

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. 104.040	Timeline to Fill a Vacancy	Sec. 104.120	Administrative Information
Sec. 104.050	Options to Fill a Vacancy	Attachment #1	Sample Recruitment Checklist
Sec. 104.060	Preparation for Certification	Attachment #2	Job Analysis
Sec. 104.070	Recruitment Activities	Attachment #3	Selection Assessment Strategy
Sec. 104.080	Assessment Administration, Evaluation, and Registers		
Sec. 104.090	Certification	Attachment #4	Sample Confirmation of Participation

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

Note: Wisconsin Statute Chapter 230 was modified as a result of 2015 Wisconsin Act 150 to remove most references to examination and replace it selection process or competitive procedures. At the time of publication, the Rules of the Director (ER-MRS) had not been updated to reflect such changes. Where the Rules of the Director (ER-MRS) contain reference to “examination” or “test,” and where appropriate, a modification was made in the authority below.

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), 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. “All original and all promotional appointments to permanent, sessional and seasonal positions, with the exception of those positions designated as supervisor or management under s. 111.81, in the classified service shall be for a probationary period of one year, but the director at the request of the appointing authority and in accordance with the rules related thereto may extend any such period for a maximum of 12 additional months . . . All probationary periods for employees in supervisory or management positions are one year. . . The director may authorize a longer probationary period not to exceed 2 years for any administrative, technical or professional position . . .” s. 230.28, Wis. Stats.
11. “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.
12. “The director shall establish criteria for evaluating applicant qualifications and shall require the same or equivalent [assessment] 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.)
13. “[Assessments] may include any technique or techniques which the director deems appropriate to evaluate applicants.” s. ER-MRS 6.05(2), Wis. Adm. Code.

14. "All [assessments] 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 on the [assessment] 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 on the [assessment] are related to skills and knowledges which differentiate among levels of job performance if the [assessment] results are to be used as a basis for ranking candidates;
 - 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.
15. "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.
16. "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.
17. "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 interview, face to face interview, another post-cert assessment, etc.).
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 situations 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. 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(s) applied pass/fail or eligible/not eligible criteria to applicants and 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(22), Wis. Adm. Code

Sec. 104.040 Timeline to Fill a Vacancy

Pursuant to the changes introduced by 2015 Wisconsin Act 150, the timeline for filling a classified vacancy is reduced from 105 days to 60 days. By statutory provision, 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.

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 retains authority to ensure agencies are meeting the 60 day requirement. Excess of 60 days 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.

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.** Agencies may announce a 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.)

Note: 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 these transfers to a point of contact to provide guidance in lieu of providing the instruction or detail in the job announcement.

Personnel actions in which an employee is transferred from one classification title to the same classification title within the same employing unit, or agency, and the employee receives an increase in pay should occur infrequently. However, in the instance the transaction does occur it is delegated to the agency, providing

appropriate documentation supporting the transfer transaction exists. Documentation must include the information listed below and must be maintained by the agency and available for review by the Division of Personnel Management (DPM) for a period of four years from the date of the delegated transaction decision. Required documentation includes:

- Date of transaction
- Employee Name
- Classification Title
- Documentation/Justification for the transfer transaction (i.e., 50% new duties; significant changes to the level of complexity, responsibility or impact of the position; a different program area or focus).
- Name of the HR representative(s) that performed and approved the analysis.

Note: Involuntary transfers are not delegated and require review and authorization of the director before such an action is initiated.

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: 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](#) – Reinstatement, Restoration and Related 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. Use of a related register outside of the same classification or series requires BMRS approval. Use of a related register between agencies requires BMRS approval. (See form DOA-155516; Request to Use a Related Register.)

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.
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 Certification

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; formerly OSER-DCLR 10) 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 Procedure and Assessment Options, 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 equivalent 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. (See [Chapter 370](#)—Classification Policies and Procedures, of the *Wisconsin Human Resources Handbook* for correct procedures to follow to obtain classification approval.)
- 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 Compensation and Labor Relations. (See [Chapter 560](#) of the *Wisconsin Human Resources Handbook* regarding raised minimum rates and [Chapter 508](#) of the *Wisconsin Human Resources Handbook* regarding hiring above the minimum.)
- d. 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 using the Job Analysis form (Attachment #2 DOA-15335). (See [Chapter 176](#) – Competitive Selection Procedure and Assessment Options, of the *Wisconsin Human Resources Handbook* for more detail.)
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 Job Analysis and Selection Assessment Strategy forms may be reused to fill a subsequent vacancy provided both documents are still relevant and appropriate. This is established by 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 Job Analysis, determine whether any changes are necessary and document the review.

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](#) 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.

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 knowledge, skills, and abilities from the position description documented as “minimum qualifications” and “preferred qualifications”. Announcements include 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 of Bureau of Affirmative Action (BAA) 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 AA is involved in the recruitment strategy at the agency level. The process might include quarterly meetings between AA and HR, regular review of recruitment efforts by AA, or in the event the agency has HR staff provide AA support additional outreach to BAA.

3. Random Rank. Certain job classifications may be approved to be filled from an applicant register generated by a computerized random ranking process. These job classifications require applications and a resume (or resume equivalent). (See [Chapter 176](#) – Competitive Selection Procedure and Assessment Options, of the *Wisconsin Human Resources Handbook* for more information on using Random Rank.)
4. 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*.)
5. Centered Assessment Scheduling. Scheduling assessments at centers for existing and anticipated vacancies is based on agency needs and the capacity of the center. For more information, contact the BMRS Exam Administration Unit.

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 Procedure and Assessment Options, 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 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 and Assessment Options. 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 #4).
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. The register may include rank of all applicants who receive a passing score when a score is utilized. Registers are active for a period of three months to three years from the date they are established. Length of time is determined based on the type of assessments utilized to create the register. (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*.)

1. Basic Certification. Provides that the top ranking applicants from an employment register are referred to an appointing authority to be considered for filling a vacancy. (See s. 230.25(1), Wis. Stats.)
2. Expanded Certification. Additional names of eligible candidates who are members of targeted groups may be added to the basic certification list in order to comply with an approved affirmative action plan. Effective July 1, 2016, up to 3 additional names are referred for consideration from 6 specific categories pertaining to veterans, disabled veterans and their spouses (VET). Up to three names of persons who have a disability and have competed in the assessment process and passed (DEC); up to three names of persons belonging to a racial or ethnic group (MEC); up to three names of persons of a specified gender (WEC); or all persons who have a disability and have been waived from taking the assessment may be added under certain conditions (DEL). Consult [Chapter 212](#)—Certification, of the *Wisconsin Human Resources Handbook* for information and details on certification procedures. (See s. 230.25(1g), (1m), and (1n), Wis. Stats. and ch. ER-MRS 12.07, Wis. Adm. Code)

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 216](#) – Interviewing and Final Hiring Process, 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. (See [Chapter 216](#) – Interviewing and Final Hiring Process, of the *Wisconsin Human Resources Handbook* for more information.)

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), Veteran Status and Veteran Disability 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, race/ethnicity, 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, 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 sent no later than the employee's first day of employment.
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. In staffing vacancies, agencies may have varying degrees of involvement with BMRS, depending on the level of delegation or type of recruitment and assessment. The hiring agency is responsible for maintaining all the records as well as copies of any relevant documents created as part of the staffing process, including those created or approved by DPM (e.g., class approvals, job analysis, selection assessment strategy, statistical analysis, etc.). (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;
 - b. Job Analysis;
 - c. The assessments tools used to measure the criteria identified from the job analysis, including all benchmark criteria used to evaluate applicants;
 - d. Job Expert Certificate (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. Reports of Action for certified applicants;
 - k. Documentation of applicant disposition notification;
 - l. 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.

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 ___ Disabled Veteran ___ ER-MRS 27 ___ W-2			
Date Approved To Fill:	Date Certification Requested:					Transfers: ___ must take assessment			
Date Cert Due:	Date Cert Created:					# of Vacancies:			
Date First Offer Due:	Date of First Offer:					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 Job Analysis, 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 & Job Analysis form.	X	X	X		HR and AA will review assessment tools for approval.			
Cert Request to Cert Created						30 calendar day limit from Date Cert Requested to Date 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						30 calendar day limit from Date Cert Created to Date First Offer Due			
15.	Apply additional assessment(s), if applicable. <i>(Repeat #13, enter and analyze)</i>	X	X			Screen may be applied prior to or 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 (BAA specified options) and hiring justification (recommended) for the recommended hire to HR for approval.			
18.	Conduct background check. 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 (BAA specified options).			
Comments:									

STATE OF WISCONSIN
DEPARTMENT OF ADMINISTRATION
DIVISION OF PERSONNEL MANAGEMENT
DOA-15535 (C07/2016)
S. 230.43, WIS. STATS



Job Analysis

The job analysis is used to establish job criteria for use in all phases of candidate assessments. This form establishes the documentation of these criteria and thus serves as the validity foundation. By addition of their name to the form the HR Specialist is signifying understanding and agreement of the confidentiality of the job analysis process including relay of these expectations to the job expert.

Classification/Series: _____

Working Title: _____

HR Specialist: _____

Job Expert Resource: _____

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 preferred qualifications for use in additional assessment of the candidates. Document both sets of criteria on the position description (PD) and attach.*

Step 2. *Convert statements from the PD into criteria to assess training, experience, knowledge, skill or ability for minimum qualification or preferred qualification. Avoid State specific knowledge to ensure a more open selection process. Include a reference to the source statement (task, KSA, etc.) below or within the PD.*

Required Criteria: a candidate is **required** to have the following training, experience, knowledge, skill or ability in order to meet the minimum qualifications of the position.

1. **Criteria:** _____

2. **Criteria:** _____

3. **Criteria:** _____

4. **Criteria:** _____

Notes: _____

Preferred Criteria: the following additional training, experience, knowledge, skill or ability are preferred in order to determine **most or best qualified** from among the candidates who met minimum qualifications.

1. **Criteria:** _____

2. **Criteria:** _____

3. **Criteria:** _____

4. **Criteria:** _____

Notes: _____

Step 3. *Identify differentiating criteria (training, experience, knowledge, skill or ability) for use in determining level placement of candidate when recruiting for multiple levels of the same classification series.*

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:** _____

The Job Analysis form is developed for each position being filled. It may be used to fill subsequent vacancies in the same position provided the job expert (supervisor) reviews and agrees the criteria are appropriate. It may also be used to filled additional positions in the same classification. The HR Specialist is responsible for maintaining this verification by documenting on the Job Analysis Review – Subsequent Administration form or by obtaining email authorization.

STATE OF WISCONSIN
DEPARTMENT OF ADMINISTRATION
DIVISION OF PERSONNEL MANAGEMENT
DOA-15536 (C07/2016)
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 from the job analysis (DOA-15535). The HR Specialist is responsible for ensuring these two critical elements are appropriately linked in order to establish the basis for validity. DPM recommends the HR Supervisor or a second HR Specialist review both documents to confirm adherence to these standards. Copies of each assessment tool are attached to this form for documentation. See also WHRH 104 and 216 for additional information.

Classification/Series:			Working Title (If applicable):			
Assessment Type	Criteria Assessed – Indicate (R) or (P)	Assessment Tool	Scale Used	Selection Process Placement	Certification Rule	Participants (Identify diverse participants with an asterisk where needed)
Initial assessment <i>(required)</i>	1.	Choose an item. Other:	Other:	Pre-Certification	Other:	1.
	2.					2.
	3.					3.
Additional assessment <i>(optional – add additional as appropriate)</i>	1.	Other:	Other:	Pre-Certification	Other:	1.
	2.					2.
	3.					3.
Additional assessment <i>(optional – add additional as appropriate)</i>	1.	Other:	Other:	Post Certification	N/A	1.
	2.					2.
	3.					3.
Initial interview <i>(required)</i>	1.	Other:	Other:	Post Certification	N/A	1.
	2.					2.
	3.					3.
Additional interview <i>(optional – add additional as appropriate)</i>	1.	Other:	Other:	Post Certification	N/A	1.
	2.					2.
	3.					3.
Final verification process	<input type="checkbox"/> Reference Checks Required (Supervisor or Equivalent if no work experience) <input type="checkbox"/> P-file review (required when candidate s current or former employee) <input type="checkbox"/> Conviction Record review (check if appropriate) <input type="checkbox"/> Selective Service Registration			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.

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

Attachment #4

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.