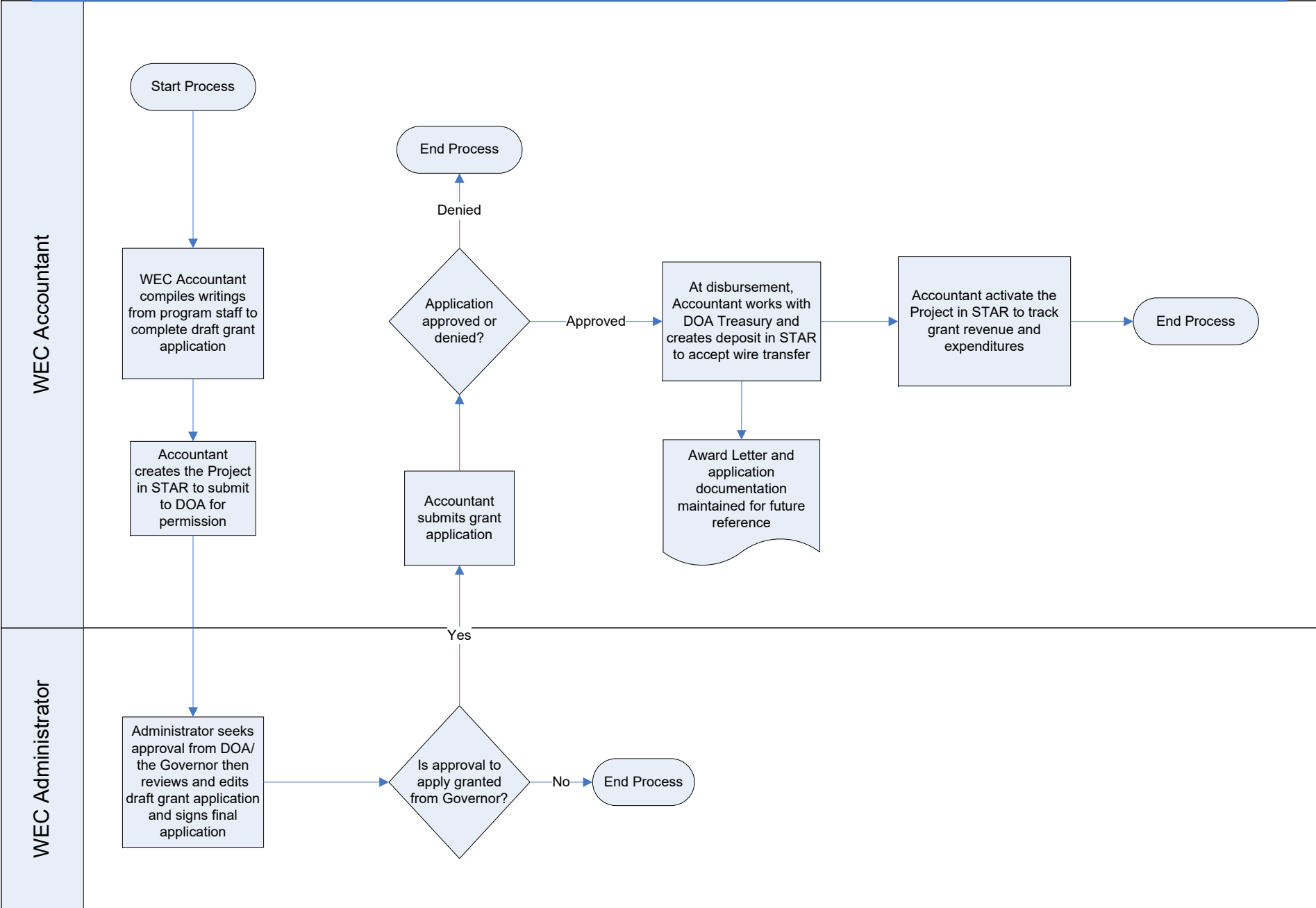
D-1 Transaction Cycle – Purchasing Approval



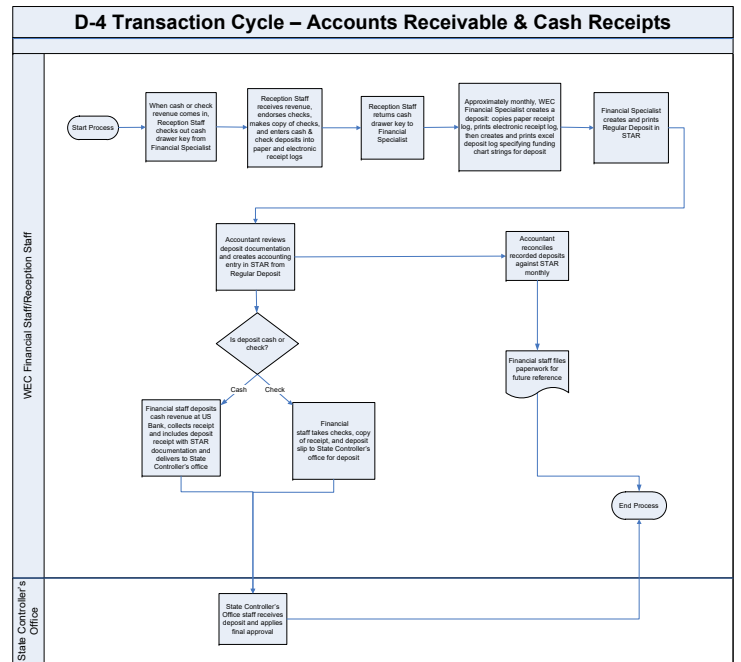
D-2 Transaction Cycle – Accounts Payable



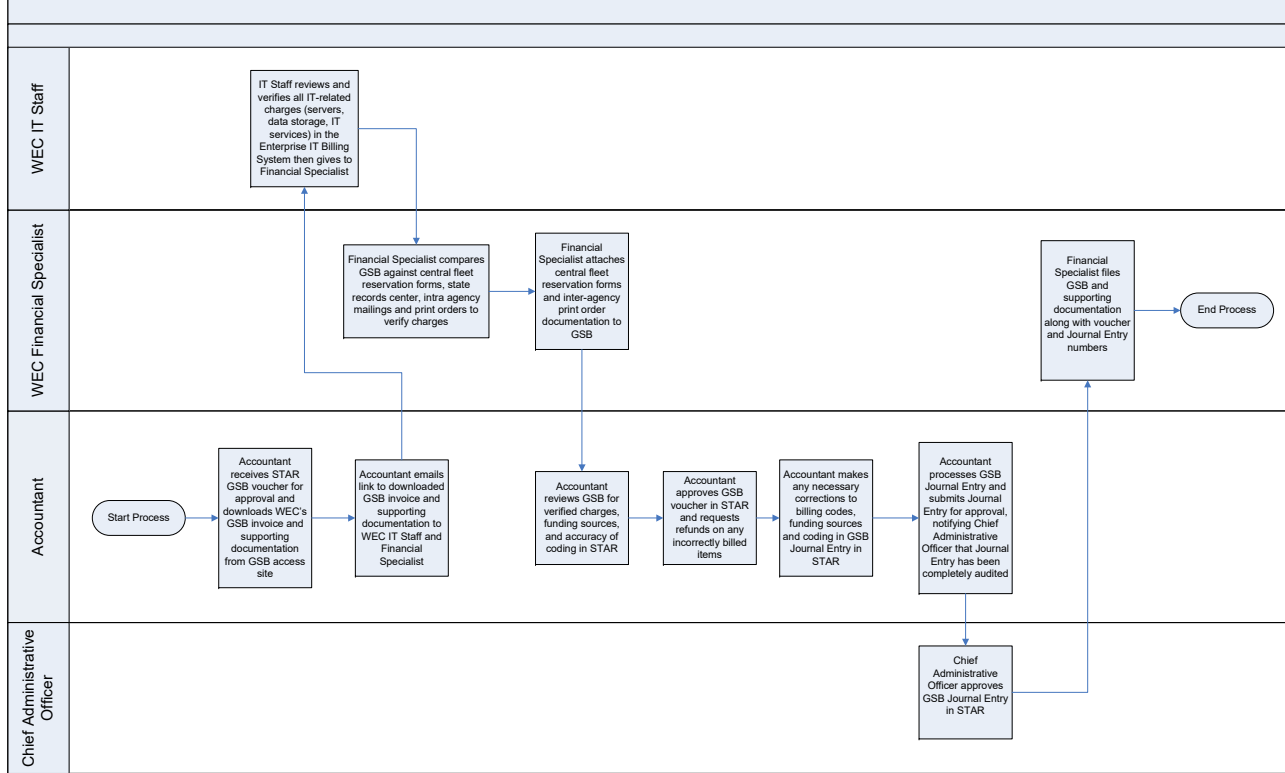
D-3 Transaction Cycle – Cash Disbursements (Grants)



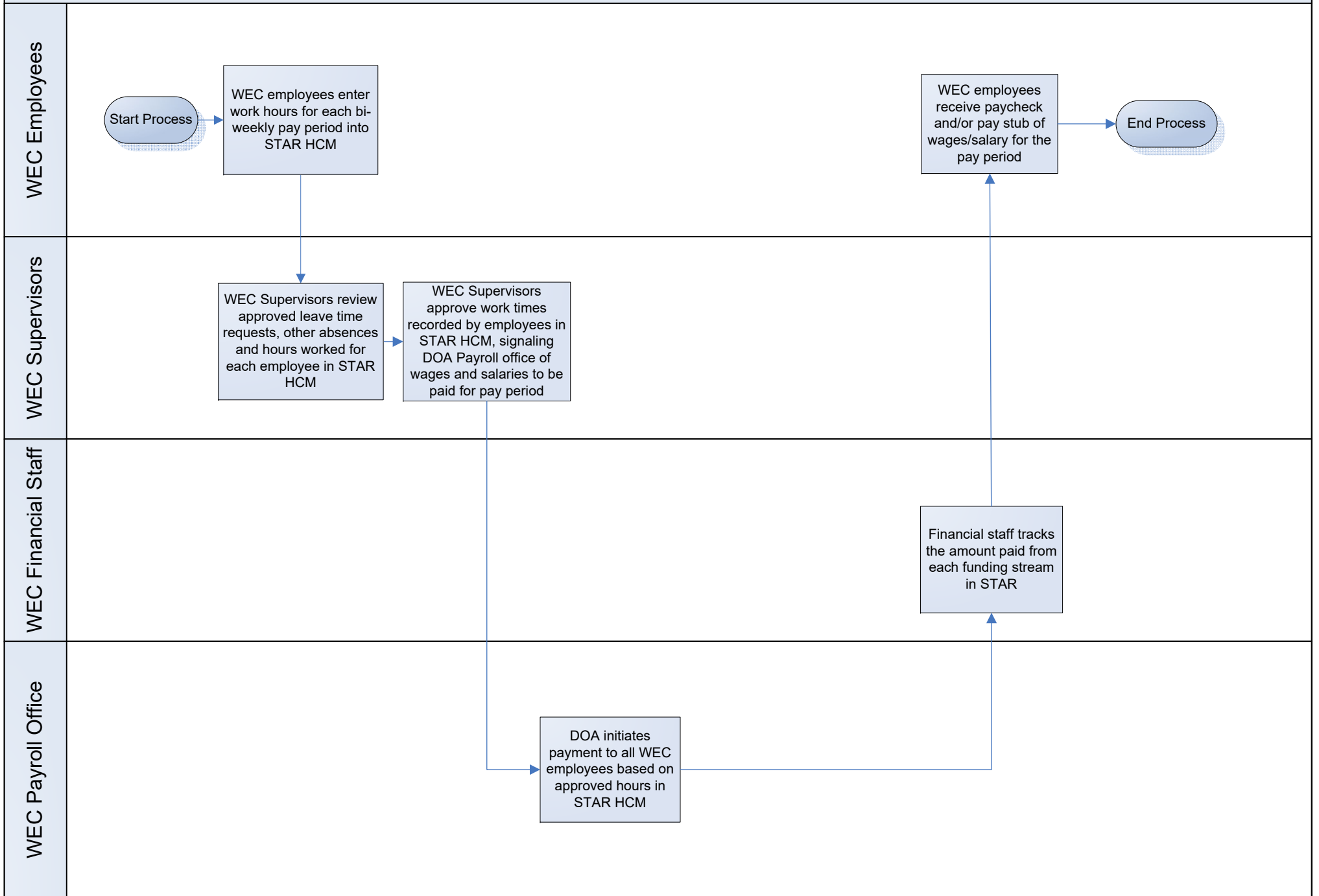
D-4 Transaction Cycle – Accounts Receivable & Cash Receipts



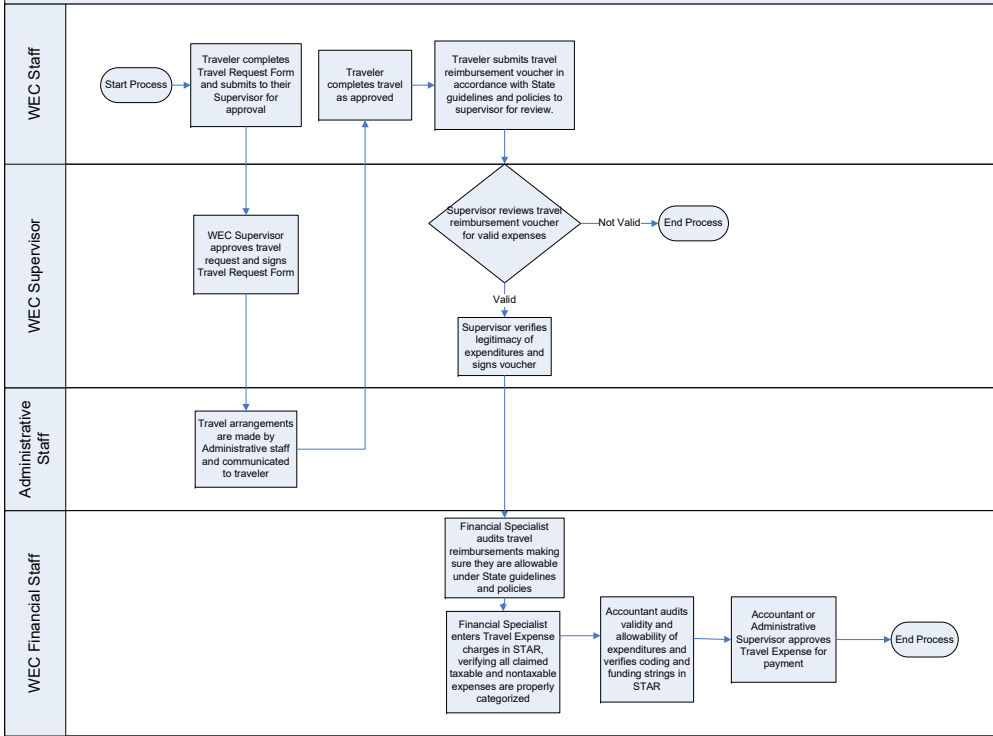
D-5 Transaction Cycle – General Services Billing (GSB)



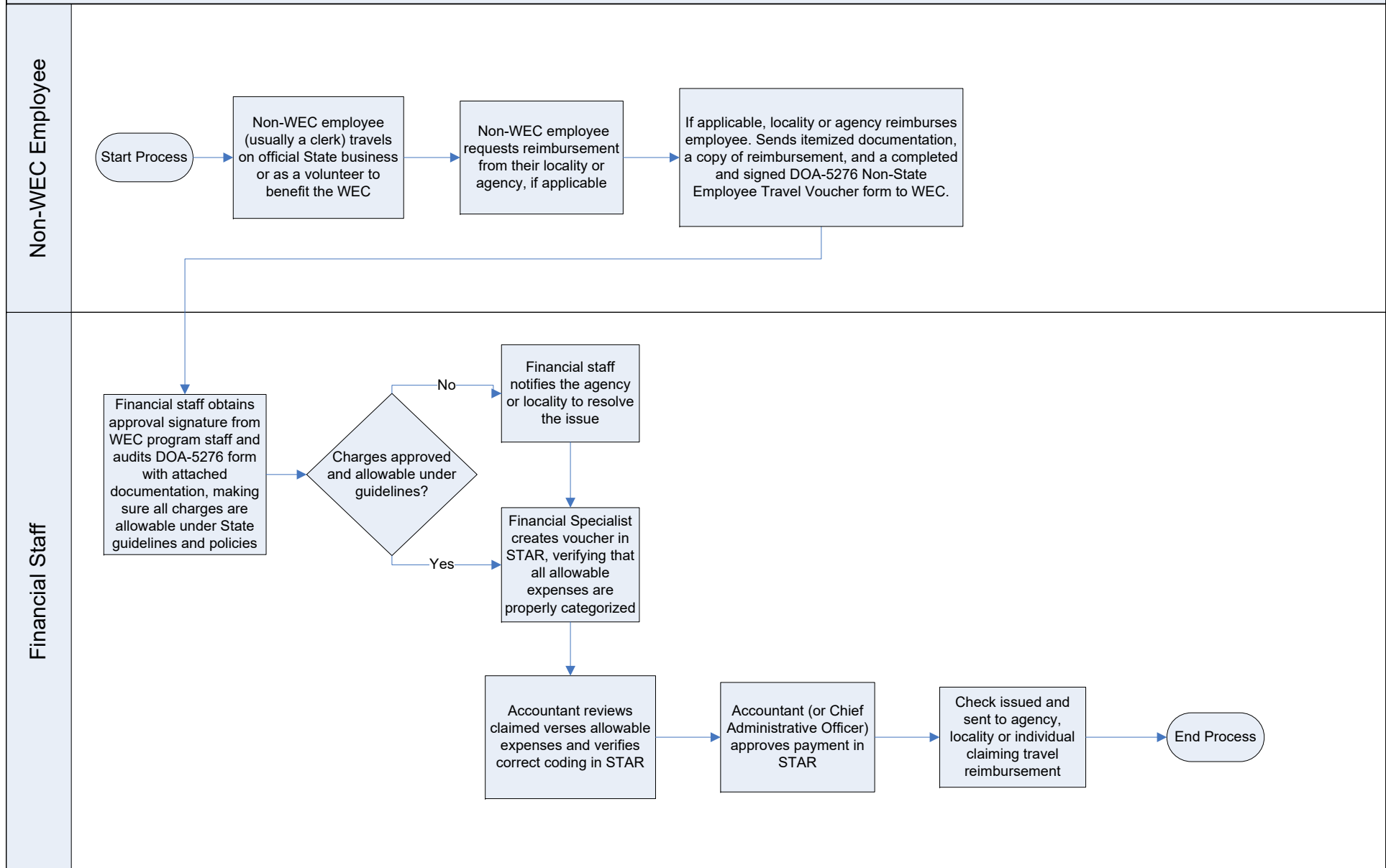
D-6 Transaction Cycle – Payroll

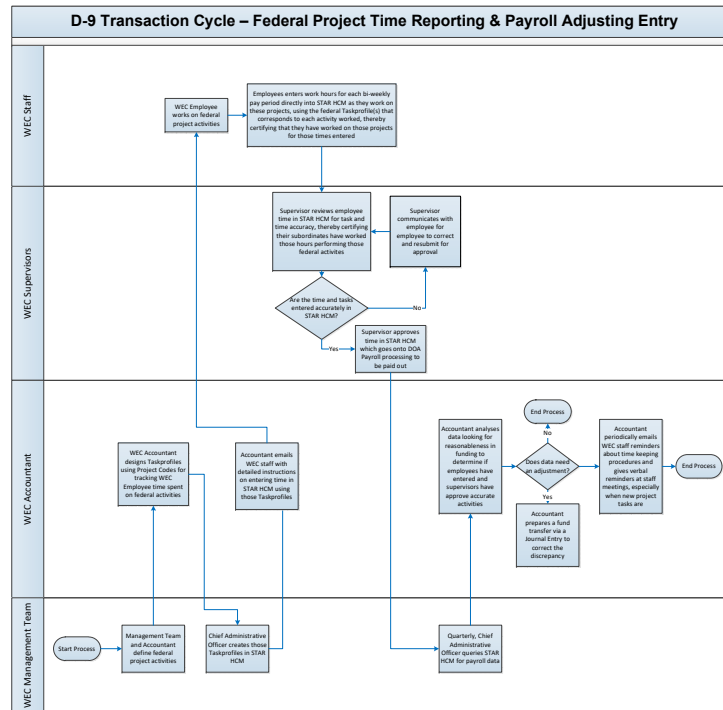


D-7 Travel Reimbursement for Employees

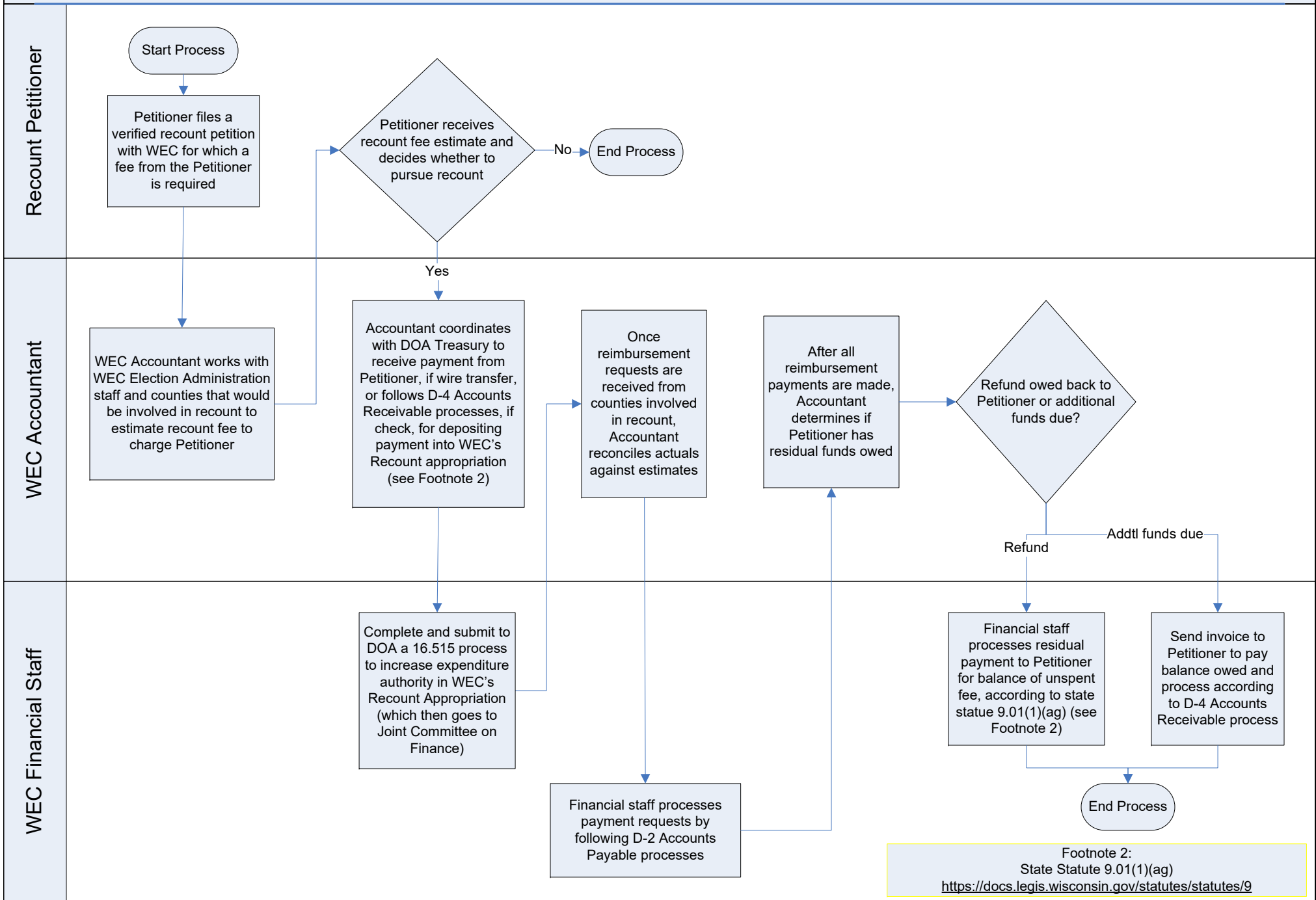


D-8 Transaction Cycle – Travel Reimbursement for Non-Employees





D-10 Transaction Cycle – Recount for Office



Footnote 2:
 State Statute 9.01(1)(ag)
<https://docs.legis.wisconsin.gov/statutes/statutes/9>

Wisconsin Elections Commission
Appendix G- Purchasing Cardholders by Program
As of May 11, 2021

Cardholder Name	P-Card Name	Funding String	Per Transaction Limit	Credit Limit	Date Issued	Last four digits
Tiffany Schwoerer	Admin/ES	510100 & 510182	\$ 5,000	\$ 10,000	05/08/2012	3832
John Hoeth	Admin/ES	510100 & 510182	\$ 5,000	\$ 10,000	09/06/2017	5411
Jacob Walters	Admin/ES	510100 & 510182	\$ 5,000	\$ 10,000	11/12/2019	610

Wisconsin Elections Commission
Rules Regarding Partisan Activity of Commission Staff
Adopted December 14, 2016

The staff of the Wisconsin Elections Commission shall be nonpartisan pursuant to Wis. Stat. ss. 5.05(2m) and 5.05(4). Political neutrality is imperative so staff can maintain the confidence of the Commission, the individuals and organizations that the Commission regulates, and the public. Therefore, all staff members are prohibited from participating in any political activity that compromises the ability of that person to discharge with neutrality, efficiency, and integrity his or her duties and obligations to the Commission.

Employees who wish to participate in any political activities shall disclose their intentions to the Administrator. If the Administrator decides an employee's involvement may reasonably compromise the employee or the Commission, the Administrator will review the situation and make a determination as to whether the involvement in the political activity is appropriate. The Administrator may also authorize employees to participate in certain activities that have a business purpose consistent with the agency's mission, that have historical significance, or are merely collateral to a prohibited political activity.

Employees are strongly encouraged to consult with the Administrator prior to any activity that may be perceived as compromising the employee's ability to objectively perform their official responsibilities.

In addition to the provisions of Wis. Stat. s. 230.40, prohibited activities include, but are not limited to the following:

1. Being a candidate for any partisan office (national, state, or local).
2. Being a member of any national, state, or local political party.
3. Directly or indirectly soliciting, receiving, or making contributions to any political party or partisan candidate for public office.
4. Soliciting votes in support of or in opposition to any party or partisan candidate for public office.
5. Circulating or signing nomination papers or petitions, including recall petitions, for partisan political office.
6. Serving as an agent of any political party or partisan candidate in any capacity (e.g., polling place observer, delegate, partisan poll worker, or get out the vote activities).
7. Publicly supporting or opposing a partisan candidate for public office or political party office, or making statements regarding partisan candidates or elected

officials in a political advertisement, broadcast, campaign literature, social media, or similar material or forum.

Seeking Elective Office

Any employee who wishes to run for partisan elective office must take an unpaid leave of absence effective from the time nomination papers can first be circulated, and must resign (or be terminated) if and when such nomination papers are filed.

Any employee who files a campaign registration statement to register as a candidate for partisan elective office prior to the time that nomination papers can first be circulated shall report that filing to the Administrator, who shall place the employee on unpaid leave until the nomination papers are filed or until the employee is no longer a candidate for partisan office.

In addition to avoiding partisan activities, staff should also avoid running for nonpartisan office if the Commission is the filing officer for that contest. This would put the staff member in the position of enforcing campaign finance regulations upon her or his own committee, or against potential opponents. Any employee seeking a nonpartisan office where the Commission is the filing officer is required to take an unpaid leave of absence from the time the employee files a campaign registration statement until the employee is no longer a candidate. If the employee is elected, the employee shall resign or be terminated.