



AGENDA OF THE PROTECTION AND POLICY COMMITTEE

**MONDAY, SEPTEMBER 23, 2019, 5:30 PM
CITY HALL, ROOM 207**

A. Roll Call.

B. Approval of the Agenda.

C. Approval of Minutes.

- I. Approval of the minutes from the September 9, 2019 Protection & Policy Committee meeting.

D. Regular Business.

- I. Consideration with possible action on a request by Richard Craniums at 840 S. Broadway to temporarily extend their licensed premises to their parking lot on September 29 from noon to 6 p.m. for an event. (The Protection & Policy Committee has been granted final approving authority on liquor license related matters until October 1, 2019.)
2. Consideration with possible action on an application for a Class "A" Beer and "Class A" Liquor license for Dolgencorp, LLC at 1641 Main St.
3. Consideration with possible action on the following statewide General Records Schedules:
 - (1) Administrative and Related Records
 - (2) Budget and Related Records
 - (3) Facilities Management and Related Records
 - (4) Fiscal and Accounting and Related Records
 - (5) Fleet and Aircraft Management Records
 - (6) Human Resources and Related Records
 - (7) Information Technology and Related Records
 - (8) Payroll and Related Records
 - (9) Purchasing and Procurement Records
 - (10) Risk Management and Related Records

4. Consideration with possible action on General Ordinance No. 21-19, an ordinance to repeal section 15.54 and to create section 15.83(1)(a) of the Green Bay Municipal Code, relating to building code.
5. Consideration with possible action on an appeal by Carlos Morales at 525 Victoria St. regarding his re-inspection fees.
6. Consideration with possible action on a request by Ald. Brian Johnson to review internal policies related to recording orders made on properties to ensure documented transfer when ownership changes.
7. Consideration with possible action on a request by Ald. Steuer to revisit our city sign ordinance as it pertains to advertising signage on city property, specifically athletic fields and venues.

E. Informational.

- I. The Liquor Violation report for the September 23, 2019 meeting.

F. Adjournment.

- 1) THIS MEETING IS RECORDED: THE VIDEO OF THIS MEETING AND MINUTES ARE AVAILABLE ONLINE AT www.greenbaywi.gov
- 2) ACCESSIBILITY: Any person wishing to attend who requires special accommodation because of a disability, should contact the City Safety Manager at 920-448-3125 at least 48 hours before the scheduled meeting time so that arrangements can be made.
- 3) QUORUM: Please take notice that a majority or quorum of the Common Council will attend this Protection and Policy committee meeting and will constitute a meeting of the Common Council for purposes of discussion and information gathering relative to this agenda.
- 4) REPRESENTATION: The party requesting the communication, or their representative, should be present at this meeting.
- 5) FOR ALL LICENSING ISSUES, the Committee may potentially convene in closed session pursuant to §19.85 (1)(b) and/or §19.85 (1)(f) Wisconsin Statutes, for the purpose of considering information with respect to licensing for a person. The applicant has the right to demand that the meeting be held in open session. The applicant may also request that the meeting be held in closed session. The Committee may, thereafter, reconvene in open session pursuant to §19.85(2) Wisconsin Statutes to report any actions taken during the closed session and to consider all other matters on the agenda. If there are any questions regarding the agenda, please call Jaime, City Clerk's Office, at 448-3011.



Report to the
Protection and Policy Committee
of the City of Green Bay

MEETING DATE

September 23, 2019

PREPARED BY

AGENDA ITEM # C.I.

Approval of the minutes from the September 9, 2019 Protection & Policy Committee meeting.

BACKGROUND

RECOMMENDATION

FISCAL IMPACT

ATTACHMENTS

None



Report to the
Protection and Policy Committee
of the City of Green Bay

MEETING DATE

September 23, 2019

PREPARED BY

AGENDA ITEM # D.I.

Consideration with possible action on a request by Richard Craniums at 840 S. Broadway to temporarily extend their licensed premises to their parking lot on September 29 from noon to 6 p.m. for an event. (The Protection & Policy Committee has been granted final approving authority on liquor license related matters until October 1, 2019.)

BACKGROUND

RECOMMENDATION

FISCAL IMPACT

ATTACHMENTS

- I. richard cranium event_Sept. 29



Report to the
Protection and Policy Committee
of the City of Green Bay

MEETING DATE

September 23, 2019

PREPARED BY

AGENDA ITEM # D.2.

Consideration with possible action on an application for a Class "A" Beer and "Class A" Liquor license for Dolgencorp, LLC at 1641 Main St.

BACKGROUND

RECOMMENDATION

FISCAL IMPACT

ATTACHMENTS

1. 1641mainst
2. SECURITY PLAN AND LICENSE STIPULATION.ROBINSOND.558



Report to the
Protection and Policy Committee
of the City of Green Bay

MEETING DATE

September 23, 2019

PREPARED BY

AGENDA ITEM # D.3.

Consideration with possible action on the following statewide General Records Schedules:

- (1) Administrative and Related Records
- (2) Budget and Related Records
- (3) Facilities Management and Related Records
- (4) Fiscal and Accounting and Related Records
- (5) Fleet and Aircraft Management Records
- (6) Human Resources and Related Records
- (7) Information Technology and Related Records
- (8) Payroll and Related Records
- (9) Purchasing and Procurement Records
- (10) Risk Management and Related Records

BACKGROUND

RECOMMENDATION

FISCAL IMPACT

ATTACHMENTS

1. All Statewide GRSs - Notification of Adoption
2. Statewide GRSs Combined

Notification of General Records Schedule Adoption

Schedule Title: Administrative and Related Records Date: _____

Instructions:

Complete and send the original and 2 copies to: State Archivist, Wisconsin Historical Society (WHS), 816 State St., Madison, WI 53706.

- Do not opt out of a record series because your agency does not create or use these types of records. Signing the form does not obligate an agency to create records. It only requires that records be retained in accordance with the retention time periods and dispositions if such records exist. See the Introduction to General Records Schedules for more information.
- Attach a brief narrative explaining your rationale for opting out of each record series. When a separate schedule is prepared, identify that the record series is in lieu of the general schedule and cross reference the specific series.

NOTE: Destruction or transfer of records is not permitted until this form is signed by the WHS and the Public Records Board.

Wisconsin Government Agency: City of Green Bay

Address: 100 N. Jefferson St., Room 106, Green Bay, WI 54301

This is to notify the Wisconsin Historical Society and the Public Records Board that the agency named above has reviewed the general records schedule and taken the following action (check appropriate box):

- ☐ Opt In: We adopt the entire schedule. (Available for University of Wisconsin [UW] System and Local Units of Government)
- ☐ Opt In With Revisions: We opt (out of), (in to), (circle one) the following record series. (Available for UW System and Local Units of Government) List the specific retention schedule numbers and titles:

- ☐ Opt Out: We opt out of the general records schedule (in whole), (in part), (circle one). (Available for State Agencies) **(All applicable records disposition must cease until separate retention schedules are developed and approved by the Public Records Board.)** List the specific retention schedule numbers and titles:

Agency Head/Deputy Signature	Date Signed
Agency Records Officer Signature	Date Signed

The Public Records Board and Wisconsin Historical Society acknowledge your Notification of Adoption. You are hereby authorized to retain, transfer, and dispose of records as indicated on the schedule.

State Archivist Signature	Date Signed
PRB Executive Secretary Signature	Date Signed

Notification of General Records Schedule Adoption

Schedule Title: Budget and Related Records Date: _____

Instructions:

Complete and send the original and 2 copies to: State Archivist, Wisconsin Historical Society (WHS), 816 State St., Madison, WI 53706.

- Do not opt out of a record series because your agency does not create or use these types of records. Signing the form does not obligate an agency to create records. It only requires that records be retained in accordance with the retention time periods and dispositions if such records exist. See the Introduction to General Records Schedules for more information.
- Attach a brief narrative explaining your rationale for opting out of each record series. When a separate schedule is prepared, identify that the record series is in lieu of the general schedule and cross reference the specific series.

NOTE: Destruction or transfer of records is not permitted until this form is signed by the WHS and the Public Records Board.

Wisconsin Government Agency: City of Green Bay
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- ☐ Opt In With Revisions: We opt (out of), (in to), (circle one) the following record series. (Available for UW System and Local Units of Government) List the specific retention schedule numbers and titles:

- ☐ Opt Out: We opt out of the general records schedule (in whole), (in part), (circle one). (Available for State Agencies) **(All applicable records disposition must cease until separate retention schedules are developed and approved by the Public Records Board.)** List the specific retention schedule numbers and titles:

Agency Head/Deputy Signature	Date Signed
Agency Records Officer Signature	Date Signed

The Public Records Board and Wisconsin Historical Society acknowledge your Notification of Adoption. You are hereby authorized to retain, transfer, and dispose of records as indicated on the schedule.

State Archivist Signature	Date Signed
PRB Executive Secretary Signature	Date Signed

Notification of General Records Schedule Adoption

Schedule Title: Facilities Management and Related Records Date: _____

Instructions:

Complete and send the original and 2 copies to: State Archivist, Wisconsin Historical Society (WHS), 816 State St., Madison, WI 53706.

- Do not opt out of a record series because your agency does not create or use these types of records. Signing the form does not obligate an agency to create records. It only requires that records be retained in accordance with the retention time periods and dispositions if such records exist. See the Introduction to General Records Schedules for more information.
- Attach a brief narrative explaining your rationale for opting out of each record series. When a separate schedule is prepared, identify that the record series is in lieu of the general schedule and cross reference the specific series.

NOTE: Destruction or transfer of records is not permitted until this form is signed by the WHS and the Public Records Board.

Wisconsin Government Agency: City of Green Bay
 Address: 100 N. Jefferson St., Room 106, Green Bay, WI 54301

This is to notify the Wisconsin Historical Society and the Public Records Board that the agency named above has reviewed the general records schedule and taken the following action (check appropriate box):

- ☐ Opt In: We adopt the entire schedule. (Available for University of Wisconsin [UW] System and Local Units of Government)
- ☐ Opt In With Revisions: We opt (out of), (in to), (circle one) the following record series. (Available for UW System and Local Units of Government) List the specific retention schedule numbers and titles:

- ☐ Opt Out: We opt out of the general records schedule (in whole), (in part), (circle one). (Available for State Agencies) **(All applicable records disposition must cease until separate retention schedules are developed and approved by the Public Records Board.)** List the specific retention schedule numbers and titles:

Agency Head/Deputy Signature	Date Signed
Agency Records Officer Signature	Date Signed

The Public Records Board and Wisconsin Historical Society acknowledge your Notification of Adoption. You are hereby authorized to retain, transfer, and dispose of records as indicated on the schedule.

State Archivist Signature	Date Signed
PRB Executive Secretary Signature	Date Signed

Notification of General Records Schedule Adoption

Schedule Title: Fiscal and Accounting and Related Records Date: _____

Instructions:

Complete and send the original and 2 copies to: State Archivist, Wisconsin Historical Society (WHS), 816 State St., Madison, WI 53706.

- Do not opt out of a record series because your agency does not create or use these types of records. Signing the form does not obligate an agency to create records. It only requires that records be retained in accordance with the retention time periods and dispositions if such records exist. See the Introduction to General Records Schedules for more information.
- Attach a brief narrative explaining your rationale for opting out of each record series. When a separate schedule is prepared, identify that the record series is in lieu of the general schedule and cross reference the specific series.

NOTE: Destruction or transfer of records is not permitted until this form is signed by the WHS and the Public Records Board.

Wisconsin Government Agency: City of Green Bay
 Address: 100 N. Jefferson St., Room 106, Green Bay, WI 54301

This is to notify the Wisconsin Historical Society and the Public Records Board that the agency named above has reviewed the general records schedule and taken the following action (check appropriate box):

- ☐ Opt In: We adopt the entire schedule. (Available for University of Wisconsin [UW] System and Local Units of Government)
- ☐ Opt In With Revisions: We opt (out of), (in to), (circle one) the following record series. (Available for UW System and Local Units of Government) List the specific retention schedule numbers and titles:

- ☐ Opt Out: We opt out of the general records schedule (in whole), (in part), (circle one). (Available for State Agencies) **(All applicable records disposition must cease until separate retention schedules are developed and approved by the Public Records Board.)** List the specific retention schedule numbers and titles:

Agency Head/Deputy Signature	Date Signed
Agency Records Officer Signature	Date Signed

The Public Records Board and Wisconsin Historical Society acknowledge your Notification of Adoption. You are hereby authorized to retain, transfer, and dispose of records as indicated on the schedule.

State Archivist Signature	Date Signed
PRB Executive Secretary Signature	Date Signed

Notification of General Records Schedule Adoption

Schedule Title: Fleet and Aircraft Management Records Date: _____

Instructions:

Complete and send the original and 2 copies to: State Archivist, Wisconsin Historical Society (WHS), 816 State St., Madison, WI 53706.

- Do not opt out of a record series because your agency does not create or use these types of records. Signing the form does not obligate an agency to create records. It only requires that records be retained in accordance with the retention time periods and dispositions if such records exist. See the Introduction to General Records Schedules for more information.
- Attach a brief narrative explaining your rationale for opting out of each record series. When a separate schedule is prepared, identify that the record series is in lieu of the general schedule and cross reference the specific series.

NOTE: Destruction or transfer of records is not permitted until this form is signed by the WHS and the Public Records Board.

Wisconsin Government Agency: City of Green Bay
 Address: 100 N. Jefferson St., Room 106, Green Bay, WI 54301

This is to notify the Wisconsin Historical Society and the Public Records Board that the agency named above has reviewed the general records schedule and taken the following action (check appropriate box):

- ☐ Opt In: We adopt the entire schedule. (Available for University of Wisconsin [UW] System and Local Units of Government)
- ☐ Opt In With Revisions: We opt (out of), (in to), (circle one) the following record series. (Available for UW System and Local Units of Government) List the specific retention schedule numbers and titles:

- ☐ Opt Out: We opt out of the general records schedule (in whole), (in part), (circle one). (Available for State Agencies) **(All applicable records disposition must cease until separate retention schedules are developed and approved by the Public Records Board.)** List the specific retention schedule numbers and titles:

Agency Head/Deputy Signature	Date Signed
Agency Records Officer Signature	Date Signed

The Public Records Board and Wisconsin Historical Society acknowledge your Notification of Adoption. You are hereby authorized to retain, transfer, and dispose of records as indicated on the schedule.

State Archivist Signature	Date Signed
PRB Executive Secretary Signature	Date Signed

Notification of General Records Schedule Adoption

Schedule Title: Human Resources and Related Records Date: _____

Instructions:

Complete and send the original and 2 copies to: State Archivist, Wisconsin Historical Society (WHS), 816 State St., Madison, WI 53706.

- Do not opt out of a record series because your agency does not create or use these types of records. Signing the form does not obligate an agency to create records. It only requires that records be retained in accordance with the retention time periods and dispositions if such records exist. See the Introduction to General Records Schedules for more information.
- Attach a brief narrative explaining your rationale for opting out of each record series. When a separate schedule is prepared, identify that the record series is in lieu of the general schedule and cross reference the specific series.

NOTE: Destruction or transfer of records is not permitted until this form is signed by the WHS and the Public Records Board.

Wisconsin Government Agency: City of Green Bay

Address: 100 W. Jefferson St., Room 106, Green Bay, WI 54301

This is to notify the Wisconsin Historical Society and the Public Records Board that the agency named above has reviewed the general records schedule and taken the following action (check appropriate box):

- ☐ Opt In: We adopt the entire schedule. (Available for University of Wisconsin [UW] System and Local Units of Government)
- ☐ Opt In With Revisions: We opt (out of), (in to), (circle one) the following record series. (Available for UW System and Local Units of Government) List the specific retention schedule numbers and titles:
- _____
- _____
- ☐ Opt Out: We opt out of the general records schedule (in whole), (in part), (circle one). (Available for State Agencies) **(All applicable records disposition must cease until separate retention schedules are developed and approved by the Public Records Board.)** List the specific retention schedule numbers and titles:
- _____
- _____

Agency Head/Deputy Signature	Date Signed
Agency Records Officer Signature	Date Signed

The Public Records Board and Wisconsin Historical Society acknowledge your Notification of Adoption. You are hereby authorized to retain, transfer, and dispose of records as indicated on the schedule.

State Archivist Signature	Date Signed
PRB Executive Secretary Signature	Date Signed

Notification of General Records Schedule Adoption

Schedule Title: Information Technology and Related Records Date: _____

Instructions:

Complete and send the original and 2 copies to: State Archivist, Wisconsin Historical Society (WHS), 816 State St., Madison, WI 53706.

- Do not opt out of a record series because your agency does not create or use these types of records. Signing the form does not obligate an agency to create records. It only requires that records be retained in accordance with the retention time periods and dispositions if such records exist. See the Introduction to General Records Schedules for more information.
- Attach a brief narrative explaining your rationale for opting out of each record series. When a separate schedule is prepared, identify that the record series is in lieu of the general schedule and cross reference the specific series.

NOTE: Destruction or transfer of records is not permitted until this form is signed by the WHS and the Public Records Board.

Wisconsin Government Agency: City of Green Bay
 Address: 100 W. Jefferson St., Room 104, Green Bay, WI 54301

This is to notify the Wisconsin Historical Society and the Public Records Board that the agency named above has reviewed the general records schedule and taken the following action (check appropriate box):

- ☐ Opt In: We adopt the entire schedule. (Available for University of Wisconsin [UW] System and Local Units of Government)
- ☐ Opt In With Revisions: We opt (out of), (in to), (circle one) the following record series. (Available for UW System and Local Units of Government) List the specific retention schedule numbers and titles:

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Agency Head/Deputy Signature	Date Signed
Agency Records Officer Signature	Date Signed

The Public Records Board and Wisconsin Historical Society acknowledge your Notification of Adoption. You are hereby authorized to retain, transfer, and dispose of records as indicated on the schedule.

State Archivist Signature	Date Signed
PRB Executive Secretary Signature	Date Signed

Notification of General Records Schedule Adoption

Schedule Title: Payroll and Related Records Date: _____

Instructions:

Complete and send the original and 2 copies to: State Archivist, Wisconsin Historical Society (WHS), 816 State St., Madison, WI 53706.

- Do not opt out of a record series because your agency does not create or use these types of records. Signing the form does not obligate an agency to create records. It only requires that records be retained in accordance with the retention time periods and dispositions if such records exist. See the Introduction to General Records Schedules for more information.
- Attach a brief narrative explaining your rationale for opting out of each record series. When a separate schedule is prepared, identify that the record series is in lieu of the general schedule and cross reference the specific series.

NOTE: Destruction or transfer of records is not permitted until this form is signed by the WHS and the Public Records Board.

Wisconsin Government Agency: City of Green Bay
 Address: 100 N. Jefferson St., Room 106, Green Bay, WI 54301

This is to notify the Wisconsin Historical Society and the Public Records Board that the agency named above has reviewed the general records schedule and taken the following action (check appropriate box):

- ☐ Opt In: We adopt the entire schedule. (Available for University of Wisconsin [UW] System and Local Units of Government)
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Agency Head/Deputy Signature	Date Signed
Agency Records Officer Signature	Date Signed

The Public Records Board and Wisconsin Historical Society acknowledge your Notification of Adoption. You are hereby authorized to retain, transfer, and dispose of records as indicated on the schedule.

State Archivist Signature	Date Signed
PRB Executive Secretary Signature	Date Signed

Notification of General Records Schedule Adoption

Schedule Title: Purchasing and Procurement Date: _____

Instructions:

Complete and send the original and 2 copies to: State Archivist, Wisconsin Historical Society (WHS), 816 State St., Madison, WI 53706.

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NOTE: Destruction or transfer of records is not permitted until this form is signed by the WHS and the Public Records Board.

Wisconsin Government Agency: City of Green Bay
 Address: 100 N. Jefferson St., Room 106, Green Bay, WI 54301

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- ☐ Opt Out: We opt out of the general records schedule (in whole), (in part), (circle one). (Available for State Agencies) **(All applicable records disposition must cease until separate retention schedules are developed and approved by the Public Records Board.)** List the specific retention schedule numbers and titles:

Agency Head/Deputy Signature	Date Signed
Agency Records Officer Signature	Date Signed

The Public Records Board and Wisconsin Historical Society acknowledge your Notification of Adoption. You are hereby authorized to retain, transfer, and dispose of records as indicated on the schedule.

State Archivist Signature	Date Signed
PRB Executive Secretary Signature	Date Signed

Notification of General Records Schedule Adoption

Schedule Title: Risk Management and Related Records Date: _____

Instructions:

Complete and send the original and 2 copies to: State Archivist, Wisconsin Historical Society (WHS), 816 State St., Madison, WI 53706.

- Do not opt out of a record series because your agency does not create or use these types of records. Signing the form does not obligate an agency to create records. It only requires that records be retained in accordance with the retention time periods and dispositions if such records exist. See the Introduction to General Records Schedules for more information.
- Attach a brief narrative explaining your rationale for opting out of each record series. When a separate schedule is prepared, identify that the record series is in lieu of the general schedule and cross reference the specific series.

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Wisconsin Government Agency: City of Green Bay
 Address: 100 W. Jefferson St., Room 106, Green Bay, WI 54301

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Agency Head/Deputy Signature	Date Signed
Agency Records Officer Signature	Date Signed

The Public Records Board and Wisconsin Historical Society acknowledge your Notification of Adoption. You are hereby authorized to retain, transfer, and dispose of records as indicated on the schedule.

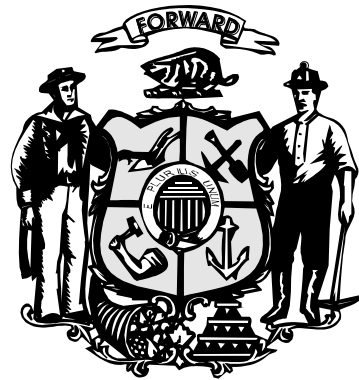
State Archivist Signature	Date Signed
PRB Executive Secretary Signature	Date Signed

General Records Schedule

Administrative and Related Records

Approved by the Public Records Board

August 23, 2010



Revised: January 11, 2016

Expiration: August 23, 2020

For use by all units of Wisconsin Government at the State, County, and Municipal level

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SCOPE

The General Records Retention Schedule for administrative records for Wisconsin state agencies is designed to cover records created in the process of planning and carrying out the administrative tasks of an agency or office that are not covered by agency program-specific or other approved general schedules.

This retention schedule applies to records in all media.

This schedule supersedes the Common Records General Records Schedule in Wisconsin for state agencies, counties, municipalities, or other local units of government.

A companion document, [Introduction to General Records Schedules-Boilerplate, June 2009](#), located at the Public Records Board web site <http://publicrecordsboard.wi.gov/> provides more information and guidance about the use of general records schedules by Wisconsin state agencies.

Personally Identifiable Information (PII): Wisconsin law requires authorities to identify specifically certain record series within a general records schedule that contain PII. The statute defines PII broadly as “information that can be associated with a particular individual through one or more identifiers or other information or circumstances.” [Wis. Stats. § 19.62\(5\)](#). Despite this broad definition, the statute, [Wis. Stat. § 16.61\(3\)\(u\)](#), requires that record series within a schedule containing the following types of PII need not be identified as such: a) mailing lists; b) the results of certain computer matching programs; c) telephone or e-mail directories; d) record series pertaining exclusively to agency employees; and e) those relating to state agency procurement or budgeting. As to those record series identified as containing PII, the schedule should further indicate whether the PII is incidental to the primary purpose for which the record series is created. Additional information and definitions of key terms relating to PII are provided at <http://itsecurity.wi.gov/>. If in doubt as to whether a specific record series contains PII, check with agency legal counsel, either within your agency or by contacting the Attorney General’s office.

Confidentiality of Records: Some record series may contain confidential or restricted access records such as social security numbers. The schedule should identify any record series containing information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute or administrative rule that so requires. NOTE: Some, but not all PII is confidential. At the same time, records not containing PII may be required by law to be kept confidential. The designation of a particular record series as “confidential” relates primarily to the general schedule’s function in regulating the retention and disposition—including destruction—of the record series. In contrast, public access to records is determined by the Public Records law and not simply by the designation of confidentiality in a record schedule. If in doubt as to whether or not a specific record is confidential, check with legal counsel, either within your agency or by contacting the Attorney General’s office.

Revision History: See the “Revision History” section for a listing of changes to this GRS.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Activity and Production and Annual Reports						
ADM00001 <i>[Supersedes Common Records GRS Series 90500000]</i>	Routine Activity and Production Reports Created by Individuals or Work Units	Occasional and/or periodic reports by individuals, offices or teams that document the business of the agency. Note: Reports at the division level must be retained under a program-specific RDA.	Creation + 1 year and destroy	No	No	Progress reports Workload reports Status of work assignments Backlog and production reports
ADM00001A	Activity (Status) Reports Received from Bureaus within the Division and Division Status Reports Prepared for the Office of the Secretary	Occasional and/or periodic reports that document and report on the business functions of the division and its supporting bureaus.	Creation + 3 years and Transfer to WHS or UW-Madison Archives	No	No	The official records of the any Board's, Councils or Commissions established by legislation or Governor's Executive Order should follow ADM00025 in the Administrative General Records Schedule. The official records of any teams, projects, or workgroups that have potential program/policy impact should follow ADM00026 in the Administrative General Records Schedule. The official records of any teams, projects or workgroups that relate to internal and routine activities should follow ADM00027 in the Administrative General Records Schedule.
Agency Reports Required by Statutes						
ADM00002	Biennial or Annual Report Documentation	Agency files associated with preparing the agency biennial or annual reports submitted to DOA. Material related to Biennial or Annual reports prepared by agencies as required by Wis. Stat. 15.04 .	Event + 4 years and destroy Event is the date of the report submittal	No	No	The completed reports are publications that must be made available per Wis. Stat. 35.83 to various libraries.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Administrative Rules						
ADM00003	Administrative Rules	This series includes records used to develop and revise Administrative Codes (Administrative Rules). This series also contains the final, published Administrative Code, including agency-issued Emergency Rules.	Event + 10 years and Transfer to WHS or UW-Madison Archives Event is the effective date [or legislative objection date] of each rule	No	No	Background materials Notices Rule drafts Code interpretations Summary of public comments from hearings Legislative comments Correspondence Fiscal estimates, orders and reports Note: Final Administrative rules have the force of law and are maintained by the Legislature. See http://www.legis.state.wi.us/rsb/code.htm
Calendars and Schedules						
ADM00004 <i>[Supersedes Common Records GRS Series 90500001 & 002]</i>	Calendars and Schedules – Appointed Staff or Equivalent Positions	Calendars, schedules, diaries and/or meeting logs used to document meetings and appointments.	Event + 3 years and Transfer to WHS or UW-Madison Archives Event is separation from position	Yes	Follow agency specific statutory citations	Appointed Staff Examples may include: Agency Head, Deputy, Executive Assistant, Division Administrators, Regional Directors, etc.
ADM00005 <i>[Supersedes Common Records GRS Series 90500001 & 002]</i>	Calendars and Schedules – Non-Appointed Staff	Calendars, schedules, diaries and/or meeting logs used to document meetings and appointments.	Creation + 1 year and destroy confidential	Yes	Follow agency specific statutory citations	Calendars, appointment books, schedules, reminder notes diaries and logs used by agencies and program units to schedule and document routine activities such as meetings, work shifts, telephone or front desk coverage, and time off or vacations.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Charity Drive						
ADM00006	Annual State Sanctioned Charity Campaign	File related to annual state sanctioned charity campaign. Note: Does not include deduction request forms.	Event + 2 and destroy confidential Event is end of annual campaign Deduction request forms follow PAY00021 or PAY00014	No	No	Committee meeting agendas Minutes Flyers Advertisements
Complaints (External)						
ADM00007	Complaints (External) not otherwise regulated by state or federal requirements	File related to complaints regarding issues not related to a specific program.	Event + 2 years and destroy confidential Event is complaint resolution, dismissal or end of litigation	Yes	No	Complaints about agency website, or voice mail loops.
NOTE: Complaints (Internal) – See Human Resources and Related Records General Records Schedule HR000108 for Union Member Grievances and HR000110 for Non-Represented Grievances						
Continuity of Operations Plans (COOP)						
ADM00008 DO NOT USE Superseded by FAC00088	Agency Final Continuity of Operations/Continuity of Government Operational Plan and Documentation	Agency official copy and work papers of the COOP/COG plan. Note: This record set may be classified as confidential.	Event and destroy confidential Event is superseded by revised plan	Yes	Yes WI Executive Order #81 and/or HSPD-5	A copy is also maintained by DOA in the Long Range Disaster Recovery and Planning System (LDPRS) repository. See IT000015, Disaster Preparedness and Recovery Plans.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Correspondence						
ADM00009	Appointed Staff or Equivalent Positions Business-Related Correspondence	Business-related correspondence of the Secretary's Office, Appointed Staff or Equivalent Positions.	Event + 3 years and transfer to WHS or UW-Madison Archives Event is separation from position	Yes	Follow agency specific statutory citations	Includes tracked or controlled correspondence. Appointed Staff Examples may include: Agency Head, Deputy, Executive Assistant, Division Administrators, Regional Directors, etc.
ADM00010	Non-Appointed Staff Business-Related Correspondence	Business-related correspondence of non-appointed staff. Note: Correspondence that relates specifically to a program must be retained under a program-specific RDA.	Creation or receipt + 1 year and destroy confidential	Yes	Follow agency specific statutory citations	This is business correspondence directly related to a position's regularly assigned duties, responsibilities or functions.
ADM00011 <i>[Supersedes Common Records GRS Series 9050005]</i>	Transitory Correspondence and Other Related Records	Correspondence and other related records of short-term interest which have no documentary or evidentiary value. Note: Transitory messages do not set policy, establish guidelines or procedures, document a transaction or become a receipt.	Event and destroy confidential Event is until no longer needed	Yes	No	Routine requests for information that require no policy decision, special compilation or research are transitory to the sender and the recipient.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Course Materials for Programs Offered by State Staff						
ADM00012	Training/Course Materials	Materials prepared and used by staff to provide information targeted to internal and external audiences. Note: Seminars/training related to law, licensure, certification, etc., must be retained under a program-specific RDA.	Event and destroy Event is superseded or no longer needed	No	No	Basic skill development Records management training Operational or functional training Note: Does not include training courses included in the Human Resources & Related Records General Schedule.
Grants –Grants Received and Disbursed by State Agencies						
ADM00013	Grant Documentation	This record series documents the administration of a grant program, including the application review process and expenditure of grant funds. It also covers activities relating to grant-funded projects where the agency is the grant recipient or issuer, including the application process, the receipt and expenditure of grant funds or the grant denial.	Event + 4 years and destroy confidential Event is date of final report or notification of denial Note: Grant cycle completion has occurred when all reporting requirements are satisfied and final payments have been received or disbursed for that grant cycle or from the date the grant is denied. If the terms of the grant require other retention, those must be retained under a program-specific RDA.	May Include PII	No	Grant applications Notifications of award or denial of grant funds Contracts Agreement Grant status Narrative and financial reports Supporting documentation

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Lobbying						
ADM00014	Department Lobbyists, Lobbying Activities and Expenditures	Files containing department lobbying activities and expenditures documentation and reports.	Creation + 2 years and destroy confidential	Yes	No	State agencies employing lobbyists and the lobbyists they employ must report their lobbying-related activities and expenditures every six-months. Reports are due January 31 and July 31 for the prior six-month reporting periods (Jan-June and July-Dec). The State Ethics Board has a form, Statement of Lobbying Activities and Expenditures, that is used, Wis. Stats. 13.62 (8) . Includes reports filed under s. 13.695
Staff Notices or Communications						
ADM00015	Internal Newsletters	Periodic communication from department managers to staff covering a variety of topics. Communication could be via e-mail, Intranet or open letter. Note: These newsletters are internal to the organization. Newsletters or other communications designed to communicate with the public should follow the requirements of the DPI Depository program, Wisconsin Statutes Sections 35.81-35.84. The entity in the organization responsible for creating the newsletter is responsible for retaining the record. Copies received by recipients are non-records.	Creation + 1 year and destroy	No	No	Division or program newsletters Department communications

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Notices (Legal)						
ADM00016	Legal Notices	Documentation associated with required legal notices. Note: Legal notices required for an event should be filed with the specific action/event.	Creation + 1 year and destroy	No	No	
Agency Organization Related						
ADM00017	Agency Organizational Planning Documentation	Includes agency, division and bureau strategic, business and operational planning files such as but not limited to final plan and significant work papers.	Event + 6 years and transfer to WHS or UW-Madison Archives Event is plan completion or superseded or revised Destroy copies, drafts, and routine material when no longer needed	No	No	Strategic plans are typically prepared at the agency level, Business and operational plans are typically executed at the division and bureau level. Records include master copy of plan and essential background documentation
ADM00018	Reorganization Documentation	Documents showing organizational changes within the agency. Files of significant addition, deletion, or transfer of administrative, functional or regulatory, responsibilities, etc.	Event + 2 years and transfer to WHS or the UW-Madison Archives Event is completion of reorganization	No	No	Divisions usually propose reorganizations that are then approved by the agency Secretary. Budget and HR typically review division requests from both budget and HR perspective. Some reorganization proposals may require notice and or approval by the State Budget Office in DOA on behalf of the Governor.
ADM00019	Organization Charts – Bureaus, Divisions, Departments	Repository of the official organizational structure of each state agency, its divisions and bureaus.	Event and transfer to WHS or UW-Madison Archives Event is superseded	No	No	

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
ADM00020	Organization Charts – Sections and Work Units	Repository of the official organizational structure of each state agency section and work unit.	Event and destroy Event is superseded	No	No	
ADM00021	Transition Briefings	Records prepared to provide an overview of the organization during transitions to new management.	Event + 2 years and destroy Event is date prior executive leaves his/her position	No	No	These records would typically be prepared at the division level when a new department secretary is appointed. However, this category could also be used to cover any transition related records prepared by a program manager to assist the transition to their replacement.
Open Records						
ADM00022	Open Records Requests and Responses	Records relating to regular and reformulated, repetitious, systematic or continuing requests by individuals, groups or organizations for access to general information under the provisions of the Wis. Stats 19.35-19.37 and the Federal Freedom for Information Act (FOIA).	Event + 3 years and destroy confidential Event is when response is provided	Yes	No	All correspondence and logs. Does not include copies of material sent in response to the request, which is already covered under agency- specific RDAs. Includes original request, notice of change (of scope of request), billing, collection of fees, acknowledgement of receipt of request, follow-up letters and transmittal memorandums, access request review, requests for extension, third party notification, access request review recommendations and summaries, listing of records searched and used to respond to requests, and logs maintained documenting receipt and response of requests. May also include request response package including any redaction of information (if information is kept). If requests are denied, records covered here include request denials and related justification, mediation, representations from third parties, recommendations, court orders, and reviews. Also includes abandoned requests.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Policies and Procedures						
ADM00023	Internal Policies and Procedures	Established departmental policies and procedures. Note: May also be called Administrative Practices or Directives or Executive Directives. External policies/regulations/manuals, etc., must be retained under a program-specific RDA.	Event + 7 years and destroy Event is the date the policy and procedure is superseded or made obsolete	No	No	Manuals Manual codes Handbooks, etc. Note: Procedures under this RDA have typically gone through a vetting process and are intended to support the agency's policies in a direct manner. This RDA does not necessarily include worker instructions which may be viewed as task-specific directions used to ensure compliance with policies and procedures.
Surveys – Internal						
ADM00024	Surveys/ Questionnaires- Internal to the Agency	Documents the creation and results of surveys by or for agencies for administrative, informational or research purposes.	Creation +1 year and destroy	No	No	Uses might include customer satisfaction surveys with various department programs or services such as the department's IT related help desk.
Boards, Councils, Commissions						
ADM00025	Boards, Councils, or Commissions	Records associated with boards, councils, commissions established by legislation or Governor's Executive Order.	Creation + 5 years and transfer to WHS or UW-Madison Archives	May Include PII	May Include Confidential Information	Member listings Charter or Project Mandate Operating rules Staff roles/responsibilities Agendas, meeting notes and attached documentation Interim reports, work papers and related presentations Final report and related presentations Closed session materials may be confidential under Wis. Stat. § 19.85(1)(c)(e)(f)(g). Materials must be identified as closed session – confidential.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Teams, Projects or Workgroups						
ADM00026	Team, Project, or Workgroup Documentation – Program/Policy Impact	Records associated with teams, committees, projects, or workgroups established by or among agencies that have program and/or policy impact. Project should have * Established precedent and resulted in a state policy or procedural change * Received widespread attention from the news media, or * Been recognized for its uniqueness by established authorities outside the government	EVT + 5 years and transfer to WHS or UW-Madison Archives. Event is end of team, project, or workgroup.	No	No	Agendas, minutes and attached documentation Member listings Charter or Project Mandate Operating rules Staff roles/responsibilities Interim reports, work papers and related presentations Final report and related presentations Work plans Compiled survey results Charts, diagrams Statistics Reports Research materials Other documentation related to management studies, non-fiscal audits, surveys, and planning studies Note: Record series not intended for an individual's records.
ADM00027	Team, Project, or Workgroup Documentation – Internal and Routine Activities	Records associated with teams, committees, projects, or workgroups established by or among agencies that have internal impact only.	Creation + 2 years and destroy	No	No	Agendas, minutes and attached documentation Member listings Charter or Project Mandate Operating rules Staff roles/responsibilities Interim reports, work papers and related presentations Final report and related presentations Work plans Compiled survey results Charts, diagrams Statistics Reports Research materials Other documentation related to management studies, non-fiscal audits, surveys, and planning studies Handouts

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
						Discussion Worksheets Evaluations Note: Record series not intended for an individual's records.
ADM00028	Biographies of Appointed Staff or Equivalent	Biographies (Bios) of appointed staff with or without corresponding headshots are used by Communications Office staff for a variety of purposes, such as providing basic information about these individuals to internal staff, external parties, and for public speaking engagement introductions.	Retain until end of each individual's appointment and then transfer to WHS or UW-Madison Archives	Yes	No	
ADM00029	Memorandums of Understanding (MOU) & Service Level Agreements (SLA)	A MOU or SLA is used for a variety of purposes to define agreements between state agencies and in some cases even to define agreements between a large state agency's separate divisions or bureaus.	EVT+4 years and destroy. Event is the ending date of the MOU or SLA.	No	No	MOUs and SLAs are most typically used for coordination of administrative activities such as two agencies sharing a common function such as a help desk or the temporary interchange of a state employee.
ADM00030	Subject Files – Appointed Staff or Equivalent Positions	Subject files maintained by Appointed Staff or Equivalent Positions related to agency issues and operations.	EVT+3 years and transfer to WHS or UW-Archives Event is separation from position.	May include PII	Follow agency specific statutory citations	Appointed Staff may include: Agency Head, Deputy, Executive Assistant, Division Administrators, Regional Directors, etc.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Forms Management Records This section pertains to blank forms and templates only. It is important to reiterate that these retention schedules apply to records in any format. Forms that have been filled out and completed are part of a program record and should follow retention schedules for the program.						
ADM00100 <i>[Supersedes FORMS001]</i>	Form History Files	A history of authorized final agency forms created and assigned an official identification number as part of the creation, design, revision, printing, and use. The history file typically contains a complete history of all finalized and/or printed versions of the form. The history of each form is used to track changes, answer inquiries, conduct research, and maintain version control.	EVT + 5 years and destroy. Event is after obsolete.	No	No	This retention applies to the official copy. The Agency Forms Manager/Officer maintains the official copy. If forms users/owners maintain working copies of forms, they should only be retained as long as needed for reference. Includes web based templates. Completed forms are covered by a program specific RDA. Some agencies may have a legal obligation to keep active and obsolete history files permanently. If so, an agency specific RDA should be developed. Examples: service requests, order sheets, suggested updates, etc.
ADM00101 NEW	Forms Rough Draft and Change Request Files	Includes development information, change requests received from users, and printing specifications and orders, format samples of each approved version and sponsor/program managers approvals.	EVT + 6 months and destroy. Event is after form is finalized and made available for use.	No	No	Includes routing slips, old print orders, rough drafts, data input screens, etc.
ADM00102 <i>[Supersedes FORMS002]</i>	Forms Inventory Records	Manual and automated systems containing a running inventory of each form. The inventory system may include, but is not limited to, information on revision dates, storage	FIS + 4 years and destroy.	No	No	Running inventories are continually updated. At a minimum, the current fiscal year and previous 4 fiscal years should be maintained before purged or destroyed.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
		locations, orders received, orders filled, minimum reorder points and current stock on hand. The inventory record is used to document the creation, revision and use of forms, in addition to running reports for reorder, audit, or risk/insurance management purposes.				
ADM00103 <i>[Supersedes FORMS003]</i>	Form Request Orders	Records used to fill requests for blank forms to users and the general public. These requests may be received via order forms, e-mail, website request screens, or letters received via mail. These order requests may be keyed into an automated forms inventory system and may be used to verify completion of requests and generate usage or reorder reports.	EVT + 1 month and destroy. Event is after filled.	No	No	
ADM00104 <i>[Supersedes FORMS007]</i>	Forms Catalog/Listing	Office catalog of agency forms, which is used as a primary reference tool to learn when a form was created, last revised, or became obsolete.	EVT + 0 and destroy. Event is until superseded.	No	No	Catalog/listing can be sorted and printed in an alphabetical or numeric order.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Library Operations and Related Records This section pertains to State Agency library operations records and not Wisconsin Public Libraries. Forms or documents that may be part of a program record should follow retention schedules for that program.						
ADM00110 <i>[Supersedes LIB00001]</i>	Interlibrary Loan Files	Records of interlibrary loan transactions, which may include requests from patrons or other agency library and agency library circulation or interlibrary loan system records generated in the fulfillment of the interlibrary loan request.	EVT + 3 years and destroy. Event is completion of transaction. (i.e. receipt or issuance of copies or return of borrowed materials).	No	No	This retention period ensures that records of transactions will be available for reference, analysis, and planning. This period will also meet any legal need to demonstrate compliance with U.S. Copyright Law (17 USC 507) which establishes a 3 year limitation on actions for copyright violations. Before disposing of records, agencies must ensure that no legal actions have been initiated which might require access to them.
ADM00111 <i>[Supersedes LIB00002]</i>	Catalog of Holdings	Manual and automated catalogs and lists of books, journals, reports, serials, and other published materials held in an agency library. Cataloged records include subject headings, authors, call numbers, and web links, if applicable.	EVT + 0 and destroy. Event is after catalog record is superseded or de-accessioned.	No	No	
ADM00112 <i>[Supersedes LIB00003]</i>	Circulation or Loan Reports	Logs, charge-out cards, routing slips, and related records documenting the loan of library materials to patrons.	EVT + 0 and destroy. Event is borrowed item is returned or after efforts to retrieve are abandoned and item is declared lost and de-accessioned.	May include PII	May be confidential per Wis. Stat. 43.30 depending on library designation or circulation system used.	The pocket and charge cards, which are permanently attached to books and other items, remain in the item until superseded or de-accessioned.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Mail & Messenger Services and Related Records This section pertains to State Agency mail operations records only. Forms or documents that may be part of a program record should follow retention schedules for that program.						
ADM00120 <i>[Supersedes MAIL0001]</i>	Mail Pickup and Delivery Records	Includes mail and fax logs, certified or registered mail receipt forms, signed pickup and delivery receipts, delivery and pickup route lists, spreadsheets, reports and related records that document that mail and messages were picked up and delivered.	CR + 1 year and destroy/destroy confidential as applicable.	Yes	No	These records may be required as evidence in open records cases alleging that an agency did not respond in a timely manner to inquiries or requests for service by the public. Note: Does not include records specifically required as evidence of the execution of a contract, timely receipt of bids, or compliance with a specific statute or regulation.
ADM00121 <i>[Supersedes MAIL0002]</i>	Mail and Messenger Service Distribution and Routing Plans, Schedules, and Lists	Service delivery and pickup routes, schedules, and distribution lists used to administer agency mail and messenger services.	EVT + 0 and destroy. Event is superseded or discontinued.	No	No	Records have no value once they are superseded or discontinued. Includes route diagrams or charts, mail and messenger service staff assignments, route schedules, and copies of distribution lists.
ADM00122 <i>[Supersedes MAIL0003]</i>	Mailing Address Lists	Printed and automated mailing lists used to send mailings or to mail materials to subscribers or regular recipients.	EVT + 0 and destroy. Event is superseded.	No, exempt under 16.63(3)(u)	No	
ADM00123 NEW	Mail Move Updates	Records of move updates which are used to update address records	EVT + 0 and destroy confidential. Event is update verified.	No, exempt under 16.63(3)(u)	No	Examples include paper USPS address change cards or reports generated from move update software such as Satori.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Records Management Program Records and Related Documents This section pertains to Records Management operations records only. Forms or documents that may be part of a program record should follow retention schedules for that program.						
ADM00130 <i>[Supersedes REC00001]</i>	Records Inventory Files	Descriptive inventories of agency records, contained in either manual or automated systems, for in-house and offsite records storage. Inventories may contain information indicating the titles, record series, contents, locations, volume, inclusive dates, RDA (Record Retention/Disposition Authorization) numbers, and other attributes of those records. The inventory is used for staff reference to ensure compliance with agency retention requirements, and to run reports for audit(s) or risk management purposes.	EVT + 10 years and destroy. Event is superseded.	No	No	State Records Center (SRC) or Other State Owned, Off-site Storage Facility: SRC or other state owned storage facility is responsible for the official record. Non-State Owned, Off-Site Storage Facility and On-Site at Agency Storage: The agency is responsible for the official record. Examples include internal inventories of records maintained and inventory reports from the State Records Center or other storage vendors.
ADM00131 <i>[Supersedes REC00002]</i>	Records Retention/Disposition Authorizations (RDA) – PRB Official Record	Records Retention/Disposition Authorizations (RDA's) approved by the Wisconsin Public Records Board (PRB). This is the PRB official record, which is maintained by the PRB Executive Secretary at the DOA State Records Center.	EVT + 100 years and destroy. Event is closed or superseded.	No	No	Agencies are required to submit RDA's for approval to the Public Records Board (PRB) within one year after a record series has been created per Wis. Stats. 16.61(4)(b). Agencies are provided with copies of their approved and fully signed RDAs which are retained according to ADM00131A.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
ADM0131A NEW	Records Retention/Disposition Authorizations (RDA) – Agency Signed Record	Records Retention/Disposition Authorizations (RDA's) approved by the Wisconsin Public Records Board (PRB). Agencies must retain RDA's to document compliance with State records management laws and regulations and as the authority to retain and/or dispose of records specified in such policies. This is the agency official record.	EVT + 20 years and destroy. Event is RDA closed or superseded.	No	No	Agencies are required to submit RDA's for approval to the Public Records Board (PRB) within one year after a record series has been created per Wis. Stats. 16.61(4)(b). State records cannot be disposed of until a RDA covering those records has been approved by the PRB. An official record is maintained by the agency Records Officer until the RDA is obsolete, closed, or superseded.
ADM00132 <i>[Supersedes REC00004]</i>	Records Retention/Disposition (RDA) Index File	Current agency index or internal file used to track agency approved RDAs that are no longer active.	EVT + 10 years. Event is RDA listed in index is closed or superseded.	No	No	Agency index file, spreadsheet or in-house access database record of RDAs used for internal purposes.
ADM00133 <i>[Supersedes REC00005]</i>	Records Inventory Disposition Files	Records documenting authorized/approved destruction of records or records transferred from the agencies or the State Records Center to an official archival repository for permanent preservation.	CR + 25 years and destroy.	No	No	State Records Center (SRC) or Other State Owned, Off-Site Storage Facility. The SRC or other state owned storage facility is responsible for the official record. For Non-State Owned, Off-Site Storage Facility and On-Site at Agency Storage: The agency is responsible for the official record. These records are retained to document the legal disposition of records in case of discovery actions during litigation or when requested for use in audits. These include destruction request and approval forms, DOA State Records Center annual and mid-year disposition files/reports, purge lists, transfer to archives eligibility, and related correspondence.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
ADM00134 <i>[Supersedes REC00006]</i>	Records Storage/Transfer Files	Records used to transfer and retrieve records to and from inactive storage, and to maintain control over them while in storage.	CR + 3 years and destroy.	No	No	State Records Center (SRC) or Other State Owned, Off-Site Storage Facility. The SRC or other state owned storage facility is responsible for the official record. For Non-State Owned, Off-Site Storage Facility and On-Site at Agency Storage: The agency is responsible for the official record. Agencies may need to use these records to track missing files, boxes, or electronic media. May include retrieval requests, transfer forms (i.e. SRC Order Forms, DOA-3805, or Pick-up Requests, DOA-3808) or lists, internal agency storage requests, and charge out slips or logs.
ADM00135 <i>[Supersedes REC00007]</i>	Records Management Program Subject Files	Records Used to support the administration of an agency records management program. Includes correspondence and memoranda, copies of laws, regulations, and other related retention and disposition requirements and documentation compiled to support the legal and other information contained in a Records Retention/Disposition Authorization (RDA). This documentation may be used to draft, amend, or renew an RDA.	EVT + 10 years and destroy. Event is after RDA is approved.	No	No	May consist of correspondence, memoranda, copies of laws or regulations, guidelines, articles, vendor literature (as part of a project), management plans, surveys, and studies. Requests for waivers to policy (justification, special circumstances, etc.) and other records management operations not covered elsewhere.

APPROVED STATEWIDE GENERAL RECORDS SCHEDULES

Approved General Records Schedules (GRS) can be found on the [Public Records Board's \(PRB\) Home Page](#) under Policies. Agencies Opt-in/Opt-Out procedures and General Retention Schedule Adoption Form for all PRB approved General Retention Schedules, including this one, are also available on the PRB website.

If you need further assistance with a GRS, contact your [agency records officer](#) or the DOA Records Management Section at 266-2996 or 266-2770.

Revision History A listing of changes to this GRS.			
Revision Date	RDA Number	Record Series Title	Revision Made
Monday, 3-9-2015	ADM00025	Boards, Councils, or Commissions	PII and Confidential changed to "May Include" and note added regarding closed session materials.
Monday, 3-9-2015	ADM00026	Team, Project, or Workgroup Documentation – Program/Policy Impact	Description language expanded to clarify records that have program/p impact, Event specified, and note added regarding record series intent.
Monday, 3-9-2015	ADM00027	Team, Project, or Workgroup Documentation – Internal and Routine Activities	Examples list expanded and noted added regarding record series intent.
Monday, 3-9-2015	ADM00029	Memorandums of Understanding (MOU) & Service Level Agreements (SLA)	New record series.
Monday, 3-9-2015	ADM00030	Subject Files – Appointed Staff or Equivalent Positions	New record series.
Monday, 6-1-2015	ADM00008	Agency Final Continuity of Operations / Continuity of Government Operational Plan and Documentation	Superseded by new record series in Facilities Management GRS, FAC00088.
Monday, 8-24-2015	FORMS004	Forms Inventory Reports	Superseded by ADM00001.
Monday, 8-24-2015	FORMS005	Forms Management Program Subject Files	Superseded by ADM00011.
Monday, 8-24-2015	FORMS006	Forms Workgroup/Committee Minutes	Superseded by ADM00027.
Monday, 8-24-2015	FORMS008	Forms Management Policies, Procedures and Planning Documents	Superseded by ADM00023 (Policies & Procedures) and ADM00027 (Planning).
Monday, 8-24-2015	FORMS009	Process/Business/Systems Analysis Project Files	Superseded by ADM00027.
Monday, 8-24-2015	LIB00004	Reference Requests Records	Superseded by ADM00010.
Monday, 8-24-2015	LIB00005	Collection Acquisition Records	Superseded by ADM00011.
Monday, 8-24-2015	LIB00006	Serials Subscription Records	Superseded by ADM00011.
Monday, 8-24-2015	LIB00007	Library Subject and Correspondence Files	Superseded by ADM00011.
Monday, 8-24-2015	LIB00008	Library Committee Minutes	Superseded by ADM00027.

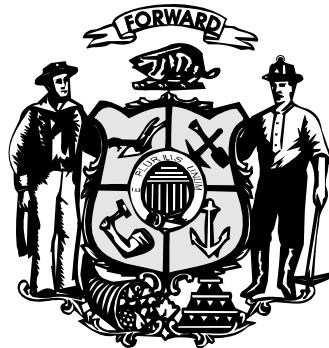
Revision History A listing of changes to this GRS.			
Revision Date	RDA Number	Record Series Title	Revision Made
Monday, 8-24-2015	LIB00009	Library Operations Policies and Procedures	Superseded by ADM00023.
Monday, 8-24-2015	LIB00010	Library Contracts	Superseded by PUR00010.
Monday, 8-24-2015	LIB00011	Library Budget Documentation	Superseded by BUD00006.
Monday, 8-24-2015	MAIL0004	Mail Services Program Subject Files	Superseded by ADM00011.
Monday, 8-24-2015	MAIL0005	Mail Services Policies and Procedures	Superseded by ADM00023.
Monday, 8-24-2015	REC00003	RDA History File	Superseded by ADM00131.
Monday, 8-24-2015	REC00008	Records Management Planning	Superseded by ADM00027.
Monday, 8-24-2015	REC00009	Records Management Policies and Procedures	Superseded by ADM00023.
Monday, 8-24-2015	REC00010	Records Management Consultation Visits	Superseded by ADM00027.
Monday, 8-24-2015	ADM00023	Internal Policies and Procedures	Clarifying note regarding procedures added to Use Case/Examples.
Monday, 8-24-2015	ADM00011	Transitory Records	Title, description, and Use Case/Example amended so RDA is no longer limited to correspondence records only. RDA now includes all transitory records.
Monday, 1-11-2016	ADM00011	Transitory Correspondence and Other Related Records	Title, description, and Use Case/Example amendments not approved.

General Records Schedule

Budget and Related Records

Approved by the Public Records Board:

May 14, 2012



Revised: August 24, 2015

Expiration: May 14, 2022

For use by all units of Wisconsin Government at the State, County, and Municipal level

Scope: This general records schedule covers records related to biennial budget development, annual agency operating budget development and implementation, and other budget and state government control related records typically managed by budget staff.

Personally Identifiable Information: Wisconsin law requires authorities to identify specifically certain record series within a general records schedule that contain Personally Identifiable Information (PII). The statute defines PII broadly as “information that can be associated with a particular individual through one or more identifiers or other information or circumstances.” [Wis. Stats. § 19.62\(5\)](#). Despite this broad definition, [Wis. Stats. § 16.61\(3\)\(u\)](#), requires that record series within a schedule containing the following types of PII need not be identified as such: a) mailing lists; b) the results of certain computer matching programs; c) telephone or e-mail directories; d) record series pertaining exclusively to agency employees; and e) those relating to state agency procurement or budgeting. As to those record series identified as containing PII, the schedule should further indicate whether the PII is incidental to the primary purpose for which the record series is created. Additional information and definitions of key terms relating to PII are provided at <http://itsecurity.wi.gov/>. If in doubt as to whether a specific record series contains PII, check with agency legal counsel, either within your agency or by contacting the Attorney General’s office.

Because of the exemption of budget related records in the statutory definition, none of the budget related record series in this document contain PII.

Related Records Series: See the section on related records series included in the document for reference purposes.

Closed Records Series: See the section on closed records series included in the document. Closed series were included in the prior version of the Budget Records Schedule but are not part of this updated schedule. The rationale for each closed series is provided.

State Budget Office Maintains Executive Office Budget Related Records

For the biennial budget, the State Budget Office in the Department of Administration maintains the records on behalf of the Executive Office. The records in the State Budget Office are the de facto records of the Executive Office.

Legislative Fiscal Bureau Records are Reference Copies

For those record series where the Legislative Fiscal Bureau (LFB) prepares records related to the state budget related functions, the copies received and maintained by both the DOA State Budget Office and state agencies are **reference copies** not subject to Wisconsin Records retention laws. These records may be retained as needed by the State Budget Office and state agencies. Most materials produced by the LFB are readily available on the LFB website.

These include:

- Legislative Fiscal Bureau Papers Produced During Joint Finance Budget Meetings - Previously BUDG0023
- Joint Finance Executive Action Notes/Decisions on Agency Issues - Previously BUDG0034
- Budget Summary/Comparison Documents Prepared by LFB
- Summary of Governor’s Vetoes
- Fund Condition Reports
- Bi-Annual State Revenue Estimates

A companion document, [Introduction to General Records Schedules-Boilerplate, February 2011](#), located at the Public Records Board web site (<http://publicrecordsboard.wi.gov/>), provides more information and guidance about the use of general records schedules by Wisconsin state agencies.

RDA Number	Previous RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
General Policies and Procedures							
BUD00001 Both DOA and State Agencies	New	Policies and Procedures Related to Budgeting	Established policies and high-level procedures associated with budget functions (both bi-annual and annual operating budgets) issued by the State Budget Office and Agency Central Budget Office.	Event + 7 years and then destroy Event is the date the policy or procedure is superseded or made obsolete	No	No	Governor's instructions to state agency heads and State Budget Office instructions/guidance to agencies. Also includes agency instructions to divisions related to preparation of operating budgets. Legislative Fiscal Bureau policies and procedures are reference materials and non-records to state agencies. Note: Procedures under this RDA have typically gone through a vetting process and are intended to support the agency's policies in a direct manner. This RDA does not necessarily include worker instructions which may be viewed as task-specific directions used to ensure compliance with policies and procedures.

RDA Number	Previous RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Biennial Budget Development and Implementation							
BUD00002 Both DOA and State Agencies	BUDG001	Budget Director File	These documents pertain to the Budget Director's records including memoranda, reports, directives, etc. documenting all activities of the State Budget Office and/or Agency Central Budget Office. This series also includes the correspondence files and annual reports within the Director's possession.	FIS + 6 years and then transfer to the Wisconsin Historical Society or applicable UW Archives.	No	No	The Budget Director File is the main file within the State Budget Office and in state agencies in which many official materials are maintained. It represents the location of the bulk of the policy documents and further information pertaining to the Biennial Budget process.
BUD00003 Department of Revenue (DOR) only	New	Biennial Revenue Estimates	Report prepared by DOR on actual and estimated revenues for the current and forthcoming biennium required by Wis. Stat. 16.43 .	FIS + 6 years and then transfer to the Wisconsin Historical Society	No	No	This is part of the subject files for the DOR Division of Research and Analysis. The LFB also does biennial revenue estimates which are published on their website.
BUD00004 Both State Budget Office within DOA (SBO) and State Agencies	BUDG002	Program Revenue Supplements and Positions	Records include requests under s. 16.515 , Wisconsin Statutes, for supplements to existing program revenue and certain appropriations and requests under s. 16.505(2) for program revenue requests. This series also contains agency requests and justifications, as well as the analysis of Department of Administration budget analysts, along with recommendations.	FIS + 6 years and then transfer to the Wisconsin Historical Society or applicable UW Archives.	No	No	

RDA Number	Previous RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
BUD00005 SBO only	BUDG003	Federal Funds Reports	Records include reports by the Department of Administration as required under s. 16.54(8) on federal funds allotted in excess of those approved in the biennial budget process. These reports contain the specific agency name, alpha appropriation, dollar increase over authorized amount and also an explanation of the increase.	FIS + 2 years and then destroy	No	No	
BUD00006 Both SBO and State Agencies	BUDG004	Budget Documents/ Developments	Records include budget papers used in the preparation of the biennial budget documents under s. 16.46, Wisconsin Statutes. Records also include: ○ final agency requests (forms or their equivalents) ○ justifications/analyses ○ policy papers (from the Department of Administration and the Legislative Fiscal Bureau) ○ statutory language proposal drafted by the Legislative Reference Bureau ○ related correspondence ○ requests for information and final agency responses for policy clarifications and/or ○ requests for information to and from agency staff and/SBO and LFB analysts See Division Biennial Requests for those Decision Items (DINs) that were requested but did not make it into the final agency biennial budget submittal.	FIS + 6 years and then destroy	No	No	May include comments from public hearings if Governor does these hearings as part of the biennial budget development. Also includes agency head presentation to Joint Finance Committee on the agency budget request. Intent is for this category to have policy-related documents and not the actual numbers which are maintained in other record series.

RDA Number	Previous RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
BUD00007 SBO only	BUDG005	Employee/Position Report File - Quarterly DOA Report to JFC on the Total Authorized Positions for Each State Agency	Records include reports generated as a spin-off of running central payroll in the Department of Administration. Each pay period reflects the number of employees by type, amount of hours paid and total payroll. Series also contains monthly reports to the Governor on the number of full-time equivalent positions by source and the number of all state employees by types (i.e. unclassified, classified, limited-term employee, project, etc.)	FIS + 6 years and then transfer to the Wisconsin Historical Society	No	No	
BUD00008 SBO only	BUDG007	Chapter 20 History (Interim and Final)	Records include interim and final Chapter 20 schedule of the Wisconsin Statutes reflecting updates at various times of the legislative session as required by s. 20.004(2) . The History starts with agency requests at the appropriation level with subsequent entries for the Governor's recommendations and individual decision item entries through all miscellaneous legislation.	FIS + 20 years and then destroy	No	No	
BUD00009 SBO only	BUDG008-A	Input and Documentation for Position Control (PMIS) per Wis. Stat. 16.004(7) See overview of PMIS attached to this document	Records include forms used by agencies when requesting new positions under s. 16.505(1)(c) and (2) , Wisconsin Statutes, and completed by the State Budget Office to inform agencies of new positions approved by the Joint Committee on Finance through the budget process or through miscellaneous legislation. Series also includes forms used to change the information on positions on the file and to delete positions.	FIS + 10 years and then destroy	No	No	

RDA Number	Previous RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
BUD00010 Both SBO and State Agencies	BUDG008-B	Position Listings (B-1's)	The purpose of this record series is to provide detailed position reports that do the full salary funding calculation under standard budget adjustments. Records also include position by position listing of all authorized permanent and project positions on PMIS, the position number and classification of each position, the B-2 numeric appropriation under which each position is authorized, the program sub-unit of the agency in which the position is authorized, and the subtotal information.	FIS + 6 years and then destroy	No	No	
BUD00011 Both SBO and State Agencies	BUDG010	Original Source Documents used for Budget-Related Research	Records include original source documents developed by budget analysts for studies, reports, surveys to compare Wisconsin with other peer states. Files contain data created for issues which are ongoing and, therefore will be used again in the future to update the studies, reports, surveys, etc.	FIS + 6 years and then transfer to the Wisconsin Historical Society or applicable UW Archives.	No	No	Research materials obtained from external sources are reference materials and not subject to Wisconsin Records Laws.
BUD00012 SBO only	BUDG011	Executive Biennial Budget	Per Wis. Stat. 16.45, the Governor is required to deliver the biennial budget message to the legislature on or before the last Tuesday in January of the odd numbered year. Later submittal dates may be allowed by the Legislature. These materials are created each biennium to provide reference and supporting material to those reviewing the Biennial Budget.	FIS + 6 years and then transfer to the Wisconsin Historical Society	No	No	Agency copies are for reference only. Legislative Fiscal Bureau documents are reference.

			Record series includes Budget Message, Summary of Tax Exempt Devices, Executive Budgets, Budget in Brief, Budget in Very Brief.				
BUD00013 SBO only	BUDG013	Executive Budget Veto Messages	Records include various provision vetoes pertaining to budgets by the Governor and brief messages as to why they were being vetoed. These records also include specific language detailing the reasons for vetoing certain issues and supporting analysis and conclusions.	FIS + 6 years and then transfer to the Wisconsin Historical Society	No	No	Agency copies are for reference only. Legislative Fiscal Bureau documents are reference.
BUD00014 SBO only	BUDG016	Executive Budget and Veto Briefing Documents	Records include documents used by analysts to prepare the Biennial Budget including statistics, background documents, and spreadsheets. For veto briefings, these records allow analysts to make recommendations to the Governor on vetoing a certain item within the budget based on facts and statistics.	FIS + 6 years and then destroy confidential	No	Yes Confidential until budget is publically released (DOA Legal Counsel opinion)	
BUD00015 State Agencies only	BUDG032	Agency Proposed Vetoes	Agency suggestions and policy rationale to the Governor on draft vetoes pertaining to the proposed budget or other legislative bills. The SBO records maintained on potential vetoes is maintained in the series Executive Budget and Veto Briefing Documents (BUDG014).	FIS + 6 years and then destroy	No	No	
BUD00016 SBO only	BUDG020	Critical Payroll (Bi-Weekly Payroll Detail)	Records include bi-weekly listings of payrolls and salaries of employees for determining amounts of expenditures allotted to payrolls. These records constitute an important component in determining the amount of funds requested for payrolls.	FIS + 2 years and then destroy confidential	No Due to use in budgeting; otherwise would be Yes	Yes	Used for research purposes. Series is maintained by the Central Payroll Unit for Creation + 15 years per PAY00016, Payroll/Leave History reports.

BUD00017 SBO only	BUDG021	November 20 Report	The DOA Secretary is required per Wis. Stat. 16.43 to provide to the Governor or Governor Elect and to each member of the next Legislature by November 20 of each even numbered year a compilation of each agency's biennial budget request, as well as information on the actual and estimated revenues for the current and forthcoming biennium. See record series titled DOR Biennial Revenue Estimates for the revenue component of the November 20th report.	FIS + 6 years and then transfer to the Wisconsin Historical Society	No	No	
BUD00018 Both SBO and State Agencies	BUDG024	Decision Item Narrative Background Documents	Records contain final briefing papers, spreadsheets with statistics and calculations, research materials and supporting documents relating to DINs. DINs are also developed for proposed statutory language changes without fiscal consequences.	FIS + 6 years and then destroy	No	No	
BUD00019 Both SBO and State Agencies	BUDG025	Decision Item Narratives - (DINs) All Types	These records present succinct summaries of the need, options, and proposed solution beginning with a brief one or two sentence summary. These records are designed to give a description of the decision item such as building operations, additional financial positions, increased LTE funds, ongoing capital equipment needs and technical position consolidation. DINs are also developed for proposed statutory language changes without fiscal consequences. Records include worksheets, spreadsheets, schedules, and any other information pertaining to the	FIS + 6 years and then destroy	No	No	DINs for proposals added by the Governor and not proposed by an agency are developed by SBO analysts. DINs proposed by the agency that are not included in the agency request are maintained as part of the Division Budget Request series.

			reconciliation process of the biennial budget.				
BUD00020 Both SBO and State Agencies	BUDG026	Base Reconciliation (B-9's)	This is the starting point of the biennial budget process. Records contain summaries of expenditure items including permanent and project position salaries, fringe benefits, supplies and services, permanent properties, non-allotted reserves, as well as the adjusted base year level of funds associated with each item.	FIS + 6 years and then destroy	No	No	
BUD00021 Both SBO and State Agencies	BUDG028	Department Biennial Budget Submission including all DINs Approved by the Agency Head	<u>Wis. Stat. 16.42</u> specifies that agency budget requests are to be submitted to the State Budget Office no later than September 15th of each even numbered year. This document represents many forms or their equivalents within the agency budget office and effectively details the Biennial Budget process. This record also encompasses a large group of important components such as the Agency Budget Request (B-2), Revenue Projections/Balance Statement (B-3), Title Final Details Listing and Department Appropriation Structure File Maintenance (B-5/B-6), Department Summaries Form (B-7), Program Summaries Form (B-8), and the Position Changes and Salary Documentation Worksheet (B-10), which are used by budget analysts to submit their Biennial Budget information.	FIS + 6 years and then destroy	No	No	

RDA Number	Previous RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
BUD00022 State Agencies only	BUDG029	External Briefing Documents	Records include materials prepared by budget staff to brief decision-makers outside the agency on initiatives contained in the biennial budget. May include issue papers, summaries, correspondence, briefings and other information.	FIS + 6 years and then destroy	No	No	
BUD00023 State Agencies only	BUDG037	Revenue Re-Estimates for Reconciliation of Program Revenue Appropriations	The agency central budget office is in charge of reconciling the budget to ensure that expenditures do not exceed revenues. During this reconciliation process, certain records are used to form the base on which the Biennial Budget is built. Revenue Re-Estimates are those background papers which further detail the amount of revenues flowing into the agency to ensure correctness. These records include correspondence, general purpose revenue earned estimates, and analysis of revenues collected by the agency.	FIS + 6 years and then destroy	No	No	
BUD00024 Agency Budget Office only	BUDG040	Agency Final Budget Submittal to Oversight Board	This record represents the submission of the budget to the Oversight Policy Board. Series includes summaries of all divisions that exist within the agency and also details what amounts of funds should be allocated to each of the divisions in the upcoming Biennial Budget.	FIS + 6 years and then destroy	No	No	Applies only to those agencies with policy boards which review and approve biennial budget requests before submittal to the SBO. Note: This type of record will not be common to all state agencies. The Natural Resources Board and the UW

							System Board of Regents will have these types of records.
BUD00025 State Agencies only	BUDG041	Division Biennial Budget Requests	This series includes the final division biennial budget request and related final DINs by divisions for consideration by the agency head for inclusion in the agency budget submittal to DOA. Completed final analysis by the agency budget staff would be part of Budget/Documents Development RDA, BUD006.	FIS + 5 years and then destroy	No	No	Includes DINs proposed by divisions that did not make it into the agency submitted biennial budget request.
Operating Budget Development-Implementation							
BUD00030 State Agencies only	New	Initial Approved Annual Operating Budget	Records related to establishing the base level agency annual operating budget each fiscal year.	FIS + 5 years and then destroy	No	No	Initial dollar allotment and position allocation for each state fiscal year. May include travel and training plans within the organization.
BUD00031 State Agencies only	New	Amendments and Adjustments to Annual Operating Budget	Records related to amendments and adjustments to annual operating budgets such as Wis. Stat. 13.10 supplements or requests from agencies to SBO or within agencies from divisions to adjust funding between established budget lines.	FIS + 5 years and then destroy	No	No	May include: ○ Changes to budget lines either self - initiated by the agency or that require external approval (State Budget office or Legislative) ○ Requests and decisions on supplements for pay plan or space ○ Section 16.505/515 requests and decisions ○ Section 16.54 Federal Appropriation re estimates

							○ Section 13.10 supplements or transfers ○ Agency revenue re-estimates and expenditure studies ○ Mandatory lapses of approved budget amounts ○ Separate legislation passed into law that contains appropriated funds
Other Budget and Control Related Records Series							
BUD00040 Both SBO and State Agencies	New	Management Reviews/Studies/Audits	Reports or studies that are either mandated by state law or directed by the Governor or Agency head conducted by DOA or agency budget staff and or management analysis staff. Also includes management audits as mandated by Wis. Stat. 16.004(6) .	Event + 5 years and transfer to the Wisconsin Historical Society or applicable UW Archives. Event is the date the report is completed	No	No	Typically mandated as session law directives in the biennial budget. Studies might also be authorized by Executive Order or requested by an Agency head.
BUD00041 Both SBO and State Agencies	BUDG006	Legislative Fiscal Notes/Estimates and Bill Analysis Files	The SBO coordinates the process of obtaining fiscal estimates per Wis. Stat. 13.093(2)(a) . Records include bill analyses and fiscal notes/estimates prepared by agencies within the scope of their responsibilities as well as final working documents, if any, within the agency developing the fiscal estimate and or bill analysis. For the State Budget Office, this	FIS + 4 years and then transfer to the Wisconsin Historical Society or applicable UW Archives.	No	No	Agencies often keep a complete set of legislative proposals each legislative session for reference purposes. These are reference only. Only the fiscal notes and bill analysis prepared by agency staff and or the SBO staff are records.

			series includes any fiscal notes and or bill analysis which it prepares, as well as correspondence with Legislators and agency staff when there are questions related to the fiscal note and or bill analysis which was prepared.				
BUD00042 SBO only	BUDG009	Joint Finance Committee Meeting Under WS 13.10 (agendas, supporting materials and meeting minutes)	Records include the official record of Joint Committee on Finance Meetings under s. 13.10 , Wisconsin Statutes, containing agency requests, Department of Administration and Fiscal Bureau analyses and Governor's recommendations and minutes of committee persons.	FIS+5 years and then transfer to the Wisconsin Historical Society	No	No	These meeting agendas and related minutes are published on the SBO website.
BUD00043 SBO only	New	Governor's Review and Approval of Agency Administrative Rules	2011 Wis. Act 21 clarified the authority of a state agency to promulgate administrative rules. It requires gubernatorial approval of scope statements on proposed administrative or emergency rules and economic impact analysis of the proposed rules. Records include the final version of the: ○ Scope statement ○ Economic Impact Analysis ○ Proposed Rule This record series includes the correspondence files and documents for each of the three steps: (1) the agency's development and submission, (2) the State Budget Office analysis, and (3) the Governor's approval. Note: The scope statements are part of the initial step in the process that results in the Administrative Rule which is published by the Legislative Reference Bureau.	FIS + 5 years and then transfer to the Wisconsin Historical Society	No	No	In many state agencies, the Office of Legal Counsel maintains the agency master administrative rules file. Agency materials to comply with the Governor's review would be part of that file; therefore agency materials are not covered by this category.

RDA Number	Previous RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
BUD00044 SBO only	New	External Approval of State Agency Travel and Training	Approval by SBO, if required, for out-of-state travel and or training. Approval could be for either individual trips or an agency travel plan. See the series for operating budget (BUD030) which contains the travel authorization internal to an agency. Agency staff who need to travel as part of their normal activities are typically exempt from such travel plans for in-state travel but would be subject to the plan for out-of-state travel.	FIS + 6 years and then destroy	No	No Exception: For certain law enforcement staff, this might be confidential – destroy confidential	Authorization is typically submitted with receipts as part of the travel voucher which in turn is maintained by the Finance office for FIS + 6 years per RDA 90000021, Fiscal and Accounting General Schedule. From the individual's perspective, the records are covered in the Administrative GRS under HR000181, retention of creation + 1 year.

Other Budget-Related Record Series (For Reference Purposes)

These record series are not part of the Budget General Records Schedule (GRS). They consist of record series already approved by the Public Records Board from other General Schedules.

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/ Example
HR000011 Human Resources GRS	Approval to Staff Positions	Approval by agency staff and or budget staff, if required, to approve either a staffing plan or individual agency authorization to proceed with staffing a position. Note: HR maintains another set of records related to the staffing of positions.	Event + 4 years and then destroy Event is the date the request is approved or denied	No	No	At various times Centralized Position review has been required by the SBO on behalf of the Governor.
HR000087 Human Resources GRS	State Agency and UW System Layoff and Furlough Plans	Agency layoff plans are submitted for review and approval by OSER. Furlough plans are required by Executive Order #285 to be submitted and approved by OSER. Includes the final plans as well as any correspondence between the agency and OSER prior to final approval.	Event + 6 years and then destroy Event is the date the specific plan is approved by OSER	No	No	
HR000181 Human Resources GRS	Training Request Documentation	Documents used to obtain agency approval to attend, register for specific classes, and document that the person attended specific training programs.	Creation + 1 year and destroy confidential	Yes	No	Includes in-state and out of state events. Includes completed OSER OEDT-500 and agency equivalents.
90112 Procurement GRS	Approval to Procure Goods or Services	Approval by agency staff and or SBO, if required, to proceed with procurements for dollar levels above those allowed via P-cards within established budget line authority.. Note: Procurement maintains the most comprehensive set of records related to procurement.	Event + 4 years and then destroy Event is the date the procurement is completed and the bid is awarded	No	No Bids containing trade secrets are confidential.	

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/ Example
FAC00004 Facilities GRS	Agency Biennial Capital Budget Request	Official capital budget request for those state agencies that operate facilities.	Event + 6 years and then destroy Event is the date of submittal	No	No	
FAC00005 Facilities GRS	DSF analysis of Agency Capital Budget Requests- DOA only	Analysis on behalf of the State Building Commission of agency request.	Creation + 4 years and then destroy	No	No	
90000004 Fiscal and Accounting GRS	Audit reports, Agency Responses and Audit Finding Resolutions	Audit Reports, Agency Responses and Audit Finding Resolution	Event + 3 years and then destroy Event is the date of submission to Federal clearinghouse designated by OMB for federal programs and date of issuance of final report for state programs	No	No	
ADM00002 Administrative Records GRS	Agency Biennial Reports	Section 15.04(1)(d) , Wis. Stats. requires every department or independent agency to submit a biennial report to the Governor and Legislature, on or before October 15 of each odd-numbered year. Reports are to be prepared and submitted in an electronic format to reduce printing and distribution costs.	Event + 4 years and then destroy Event is the date of the report submittal	No	No	The completed reports are publications that must be made available per Wis. Stat. 35.83 to various libraries. The reports are published on the DOA website.

RDA Number	Record Series Title	Comment	Retention	PII	Confidential	Use Case/ Example
ADM00018 Administrative Records GRS	Reorganization Documentation	Documents showing organizational changes within the agency. Files of significant addition, deletion, or transfer of administrative, functional or regulatory responsibilities. Major reorganization requires approval of the SBO on behalf of the Governor. Agencies are delegated to approve minor reorganizations. SBO has a policy statement on reorganization approval.	Event + 2 years and then transfer to the Wisconsin Historical Society or the UW Madison Archives Event is completion of reorganization.	No	No	
ADM00021 Administrative Records GRS	Transition Briefings	Records prepared to provide an overview of the organization during transitions to new management.	Event + 2 years and then destroy Event is the date the prior executive leaves his/her position	No	No	
HR000056 Human Resources GRS	Biennial Compensation Plan –OSER Only	Includes preliminary proposals, public hearings, and the final proposal presented to the Joint Committee on Employment Relations. A similar set of documents exists for every recommendation for a modification or amendment made during the biennium. Once approved, the comp plan is updated and the replacement pages issued during the biennium.	Permanent	No	No	Agency copies are for reference only.
HR000064 Human Resources GRS	Compensation Reserve Developments, Reports, and Documentation- OSER only	OSER is responsible for the development of the compensation reserve recommendation that is submitted, with the approval of OSER to the DOA State Budget Office. This recommendation is reviewed during the development of the Governor's biennial budget and will be the compensation and benefit package resulting from collective bargaining and the non represented plans (UW and classified), increases in health insurance premium costs, LOSP, and other related items. OSER is responsible for monitoring and reporting on the status of	Creation + 6 years and then destroy confidential	No	Yes	

		the reserve and providing counsel on adjustments to be made.				
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Closed Series

Record series in the prior version of the Budget General Records Schedule that are not part of this updated schedule. The rationale for closing each series is provided in the comment column.

RDA Number	Record Series Title	Comment	Retention	PII	Confidential	Use Case/ Example
BUDG012	Executive Orders	This series is closed because it is a separate series maintained within the Executive Office. Most Executive Orders are not related to budgeting.	FIS+10 years and then destroy	No	No	
BUDG014	Class Codes Summary Reports	This series can be classified as an end of year accounting/Fiscal Status report covered under RDA90000091 End of Year Accounting/Fiscal Status reports- FIS+6 years.	FIS+6 years and then destroy	No	No	
BUDG015	Wisconsin State Budget Comparative Summary of Budget Recommendations	Closed because this is a LFB not DOA or agency budget related document.	FIS+14 years and then destroy	No	No	
BUDG017	Executive Veto Briefing Documents	Closed because the budget development and veto related briefing series are being consolidated into a single series.	FIS+8 years and then destroy	No	Yes Confidential until budget is publically released. DOA Legal Opinion	
BUDG018	National Surveys/Detail Backup	Closed because the records in this series will be covered under other budget related series.	FIS+8 years and then destroy	No	No	National Surveys may be reference materials. Analysis done by state staff comparing national surveys to Wisconsin are records.
BUDG019	General Ledger (WISMART) Appropriations Table Detail	This series can be classified as an end of year accounting/fiscal Status report covered under RDA90000091, End of Year Accounting/Fiscal Status Reports, FIS+6 years.	FIS+10 years and then destroy	No	No	

RDA Number	Record Series Title	Comment	Retention	PII	Confidential	Use Case/ Example
BUDG022	Annual Fiscal Reports	Closed for the Budget GRS because it is two separate series within DOA for the State Controllers Office. RDA#000500000 covers the Wis. Annual Fiscal Report and Appendix with a retention/disposition of Creation+7 years and then transfer to WHS. DOA RDA#00201000 covers the CAFR work papers with a retention/disposition of Creation+10 years and then destroy.	FIS+8 years and then destroy	No	No	
BUDG023	Legislative Fiscal Bureau Papers Produced During Joint Finance Budget Motions	Closed because it is a record of the Legislative Fiscal Bureau. Records contain documents including motions, policy proposals, etc., produced by the Legislative Fiscal Bureau pertaining to various budget items. Note: See page 9: "Wisconsin Biennial Budget Cycle Background" for additional information	FIS+4 years and then destroy	No	No	Maintained on the Legislative Fiscal Bureau web site. Reference to both SBO and Agencies.
BUDG027	Title Final Detail Listing (B-5/B-6)	Closed because the B-5 and B-6 materials are being folded into BUDG028, Department Biennial Budget Submission.	FIS+6 years and then destroy	No	No	
BUDG030	TAP Resource Identification Discussions	Closed because it is no longer used.	FIS+6 years and then destroy	No	No	
BUDG031	Biennial Budget Summary	Closed because it is no longer used.	FIS+6 years and then destroy	No	No	
BUDG033	Bill Tracking and Analysis Notes and Memos	Closed because it is no longer used. The Legislative Fiscal Bureau documents are used to track the biennial budget after it is introduced by the Governor.	FIS+4 years and then destroy	No	No	

RDA Number	Record Series Title	Comment	Retention	PII	Confidential	Use Case/ Example
BUDG034	Joint Finance Executive Action Notes/Decisions on Agency Issues	Closed because it is a record of the Legislative Fiscal Bureau. These records have the purpose of summarizing and documenting the agency-head decisions as the budget is being developed. They further provide tools for those involved in analyzing the decisions and issues before submitting them to the Biennial Budget. Records include the Joint Finance Committee language/decisions as to various programs including gaming, information technology programs, etc. Note: See page 9: "Wisconsin Biennial Budget Cycle Background" for additional information.	FIS+4 years and then destroy	No	No	
BUDG035	Worksheets, Summaries for Section Office	Closed because it is no longer used.	FIS+4 years and then destroy	No	No	
BUDG036	Statute Language Proposals and Issues	Closed because it is folded into the category: Budget Documents/Developments.	FIS+4 years and then destroy	No	No	

RDA Number	Record Series Title	Comment	Retention	PII	Confidential	Use Case/ Example
BUDG038	Biennial Budget Instructions	This series is covered under the series titled Policies and procedures related to Budgeting. This record functions to describe the details of the major budget policies that will take effect in the next biennium. This record series includes overall guidelines of the Governor's priorities for the upcoming biennium. Also included are timetables for budget development, the program and appropriation structures, base year reconciliation information, and other budget documents such as the PMIS and position listing (B-1), Agency Budget Request (B-2), Revenue and Balance Statement (B-3), and Position and Salary Documentation (B-10). Further included are various appendices including a statutory fund table, master lease program, performance measures in budgeting, budget checklists, and a model budget with examples of all its components. <i>Note:</i> See page 9: "Wisconsin Biennial Budget Cycle Background" for additional information.	FIS+6 years and then destroy	No	No	
BUDG039	Agency Biennial Budget in Brief	Closed because agencies no longer prepare this type of document. Most agencies post the agency 's completed budget request on their websites.	FIS+6 years and then destroy	No	No	Copies throughout each agency are non-records.

Revision History A listing of changes to this GRS.			
Revision Date	RDA Number	Record Series Title	Revision Made
Monday, 8-24-2015	BUD00001	Policies and Procedures Related to Budgeting	Clarifying note regarding procedures added to Use Case/Examples.

Supplemental Information on Budget-Related Systems

Personnel Management Information System (PMIS)

The Personnel Management Information System (PMIS) purpose is to provide the Governor, the Legislature, and the Office of State Employment Relations (OSER) with the most up-to-date information pertaining to authorized positions, payroll, and related items covering civil service employment. PMIS includes positions in all executive branch agencies except the University of Wisconsin System, the Court system, and the Legislature (exceptions: Retirement Research Committee and Legislative Audit Bureau). PMIS is created by statute and maintained by the Secretary of the Department of Administration.

Whenever a new position is created or an existing position is restructured or deleted through any number of statutory processes, the affected agency must complete PMIS file maintenance documents. The most common reason PMIS file maintenance documents are prepared are as follows:

- New Positions: a position has been created through the biennial budget, [s. 13.10](#) or s. [16.505](#) processes, miscellaneous legislation, fractionations (splitting existing FTE to create a new position), federal grants (s. 16.54), or a surplus position is needed ([16.50 \(3\)](#)).
- Restructured Positions: the agency wants to change some information about a position, i.e., funding, secondary level, organization code, class code, or a change in duties.
- Deleted Positions: the agency wants to delete the position. For example, a project position may have expired; the FTE of the deleted position can be used to increase the FTE of other positions; or, the budget requires the position to be deleted.

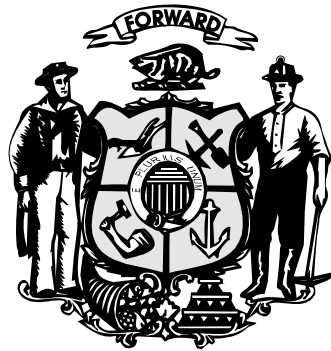
As required under [s. 16.50](#) of the statutes, the Department of Administration will review all requests before positions are authorized, restructured or deleted. The review generally addresses variations on two global concerns: (1) that the requested positions or changes are consistent with the budgetary intent underlying the positions authorization; and, (2) that the agency has completed the required PMIS file maintenance documents completely and accurately.

General Records Schedule

Facilities Management and Related Records

Approved by the Public Records Board

February 22, 2010



Revised: August 24, 2015

Expiration: February 22, 2020

For use by all units of Wisconsin Government at the State, County, and Municipal level

Scope

This general records schedule covers the facility and related records of Wisconsin government agencies. There are six broad categories:

- General Policies and Procedures
- Capital Budget Related records
- Use and Operation of Facilities related records including parking
- Security related record Series
- Health, Safety and Risk management Facility related records
- Records related to state owned and operated cemeteries

For the Capital Budget section this schedule covers facilities that are constructed under the statutory authority of the State Building Commission which has responsibility for developing and implementing the state building program. Facility related records related to state transportation functions which have separate statutory authority are not included within the scope of this general records schedule. These records would be covered by program specific records schedules.

When the General Records Schedule for Budget and Budget Related Records was approved in March 2002 it did not include the record series related to the capital budget which follows its own set of policies and procedures until the approved State Building Commission biennial building program is added to the biennial budget bill by the Joint Committee on Finance. The Legislature then considers the capital budget as part of the biennial budget bill.

The sections on Use and Operation of Facilities; Security related records and Health, Safety and Risk management have general applicability to all state owned and or operated facilities.

The section on state owned and operated cemeteries narrowly applies to the state agencies that own and operate such facilities.

This retention schedule applies to records in all media.

A companion document [Introduction to General Records Schedules June 2009](#) provides more information and guidance about the use of general records schedules by Wisconsin government agencies. In particular agencies are cautioned about destroying records at the end of the required retention time period if:

- records are required for a financial or performance audit;
- records are relevant to an existing, pending, or impending legal proceeding
- a relevant public records request has been received and not completed;
- a revised retention schedule is under development that would extend the retention time period.

Unless specified otherwise each category covers official records maintained by both DOA and state agencies.

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
General Policies and Procedures						
FAC00001	Policies and Procedures relating to the Capital Budget Process and Use and Operation of State Facilities	Established policies and high level procedures associated with both the Capital Budget process and use and operation of state facilities. These policies and procedures could be issued by DOA-Facilities, State Capital Police and agencies who own or operate facilities.	Retain 7 years after the current version is updated and then destroy*** EVT+7 years and then destroy*** For DOA and UWSA issued policies and procedures agency copies may be destroyed when superseded by more current version. Agency: Superseded and then destroy***	PII-No	Confidential No	Examples include: DOA Capital Budget Manual; DOA Building Tenant Manual; DOA Space Standards and Policies; Capital Budget Cost Estimating Guidelines; UW Systems Administration-Major Capital Projects Evaluation Criteria; DWD Office Appearance Guidelines ***Any such policy or procedure identified as a publication should be transferred to DPI 's Wisconsin Document Depository Program per Wis. Stat. 35.83 Note: Procedures under this RDA have typically gone through a vetting process and are intended to support the agency's policies in a direct manner. This RDA does not necessarily include worker instructions which may be viewed as task-specific directions used to ensure compliance with policies and procedures.
Capital Budget Related Record Series						
FAC00002	Agency Six Year Facilities Plans	Official and amended plans submitted by agencies to governing bodies, DOA and the State Building Commission. State agency file would contain more detail on facility related	Retain 12 years and then destroy*** CR+12 years and	PII-No	Confidential No	Agency six year plans are published on the DOA Division of State Facilities Web site.

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
		issues that might not be included in the submitted plan.	destroy***.			***Any such policy or procedure identified as a publication should be transferred to DPI 's Wisconsin Document Depository Program per Wis. Stat. 35.83
FAC00003	Master Facility Plans	Long range planning documents for major state facilities or groups of related facilities (i.e. campus master plans)	Retain current plan for the life of the structure (until razed or facility sold). Superseded master plans should be transferred to WHS or UW Archives EVT (Superseded by new plan and then-Transfer to WHS or UW Archives.	PII-No	Confidential No	DVA 20 year Capital Projects Master Plan for Veteran's Homes. UW Master Facility plans. Many agencies have master plans for large facilities.
FAC00004	Agency Biennial Capital Budget Request	Official capital budget request for those state agencies that operate facilities.	Retain 6 years after date of submittal and then destroy EVT+6 years-destroy.	PII-No	Confidential No	
FAC00005	DSF analysis of Agency Capital Budget Requests- DOA only	Analysis on behalf of the State Building Commission of agency request.	Retain 4 years and then destroy. CR+4 years-destroy	PII-No	Confidential No	
FAC00006	Sales of Facilities and or Land (Case Files) Includes appraisals and related valuations.	Projects where the state plans or actually sells either facilities and or land assets. SBC and Joint Finance Committee must approve the sale of state land and facilities.	Retain for 6 years after (event) the date of the completion of the transaction and then destroy	PII-No	Confidential No	Sale of Thornton Ave. DOA owned facility and land.

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
			EVT+6 years-destroy			
FAC00007	Receipt by Gift of Facilities and or Land (Case Files)	Projects where land and or buildings are being gifted to a state agency. SBC approval is required prior to acceptance of buildings and or land gifted to an agency	Retain for the life of the structure (until razed or facility sold) and then transfer to WHS or UW Archives EVT (Life of Structure)- and then transfer to WHS or UW Archives	PII-No	Confidential No	
FAC00008	Concept and Budget Reports	An architect or engineering firm is typically retained to perform planning and design work associated with each building project. Both the agency(ies) occupying the facility being designed as well as DOA Facilities would have official copies of these completed reports along with the private sector A/E firm hired to perform the work.	Retain 10 years after (event) the date the project is completed or project concept is abandoned and then destroy. EVT +10 years-destroy	PII-No	Confidential No Exception: Prisons. Secure facilities – destroy confidential	
FAC00009	Environmental Assessment & Impact Statements	Official copies of environmental assessments, impact statements and related documentation related to state construction projects. May include: -Environmental Assessment reports and drafts -Environmental impact statements (draft and final) -Legal notices -Comments from the public , DNR and others -Related correspondence and supporting materials The records are kept to document	Retain for the life of state ownership of the land plus 6 years and then transfer to WHS or UW Archives. EVT+6 years and then transfer to WHS or UW Archives.	PII-No	Confidential-No	

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
		compliance with the Wis. Environmental Policy Act of 1972 and also kept as reference material for interested /concerned agencies, agency staff and public citizens.				
FAC00010	Cultural Resource Review Records – Archaeological & Historic Site Case File	Under s. 44.40, Wis. Stats., in the course of managing state owned lands, state agencies are required to identify known cultural resources that may be impacted by its actions. If a known archaeological site is present or if an archaeological survey has been conducted to check for archaeological remains this category would be used. Records in this series may include the following: • Archaeological survey reports • Information on documented archaeological sites • Information on documented historic structures NOTE: Other copies of results of cultural resource reviews may also be filed in other records series.	Retain for 10 years after the property or site is transferred or sold and then transfer to the WHS or UW Archives. EVT+10 years and transfer to WHS or UW Archives.	PII-No	Confidential-No	
FAC00011	Construction Project File-	All documents pertaining to project file including, design and construction contracts, proposed and approved amendments to all contracts, bidding plans and specifications, details on materials used on each project, status reports by state staff who supervise construction, concerns of future tenants of facility and all other related project materials.	Retain for 10 years after (event) the date the construction project is closed and then destroy. EVT+10 years-destroy confidential. Construction	PII-No	Confidential Yes Wis. Stat. 19.36(9)	DOA Facilities maintains a central construction file with a unique identification numbers for each construction project. This file contains both programmatic and financial information. Note: Current DOA RDA#0094 with the same retention/disposition covers

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
			projects are typically closed several months after the project is completed.			these records in DOA.
FAC00012	Construction Project File-Historically Significant Facilities	Same description as above. Note: The designated historic preservation officer may purge non-programmatic records in the construction project file per approved retention policies.	Retain for the life of the structure (until razed or facility sold) and then transfer to WHS or UW Archives. EVT (Life of Structure)- Transfer to WHS or UW Archives.	PII-No	Confidential Yes Wis. Stat. 19.36(9)	State Capital, Executive Residence, 1 West Wilson Street, Madison; other state owned facilities on the National Register of Historic Buildings
FAC00013	Asbestos and Hazardous Material and Environmental Remediation Case File	Project files on asbestos abatement and hazardous materials and environmental remediation projects at state owned buildings. OSHA 29CFR 1926.1101 governs asbestos abatement projects. The records include medical surveillance records for certain people who wear protective equipment performing asbestos abatement work.	Retain for 30 years after the completion of the project and then destroy confidential. EVT+30 years-destroy.	PII-Yes	Confidential Yes for those portions of the files that contain medical records	Wis. Stat. 146.82 defines patient health care records as confidential Note: Current DOA RDA #168 with the same retention/disposition covers these records in DOA.
FAC00014	Unsuccessful Bids and Unsolicited Proposals	Bids and proposals from either developers or construction firms for building construction.	Retain 4 years after the (event) date the bid is awarded and then destroy. EVT+4-years - destroy.	PII-No	Confidential No	Note. Currently DOA Facilities keeps these records in the construction project file. For non-facility related bids follow the State Purchasing and Procurement General Records Schedule.
FAC00015	As-Built Plans and Original Building Drawings for	Final as-built plans and original building drawings for state-owned facilities.	Retain for the life of the structure (until razed or	PII-No	Confidential Yes	DOA RDA#0096 with this retention covers these records for DOA. This

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
	Completed Construction Projects		facility sold) and then transfer to WHS or UW Archives. EVT (Life of Structure)- Transfer to WHS or UW Archives.		Wis. Stat. 19.36(9)	category would also cover agency records if so maintained.
FAC00016	Land Titles, Conveyances and Easements (Also restrictions related to use of specific parcels)	Documentation for state owned land. Also includes any legal rights granted to others that relate to state owned land. These records are maintained by DOA, various state agencies with delegated authority to hold title to state lands and or the Office of the Secretary of State. Because of potential liability for environmental damage even after ownership is transferred land ownership records may need to be retained even after property is sold. Administrative issue A question was raised as to how best to manage land records of property that has been sold. Should these records be managed by DOA, the state agency or both?	Retain permanently Permanent	PII-No	Confidential No	UW Systems Administration, DOT, DNR and the Board of Commissioners of Public Lands each have program related authority related to land ownership. Each of these agencies may be able to use this RDA.
FAC00017	State Building Commission Meeting Agendas and Minutes	All facility related decisions must be approved by the State Building Commission. The minutes include formal approval of each biennial capital budget. The DOA Division of State Facilities staffs the Commission.	Retain for 30 years and then transfer to WHS. CR+30 years- Transfer to WHS.	PII-No	Confidential No	These agendas and meeting minutes are published on the DOA Division of State Facilities Web site. Note: DOA RDA#00231 with this retention covers these records for DOA.
FAC00018	State Capital and Executive Residence Board Meeting	All facility related decisions impacting the State Capital and Executive Residence must be approved by this	Retain for 30 years and then transfer to WHS.	PII-No	Confidential No	Note: This would replace Current RDA's#383 and 383A for this Board.

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
	Minutes and Agendas	Committee. This series contains the agendas, meeting minutes and related documents for this board. The DOA Division of State Facilities staffs the Commission.	CR+30 years- Transfer to WHS.			
FAC00019	DOA Lease File- Approval of Major Agency Leases- See below for agency leases	DOA maintains a lease file for each state agency lease. SBC approval is required for leases if any of the following apply: -the leased space equals or exceeds 10,000 GSF -the lease has a term that exceeds 5 years, excluding renewal options-if the proposed lease space requires construction of a new building. Source: Introduction to State Building Commission DOA DSF January 2003	Retain 6 years after (event) expiration of the lease or final payment, whichever is later and then destroy. EVT+6 years- destroy	PII-No	Confidential No	
FAC00020	Approval of State Rental Rates (For DOA owned and managed Facilities)	File contains calculations, DSF recommendation and SBC approval of rental rates. File also includes communications between DOA and tenant agencies. SBC approval is required for rates charged internally to state agencies for various classes of office, laboratory and storage space. A space rental account manages the amount of space allocated to each agency and the related billings.	Retain for the current fiscal year and 6 back fiscal years and then destroy FIS+6 years- destroy	PII-No	Confidential No	
FAC00021	Bond Sales /Legal Documents (Case Files)	This is a single depository of all state general and revenue obligation debt. Includes original debt contracts and working files. Documents include but are not limited to: Operating notes; master lease	Retain for 4 years after the date of maturity of each bond .and then destroy	PII-No	Confidential No	.

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
		certificate of participations; public offering documents; veterans and transportation bonds; and working files. IRS rules require that these records be retained for 4 years after each bond maturity. Text from existing DOA RDA 24.	EVT+4 years-destroy			
FAC00022	Master Leases case Files-Agency requests and DOA approvals	A type of long term obligation that does not involve the issuance of bonds and is not considered GO debt. The state maintains various financing options for items that are master leased. State agencies submit requests to DOA for approval. DOA's review addresses lease financing as an alternative for acquiring the equipment and that the state agency has identified the resources to make the required lease payments.	Retain 6 years after (event) expiration of the lease or final payment, whichever is later and then destroy. EVT+6 years-destroy	PII-No	Confidential No	From a Capital Finance perspective this series would only be used by agencies. The files from DOA that relate to requests and approvals are filed with master lease schedule files.
FAC00023	Master Lease Schedules-DOA	Files and documents relating to master lease schedules that are added to the master lease for the state's master lease program. This includes, but is not limited to, approvals acceptance certificates, lease schedules, legal opinion, copies of invoices and other items related to assignment of security interest.	Retain 15 years after (event) final payment, and then destroy EVT+15 years-destroy	PII-No	Confidential No	
FAC00024	Strategic/Business/Operational Plans-Related to State Facilities	Consultant or state prepared plans related to state facilities.	Retain master copy and essential background documentation for 6 years after the plan is completed, superseded or revised and then transfer to WHS or UW Archives.	PII-No	Confidential No	Example: Arthur Anderson study Note: DSF would establish a project case file for work associated with any such plan and the records classified as if they were a construction project.

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
			EVT+6 years-transfer to WHS or UW Archives			
FAC00025	Inventories of State Facilities and Land Assets	Inventories of state facilities and land assets developed and maintained for valuation and planning purposes.	Retain completed inventory for the current fiscal year and 4 complete back fiscal years and then destroy. FIS+4 years and then destroy	PII-No	Confidential No	This RDA complements the existing RDA for Capital Equipment inventories-RDA900000110 in the Fiscal and Accounting GRS.
FAC00026	Appraisals-Land and or Structures not Obtained	Appraisals either performed by or on behalf of state agencies. Appraisals of land and or structures purchased would be retained in one of the above categories.	Retain 3 years after date of appraisal acceptance and then destroy. EVT+3 years-destroy	PII-No	Confidential No	
Fiscal and Accounting General Records Schedule covers budgeting and accounting related records associated with construction projects-three series- Listed here for Informational Purposes 90000080 Capital Accounting-Accounts Payable Records-Special Federal Requirements Records may include the following records: acquisitions: capital assets; depreciation schedules; fixed assets; material transfer files; mortgage ledgers; facility/plant ledgers; property detail reports; property inventory reports; and reports on property sold. Federal regulations for tax exempt bonding requires that expenditure records must be retained for 6 years past the maturity date of a bond. Because expenditures are not assigned immediately there is not an efficient way to file expenditures by specific bond issue. Therefore as most bonds are 20-year maturity bonds and 30 years is the maximum bond maturity length a 30-year retention will cover most records. Retention: Official Record EVT+30 years (issuance date) Retention Copies EVT (when no longer needed) Disposition: Destroy for both 90000081 Capital Accounting-Accounts Payable Records-Projects Not Funded with Tax-Exempt Debt Records may include the following records: acquisitions: capital assets; depreciation schedules; fixed assets; material transfer files; mortgage ledgers; facility/plant ledgers; property detail reports; property inventory reports; and reports on property sold. Retention: Official Record EVT+4 years (project closing)						

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Retention: Copies EVT (when no longer needed) Disposition: Destroy for both 90000082 Capital Accounting-Project Budget Transactions (Allotments) Records may include budget-related records for specific capital projects including details by project and sub-project; vendors; and vendor types. Retention: Official Record FIS+6 years Retention: Copies EVT (when no longer needed) Disposition: Destroy for both						
Use and Operation of Facilities Related Record Series						
FAC00050	Application and Permit for Use of Facilities	Application and permit for use of facilities, where required. Note: Current DOA RDA#255-Permits for Use of State Facilities has the same retention for these records.	Retain for 3 years after the date of the event and then destroy confidential. EVT+3 years-destroy	PII-Yes	Confidential No	Requests for rental/use of state facilities such as training rooms, private entity requests for use of state facilities, such as Farmers Market use of the Square
FAC00051	Facility Maintenance Work Orders and Logs	Maintenance work orders and related logs. Note: The DOA Facilities Management Information Center web application which has functionality to log and track work orders.	Retain for 3 years after (event) date work is completed and then destroy confidential. EVT+3 years-destroy	PII-Yes	Confidential No	Broken elevators, plugged sinks or other areas where maintenance is needed.
FAC00052	Building Maintenance/Management-Custodial Records	Documents the supervision of custodial activities including but not limited to assignments, work responsibilities, checklists, inspections, reports and other related documents except fiscal and payroll.	Retain for 3 years and then destroy. CR+3 years and destroy.	PII-No	Confidential No	

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
FAC00053	Building Maintenance/Management-Grounds Keeping Records	Documents the supervision of grounds keeping activities including but not limited to assignments, work responsibilities, checklists, inspections, reports and other related documents except fiscal and payroll.	Retain for 3 years and then destroy. CR+3 years and destroy.	PII-No	Confidential No	
FAC00054	Building Maintenance/Equipment Repair and Service Records	Documents the installation, maintenance, service and history of both building installed equipment and equipment commonly used to maintain facilities.	Retain until removal and disposal of installed equipment and then destroy. EVT and then destroy	PII-No	Confidential No	
FAC00055	Building Maintenance/-Warranty Files	Documents the manufacturer's/vendors warranty to replace and or/repair defective materials or equipment.	Retain 1 year after the warranty expiration and then destroy. EVT+1 year and destroy	PII-No	Confidential No	
FAC00056	Equipment Maintenance-Maintenance Report	Document s the status of equipment in use by the agency.	Retain 1 year and then destroy CR+1 year and destroy	PII-No	Confidential No	
FAC00057	Physical Plant Monitoring and Inspection Reports	Records documenting the operation of all facets of facilities-HVAC; plumbing, mechanical, electrical, structural as well as special monitoring of building components..	Retain for 6 years and then destroy. CR+6 years-destroy	PII-No	Confidential No	Chiller logs and inspection reports of boilers and elevators. See PSC Records Retention Regulations for Electric, Gas and Water Utilities for additional items.
FAC00058	Equipment Maintenance-Technical Reference and Maintenance Publications	Collections of technical reference materials needed to use, maintain supply and repair agency owned equipment. Note: These are non-records under	Retain until publication superseded or equipment disposed of whichever is	PII-No	Confidential No	

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
		the State Records management law. The category is included for informational purposes only.	sooner and then destroy. EVT and then destroy			
FAC00059	Facility Related Check Out/In Records	Documentation of who signed out and accepted responsibility for use of state equipment and when the equipment was returned.	Retain 3 months after equipment returned and then destroy confidential. EVT+3 months and then destroy.	PII-Yes	Confidential No	Use for items such as projectors, easels, boards, laptop computers.
FAC00060	Agency Building Leases and Tenant Information	Files that document negotiations for and completion of leases for space. The agency file typically contains detailed information on day to day operations of buildings not sent to DOA.	Retain 6 years after (event) expiration of the lease or final payment, whichever is later and then destroy confidential. EVT+6 years-destroy	PII-No	Confidential No	Leases, correspondence, with owners, other tenants or DOA and lease approvals from DOA, copies of fiscal documents such as lease invoices and requests for maintenance and repairs.
FAC00061	Space Allocation and Project Planning Information	Space allocation plans and related documentation which may include the final requests, working papers such as budgets, project plans, space estimates, justifications, specifications, quotations for projects or furniture, copies of building plans, floor layouts, and supporting documentation from DOA (where applicable). Also includes the current space allocation plan.	Retain 1 year after (event) date the space is vacated or planning documents are superseded and then destroy. EVT+1-destroy	PII-No	Confidential No	

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
FAC00062	Parking Permits	Parking Permit applications maintained by the Division of State Facilities and designated agency parking coordinators. In non-DOA Managed facilities no records would be maintained by DOA.	Retain 1 year after (event) date parking space is canceled or superseded and then destroy confidential. EVT+1 year-destroy	PII-Yes	Confidential No	
FAC00063	Parking Permit Assignment	Documentation maintained by parking coordinators of assignment of those parking spaces that are assigned. Some agencies may use the application files for this purpose and therefore do not create a separate series for this purpose.	Retain 6 months after (event) date permit is cancelled or superseded and then destroy confidential. EVT+6 months-destroy.	PII-Yes	Confidential No	DOA Division of State Facilities allocates parking spaces for state owned buildings. State agencies (leased space) and UW institutions have parking offices that perform the same function.
FAC00064	Parking Related Wait Lists	Documentation of people waiting for a personally assigned parking space.	Retain current list (no history). Destroy prior lists when superseded by current list. EVT-destroy confidential	PII-Yes	Confidential No	May be maintained on agency intranets.
FAC00065	Parking Citations-DOA Only	Parking citations issued by State Capital Police.	Retain 2 years after citation either paid or citation closed and then destroy confidential. EVT+2 years-destroy	PII-Yes	Confidential Yes Wis. Stat. 19.36 (2)	Parking citations received from non-state operated police departments would not be covered by this series. The legal entity issuing the citation should have a retention policy. This is the retention in current DOA RDA#199.

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
FAC00066	Fuel Use/Power Created Related Records	Data and related reports on coal, natural gas and other fuels used. Output reports on steam, chilled water, and electricity produced.	Retain for 6 years and then destroy. CR+6 years-destroy	PII-No	Confidential No	
FAC00067 DO NOT USE Superseded by RISK0048	Material Data Safety Sheets (MSDS)	OSHA requires manufacturers and importers of hazardous chemicals to distribute MSDS's. State agencies that use such chemicals must have a MSDS in the workplace for each hazardous chemical they use. Employers may accept the content of an MSDS from a supplier unless they know it is incorrect. However the employer must ensure that an MSDS is available for each hazardous chemical and that it contains all of the required information. If an MSDS is not received the employer must contact the supplier to request one. If the information is not received, OSHA should be contacted for assistance.	Retain a current MSDS for each hazardous chemical used for 30 years and then destroy CR+30 years-destroy	PII-No	Confidential No	MSDS sheets must be accessible to staff who work with the materials. For office facilities there are only a few MSDS sheets for such items as cleaning supplies. Laboratories, garages and other specialized facilities have many MSDS's.
FAC00068	Chemical Application Records-Pesticide Use	Records that document the application of chemicals with potential long term health consequences such as lawn fertilizer. OSHA requires manufacturers and importers of hazardous chemicals to distribute MSDS's. State agencies that use such chemicals must have a MSDS in the workplace for each hazardous chemical they use. Employers may accept the content of an MSDS from a supplier unless they know it is incorrect. However the employer must ensure that an MSDS is available for each hazardous chemical and that it contains all of the required information. If an MSDS is	Retain for 3 years after the date of application and then destroy EVT+3 years-destroy	PII-No	Confidential No	

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
		not received the employer must contact the supplier to request one. If the information is not received, OSHA should be contacted for assistance				
FAC00069	American with Disabilities Act (ADA) Facility Reviews`	Records cover ADA inspections, investigations, complaint investigations, facility logs and reports regarding ADA compliance relating to facilities and structures. This series may also include ADA compliance background information and correspondence related to audits.	Retain for 6 years after (event) close of review or audit and then destroy. EVT+6 years-destroy	PII-No	Confidential No	
FAC00070	Designation of Agency facility Coordinators.	Designation of agency facility coordinators in state owned and leased buildings. For DOA managed buildings this is required in the Building Tenant Manual. Responsibilities of Agency Coordinators detailed in the DOA Building Tenant Manual.	Retain current list-supersede and destroy confidential. EVT+destroy	PII-Yes	Confidential No	
Security Related Records Series						
FAC00080	Building Admittance Passes ; Visitor Logs- Access Cards-Detail on Card Activity-General Use Facilities	Documentation of assignment of temporary building access. Also manual or automated logs documenting who was granted access to facilities or secure areas within a facility. Detailed data on the date; time and specific doors opened by specific cards.	Retain for 1 year and then destroy confidential. CR+1 year and then destroy Note: If an investigation is underway or imminent these records should be held from routine destruction.	PII-Yes	Confidential No	DOA Security Access Management System may provide functionality in this area. DOA Capital Police has an RDA #235 that could be superseded by this GRS Vendor/Contractor off hour access to DOA facilities requires the written permission of DOA per the Building Tenant Manual.

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
FAC00081	Building Admittance Passes; Visitor Logs; Access Cards-Detail on Card Activity High Security Facilities and or High Security Areas	Documentation of assignment of temporary building access. Also manual or automated logs documenting who was granted access to facilities or secure areas within a facility. Detailed data on the date; time and specific doors opened by specific cards Agencies have discretion in determining which facilities and areas to designate as high-security.	Retain for 3 years and then destroy confidential. CR+3 years-destroy Note: If an investigation is underway or imminent these records should be held from routine destruction.	PII-Yes	Confidential No	
FAC00082	Monitoring and Surveillance Recordings	Monitoring and surveillance recordings that document incidents that may lead to claims against the governmental unit. Monitoring and surveillance recordings showing no discernable incidents.	Retain for 120 days and then destroy. Retain only until no longer needed and then reuse or destroy.	PII No	Confidential No	Note: 120 days is the time within which a claim may be filed against an agency. [See ss. 893.80 and 893.82(3), Stats.] Note: As with all public records, if the monitoring or surveillance record is required for any legal or program purpose, including open records requests, claims or litigation holds, the record must be retained until no longer needed to meet the legal or program requirement. Note: In order to avoid premature destruction of a monitoring or surveillance record, agencies should have adequate procedures in place to ensure that requests for the record, or an agency's legal or program need for the record, is communicated in a timely manner to the

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
						appropriate agency personnel.
FAC00083	Access Cards, Keys, Identity Badges/Name Plates and Photo Identification- Documentation of Assignment	Documentation of assignment of access cards, keys, identity badges, name plates and/or photo identification as an employee or contractor. DOA is implementing a Security Access Management System to keep track of keys and access cards. If this system is not available supervisors should keep track of individual keys/access cards using some type of check sheet which is typically maintained in the supervisor's copy of the P-file.	Retain for 6 months after (event) date the card/key is returned or reported lost and then destroy confidential. EVT+ 6 months-destroy	PII-Yes	Confidential No	Photo ID in either or both print or digital format if maintained by an agency.
FAC00084	Input forms for Access Cards, Keys, Badges, Name Plates or Photo Identification	Input forms requesting access cards, keys, badges and or photo identification. See Facilities Access Cards and Building Keys section of the Building Tenant Manual.	Retain for 1 month after request is completed and then destroy confidential. CR+1 month-destroy. These forms have no value once the request has been processed.	PII-Yes	Confidential No	
FAC00085	Administrative Records-Building Security	Reports, memoranda, correspondence, copies of policies and procedures, background materials and related records used by agencies to support administration of building security programs.	Retain the file until after (event) the date the items are obsolete or no longer needed and then destroy. Destroy copies, drafts and routine materials when no	PII-No	Confidential No	

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
			longer needed. EVT-destroy			
FAC00086	Security or Incident Reports	Documents incidents or unusual occurrences on state property including incident reports and documentation of any follow-up investigation. Per the DOA Building Tenant Manual damage to, or loss of personal property should be reported to Building Management. This file would be a source document for a file each police department would have if they were called in to investigate. Capital Police retains incident case files for 20 years after case closed per RDA#171.	Retain 3 years after (event) date the investigation is closed or forwarded to the police and then destroy confidential. EVT+3 years-destroy	PII-Yes	Confidential-No	Each agency has policies and procedures as to reporting and documenting incidents or unusual occurrences.
Continuity of Operations / Continuity of Government Records						
FAC00087 Amended	Critical Incident Management Plan and Related Documents. Detailed information that feeds into the official Continuity of Operations Plan.	Critical incident management plans, local site security plans, local emergency action plans, life safety and other similar documents.	EVT+3 years and Destroy Confidential. Event is superseded by revised plan.	PII-Yes	Confidential -Yes Wis. Stat. 19.36(9)	All records and documentation shall be marked Confidential and For Official Use Only.

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
FAC00088 New SUPERSEDES ADM00008	Agency final Continuity of Operations/Continuity of Government Operational Plan and Documentation	Agency official plan and documentation of the Continuity of Operations / Continuity of Government plan.	Event and destroy confidential. Event is superseded by revised plan.	PII-Yes	Confidential -Yes Wis. Stat. 19.35(1)(am)(2)(a)	Agencies are responsible to maintain the official record. All records and documentation shall be marked Confidential and For Official Use Only.
FAC00089 New	Agency final Continuity of Operations – Exercises and After-Action Reports	Agency official exercise plan and documentation to assess the viability of all Continuity of Operations Plans and subsequent After-Action Reports.	Event and destroy confidential. Event is superseded by subsequent exercises and reports.	PII-Yes	Confidential -Yes Wis. Stat. 19.35(1)(am)(2)(a)	Agencies are responsible to maintain the official record. All records and documentation shall be marked Confidential and For Official Use Only.
FAC00090 New SUPERSEDES IT000015A	Disaster Recovery Records	Records include those created during the disaster recovery process. Per FEMA “Record Keeping: It is critical that the applicant establish and maintain accurate records of events and expenditures related to recovery work.”	Event+3 years and destroy confidential. Event is recovery process is completed. Note: When Federal Grant monies are involved, the retention is 3 years from the date of the final Financial Services Report.	PII-Yes	Confidential -Yes Wis. Stat. 19.35(1)(am)(2)(a)	Information required for documentation describes the “who, what, when, where, why, and how much, for each item of disaster recovery work. Indexes, inventory lists, event logs, computer logs, working papers, and correspondence. This series also includes computer tapes, or other media held in reserve in the event that an information system fails to function and records need to be recovered and restored. All records and documentation shall be marked Confidential and For Official Use Only. For more information please

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
						see: FEMA Public Assistance Guide – Chapter 5: Project Mgt.
Health, Safety and Risk Management Related Records Series. Note: Some of these series should be moved or cross referenced to a statewide Risk Management General Records Schedule when such a schedule is developed.						
FAC00100	Health ,Safety or Fire Code/Regulations Variances	Agency requests for relief from health, safety or fire standards and regulations and records of approved variances.	Approved Requests: Retain for 3 years after (event) date the variance is no longer in effect and then destroy. Not approved requests: Retain for 3 years after (event) the date of disapproval. EVT+3 years-destroy	PII-No	Confidential No	
FAC00101	Health, Safety or Fire Code Compliance Records-Inspections, Drills, and Reports-No Violations	Health, safety or fire safety inspections, complaints, violation correction plans, fire drill records and reports that document compliance with applicable fire prevention and building codes.	Retain for 3 years and then destroy. CR+3 years-destroy	PII-No	Confidential No	
FAC00102	Health, Safety and Fire Code Compliance Records-Inspections, Drills, and Reports-Violations	Health, safety or fire safety inspections, complaints, violation correction plans, fire drill records and reports that document compliance with applicable fire prevention and building codes.	Retain for 3 years after (event) end of the year the violations are corrected and the subsequent re-	PII-No	Confidential No	

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
			inspection and then destroy. EVT+3 years-destroy			
FAC00103	Health, Safety or Fire Code Compliance Certificates	Health, Safety or Fire Code Compliance Certificates	Retain for 3 years after (event) date the certificate expires and then destroy. EVT+3 years-destroy	PII-No	Confidential No	
Cemeteries (state owned/operated)						
FAC00120	Grave Registration Records	Records that describe who is buried, the date of death, interment and location of the remains.	Permanent	PII-Yes	Confidential-No	
FAC00121	Documentation for Burial at State Veteran's Cemetery	The following documents are required : - For veteran-Military Discharge (DD214) - Spouse-Copy of legal marriage certificate -Dependent Child-Copy of birth certificate or legal adoption papers -Proof of Wisconsin residency -Final Disposition papers and copy of the death certificate -Applicable fees, if any Note: Applicable fees would be covered under the Fiscal and Accounting RDA # 90000021 Retain FIS+6 years for official 1 year for copies	Retain for 10 years after interment and then destroy-confidential. EVT+10 years and destroy	PII-Yes	Confidential-No	

DOA FACILITY RELATED APPLICATIONS AND SERVICES USED BY STATE AGENCIES

1. WISBUILD

WisBuild is an in-house developed extranet web application used as a collaborative tool for managing building projects under the State of Wisconsin's capital building program. Two key functions of WisBuild include construction change management and vendor payment request processing.

For a brief overview, see the slideshow entitled, [Intro to WisBuild at . http://wisbuild.doa.state.wi.us/](http://wisbuild.doa.state.wi.us/)

See RDA's FAC00011-Construction Project File; FAC00012-Construction Project File-Historically Significant Facilities; FAC00014-Unsuccessful Bids and Unsolicited Proposals as well as Fiscal and Accounting series related to capital accounting.

2. WALMS

The Wisconsin Asbestos and Lead Management System (WALMS) is a web-based database designed for use by Wisconsin DOA Division of State Facilities, State Agency personnel, as well as select consultants. For each building in the Wisconsin State Facilities list, this centralized management system allows both data entry and reporting of information gathered during asbestos and lead-based paint surveys. This information includes:

- Asbestos containing materials (ACM) and non-ACM materials lists by building and by floor
- Homogeneous materials
- Floor plans
- Abatement cost estimates

See RDA FAC00013-Asbestos and Hazardous Material and Environmental Remediation Case File.

3. FACILITIES MANAGEMENT INFORMATION CENTER (FMIC)

The DSF Facilities Management Information Center (FMIC) provides centralized support for DSF's Bureau of Facilities Management. Specifically, FMIC provides the following services:

- Call Center -- Provide tenants centralized facility maintenance support for all DOA-owned facilities
- Work Order Dispatching -- Dispatch work order requests (preventative and corrective) from tenants to facility management shops
- CMMS -- Provide computerized maintenance management system (CMMS) software support to record all work order data, including status and cost to complete.

The information center is staffed weekdays from 7:30 am until 4:30 pm. Emergency situations such as safety hazards, burning smells, leaks, plugged toilets; etc should be reported directly to the information center by calling (608) 266-1485. If there is an emergency situation after hours, please report it to the Capitol Police at (608) 266-7700. All other requests for building services should be made through the web-based form.

See RDA FAC00051 Facility Maintenance Work Orders and Logs.

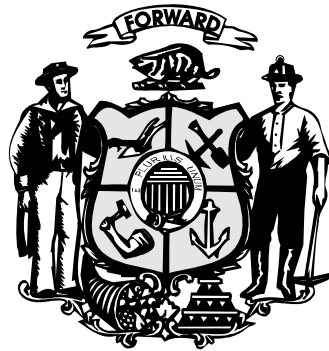
Revision History A listing of changes to this GRS.			
Revision Date	RDA Number	Record Series Title	Revision Made
Monday, 2-25-2013	FAC00067	Material Data and Safety Sheets (MSDS)	Superseded by RISK0048, Safety Data Sheets (SDS).
Monday, 6-1-2015	FAC00087	Critical Incident Management Plan and Related Documents	Description amended to clarify records included in the series and retention event changed.
Monday, 6-1-2015	FAC00088	Agency Final Continuity of Operations/Continuity of Government Operational Plan and Documentation	New record series. Supersedes ADM00008.
Monday, 6-1-2015	FAC00089	Agency Continuity of Operations Exercises and After-Action Reports	New record series.
Monday, 6-1-2015	FAC00090	Disaster Recovery Records	New record series. Supersedes IT000015A.
Monday, 8-24-2015	FAC00001	Policies and Procedures relating to the Capital Budget Process and Use and Operation of State Facilities	Clarifying note regarding procedures added to Use Case/Examples.

General Records Schedule

Fiscal and Accounting and Related Records

Approved by the Public Records Board:

November 20, 2017



Expiration: November 2027

For use by all units of Wisconsin Government at the State, County, and Municipal level

I. Scope

This schedule governs the records retention obligations of state agencies pursuant to [Wis. Stat. § 16.61](#), and applies to “public records” as defined in [Wis. Stat. § 16.61\(2\)\(b\)](#). These “public records” are referred to as “records” in this schedule.

This schedule covers records which most state agencies, including the University of Wisconsin System Administration, the University of Wisconsin Institutions, all Wisconsin counties, municipalities and other units of local government create and use to administer fiscal and accounting records. The schedule is applicable to fiscal and accounting records regardless of format or media.

Fiscal and Accounting records document compliance with state fiscal policies, reporting of financial status and activities, reconciliation of accounts, and responses to audits.

This general schedule may *not* include records which are unique to the mission of a single government unit. Records that are unique to the mission of a specific government unit require a separate Records Disposition Authorization (RDA). The department or institution is responsible for creating a RDA that must be submitted to, and approved by, the [Public Records Board \(PRB\)](#).

See the [Introduction to General Records Schedules](#) for additional information about how to use this schedule. In particular please review the restrictions on conditions that might preclude the authorized destruction of documents in the normal course of business including open records requests, ongoing legal holds, or audits currently underway or known to be planned.

This schedule goes into effect upon final approval by the Public Records Board.

II. Records Format

Records covered in this schedule may be in paper, electronic, or other formats. Electronic format examples include those created or transmitted via e-mail, data contained in database systems, and tapes/cartridges. To safeguard the information contained in records maintained *exclusively* in electronic format, agencies must meet the standards and requirements for the management of electronic records outlined in [Wis. Admin. Code ch. Admin 12](#).

As of October 1, 2015, most state agencies are using STAR (PeopleSoft) as the infrastructure for finance, budget, procurement, business intelligence, and human resource functions.

III. Personally Identifiable Information

Wisconsin law requires authorities to specifically identify certain record series within a general records schedule that contain Personally Identifiable Information (PII). [Wisconsin Stat. § 19.62\(5\)](#) defines PII broadly as “information that can be associated with a particular individual through one or more identifiers or other information or circumstances.” Despite this broad definition, [Wis. Stat. § 16.61\(3\)\(u\)\(2\)](#), requires that record series within a schedule containing the following types of PII need not be identified as such: a) the results of certain computer matching programs; b) mailing lists; c) telephone or e-mail directories; d) record series pertaining exclusively

to agency employees; and e) record series that contains PII incidental to the primary purpose for which the records series was created, and f) those relating to state agency procurement or budgeting. If in doubt as to whether a specific record series contains PII, check with your agency legal counsel.

Information about identity theft and information security is available at <http://itsecurity.wi.gov/>.

IV. Confidentiality of Records

Most records are not confidential and are open to public disclosure, however, there are exceptions. This GRS will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

V. Superseded Record Series

“Superseded” means that a new record series or RDA number has been used to cover records that were previously identified differently. The last column in the following GRS table titled “Previous RDA Number (if applicable)” provides a cross walk between new and any superseded RDA numbers. When revising a GRS, an attempt is made to retain the previous RDA number, providing the underlying records remain the same.

VI. Related Records

The “Related Records Series” section provides information on other record series in approved GRSs which may relate to the broader functional area of this GRS. These record series are listed to facilitate a more complete understanding of all the record series within the broad scope of this function of government. It may not however contain a complete listing of all records series used within your agency for these types of business records. See the “Related Records Series” section included in this document.

VII. Closed Record Series

When revising a GRS it is common for some previously included record series to be closed. The “Closed Series” section lists series containing records that are no longer created, nor are they expected to be in the future. See the “Closed Series” section included in this document.

VIII. Revision History

See the “Revision History” section for a listing of changes to this GRS.

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
Audit and Control								
FIS00001	Audit Reports, Agency Responses and Audit Finding Resolutions	Agency audit reports created by the Legislative Audit Bureau, agency internal auditors, and other state, federal or private entities that monitor, examine, and verify the accounts and fiscal affairs of an agency, and agency responses. Audit reports created by state, federal or private entities that monitor, examine and verify accounts of sub-grantees that received federal funds passed through a state agency or received direct state funds. Uniform Guidance 2CFR 11 Part 200 sets the federal standard for retention of audits. This becomes the de-facto standard for all audit reports.	No	No	EVT + 3 years and destroy.	Event is the date of issuance of final report.		90000004 90000005 90000013 90000014
FIS00002	Audit Work Papers	Plans, analysis research materials, draft reports, background materials and related records used to plan and prepare audit reports.	Yes	Yes 5 U.S.C. § 552a	EVT + 3 years and destroy confidential.	Event is date of issuance of final report.		90000012

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FIS00003	Internal Control Plan	Records and supporting documentation regarding the development and administration of agency internal controls, including reports, plans, articles, policies and procedures, and related material, arranged by subject or topics such as risk management, risk assessment, management practices, operational efficiency and audit methods.	No	No	EVT + 3 years and destroy.	Event is date superseded		90000015
Credit Card								
FIS00010	Authorization /Approval for Purchasing Card	Forms and approvals for individuals to obtain procurement card. May include authorizations, cardholder agreements, and related forms to establish accounts.	Yes	No	EVT + 10 years and destroy confidential.	Event is date of cancellation of cardholder approval.	Retention per Wis. Stat. § 893.87.	90000007
FIS00011	Credit Card Receipts or Information Received from Sales	Credit card receipts and related documentation associated with credit card transactions.	No	No	EVT + 3 years and destroy.	Event is date of transaction.	Do not retain copies. Do not keep copies of full credit card numbers. It is acceptable to keep the last 4 digits. Do not store credit card customer identification numbers or magnetic stripe information. High concern for security.	90000008 90000009

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
Payments and Receipts								
FIS00020	Receipts and Disbursement Transactions	Records related to the receipt of funds for goods or services provided and the purchase of goods or services and the supporting documentation. This series includes Accounts Payable and Accounts Receivable transactions. May include approved claims, purchase orders, invoice requests, merchandise receipts, vendor invoices, agency vouchers, service reports, and other supporting documentation. Also includes records used by an agency accounts payable/claims office to track and monitor the claims and payment process on a daily basis, including manual and automated logs, registers, listings and related records. Additionally, may include records documenting receipt of funds including forms, cash register receipts, receipts remittance forms, cash receipts and attached documentation, accounts receivable invoices, deposit forms, lockbox reports, lists of checks received and accounts receivables.	No	No	FIS + 6 years and destroy.	Event is end of fiscal year.	Account Reconciliation Workpapers, Trial Balance Reports, Bank Statements, Journal entries, Employee Travel Reports, Credit Card Statements, ACH (Automated Clearing House), end-of-year accounting, and fiscal status reports.	90000006 90000021 90000090 90000091

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FIS00021	Federal Cash Draw Transactions	The detail, expenditure, and available to draw reports are used daily to determine the state draw. The reports show each detailed expenditure by aid category, Catalog of Federal Domestic Assistance (CFDA), major fed aid numbers, Cash Management Improvement Act (CMIA) scheduled draws, type of transaction and reference numbers.	No	No	FIS + 6 years and destroy.	Event is end of fiscal year.		90000033
FIS00022	Municipal Collection & Disbursement Reports	Collection reports typically show amounts collected, statute, amount retained by county/local government and portion sent to state.	No	No	EVT + 3 years and destroy.	Event is date of transaction.		90000050 90000051 90000052
FIS00023	Fiduciary Records	Banks and insurance companies doing business in the State of Wisconsin are statutorily required to have collateral on deposit with the DOA. Records include: reports from the custodian holding the securities; transmittal forms; correspondence regarding account activity; and audit reports as well as related records, correspondence and reports.	No	Yes Wis. Stat. § 220.06	EVT + 3 years and destroy confidential.	Event is date of transaction.		90000054

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FIS00024	General Obligation Bond Records	The DOA, State Controller's Office is responsible for the timely transfer of debt service payments once bonds have been issued. Agencies maintain records on each issue to verify interest and principal payments. The files include related records, correspondence and reports.	No	No	EVT + 50 years and destroy.	Event is date bond matures or is called.		90000055
FIS00025	Collection Case Files-Delinquent and Uncollectable Accounts	These records include notices of late payment, "dunning" letters, other documentation of collection efforts, payment agreements and the amount of debt defaulted or written off as uncollectable. Also, could include documentation of bad debts sent to an outside collection agency and other efforts to tie collection to state or local government programs i.e., computer matching.	Yes	Yes 5 U.S.C. § 552a	EVT + 7 years and destroy confidential.	Event is date written off.		90000070
FIS00026	Tax Records	Records or reports filed with the federal Internal Revenue Service, Social Security Administration or State Department of Revenue, or other state agency related to administration of tax collection. Also includes records received for collection of taxpayer identification.	Yes	Yes 5 U.S.C. § 552a	FIS + 6 years and destroy confidential.	Event is end of fiscal year.	Worksheets, Electronic Federal Tax Payment System (EFTPS) input forms, excise and sales tax reports, W-9, W2-G, 945 and 1099s.	90000092
FIS00027	Paid/Canceled Checks	Canceled checks provided by the state's working bank and are the primary media utilized to provide copies of paid checks as "proof of payment."	Yes	No	EVT + 7 years and destroy confidential.	Event is month paid.		90000040 90000041 90000044

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FIS00028	Checks – Alignment & Control and Voided	Alignment and control checks are typically the first and last checks written on a particular warrant register. These checks are used as a control to ensure that each check series is written in numerical sequence and that all checks in the sequence are accounted for. These checks are physically marked “VOID.” Void checks result from errors in the printing or processing of checks. This includes mutilated checks, reprinted checks and blank checks. During check processing it is not unusual to reprint an entire batch of checks when something goes wrong in the printing or post processing operations. These checks are kept in a secure location until destroyed.	Yes	No	CR + 1 year and destroy confidential.	Event is date of creation.		90000045 90000046
FIS00029	Forgery and Stop Payment Records	Requests for Stop Payment and Affidavits of Forged Endorsement; related correspondence with the agency's working bank; internal reports/files showing check series, payee, amount, date of issue and reissued check information. Also applies to agency petty cash funds.	Yes	No	EVT + 6 years and destroy confidential.	Event is date, batched by month, which the stop payment was executed.		90000047 90000048

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FIS00030	Canceled & Unpaid Check Report	State issued checks are typically payable at the State's working bank for 1 year from the date of issue; however, the State continues to have a liability to pay on any check for up to 6 years as provided in the State Constitution. This record series includes records relating to the disposition of unpaid items between the period of time they are 1-6 years old and includes agency requests for reissuance of checks. Also applies to agency petty cash funds.	No	No	FIS + 5 years and destroy.	Event is end of fiscal year.		90000049
Capital Accounting								
FIS00040	Capital Accounting-Accounts Payable Records-Special Federal Requirements	Records may include the following records: acquisitions: capital assets; depreciation schedules; fixed assets; material transfer files; mortgage ledgers; facility/plant ledgers; property detail reports; property inventory reports; and reports on property sold. Federal regulations for tax exempt bonding require that expenditure records must be retained for 6 years past the maturity date of a bond.	No	No	EVT + 6 years and destroy.	Event is date bond matures.		90000080

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FIS00041	Capital Accounting-Accounts Payable Records-Projects Not Funded with Tax-Exempt Debt	Records may include the following records: acquisitions; capital assets; depreciation schedules; fixed assets; material transfer files; mortgage ledgers; facility/plant ledgers; property detail reports; property inventory reports; and reports on property sold.	No	No	EVT + 4 years and destroy.	Event is date project closed.		90000081
FIS00042	Capital Accounting-Project Budget Transactions (Allotments)	Records may include budget-related records for specific capital projects including details by project and sub-project; vendors; and vendor types.	No	No	FIS + 6 years and destroy.	Event is end of fiscal year.		90000082
Asset Inventory and Surplus Property								
FIS00050	Inventories - Capital Equipment, Supplies, Commodities and Parts	Running inventories of capital equipment, supplies, commodities and parts that typically describe each item, indicate its location and provide cumulative totals and/or current stock balances.	No	No	FIS + 4 and destroy.	Event is end of fiscal year.	Capital Equipment examples - motor vehicles, audio visual equipment, computers, printing and mailing equipment, production copiers, tools, lab equipment, furniture. Supplies, Commodities, and Parts examples - office supplies and expendable materials.	90000110 90000111

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FIS00051	Surplus Property Disposition Records	Records that identify surplus property, expedite its transfer to the SWAP program, if applicable, and track the disposition of property. These records include requests for disposal of surplus property, receipts, reporting forms and supporting documentation that describes the property and the proposed method of disposition.	No	No	EVT + 3 years and destroy.	Event is the date the property is disposed of.		90000112
FIS00052	Surplus Property Disposition Records - Restricted Disposition or Noncompliance Items	Records that identify restricted or noncompliant surplus property, expedite and track the property's disposition. Restricted Disposition - items with restrictive requirements that effect their disposition. Noncompliance - items that have been declared to be in noncompliance with property transfer restrictions.	No	No	EVT + 1 year and destroy.	Event is date restriction ends or compliance case is closed.		90000113 90000114

Closed Series

A closed series contains records that are no longer created, nor are they expected to be in the future.

RDA Number	Record Series Title	Minimum Retention and Disposition	Rationale
90000030	Single Letter of Credit Monthly Reports	FIS+10 years and destroy.	No longer used.
90000031	Single Letter of Credit Daily Reports	FIS+6 years and destroy.	No longer used.
90000032	Single Letter of Credit Administrative Records	FIS+6 years and destroy.	No longer used.

Related Records Series

Information on other record series in approved GRSs which may relate to the broader functional area of this GRS. These record series are listed to facilitate a more complete understanding of all the record series within the broad scope of this function of government. It may not however contain a complete listing of all records series used within your agency for these types of business records.

RDA Number	Record Series Title	Description	Notes/Comments

Revision History

A listing of changes to this GRS.

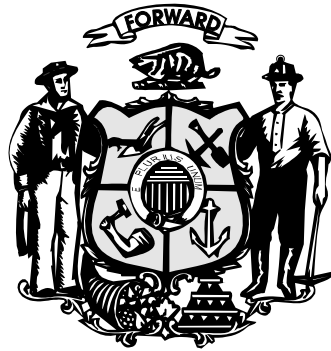
Revision Date	RDA Number	Record Series Title	Revision Made
11-20-17	90000000	Fiscal Management Subject and Correspondence File	Supersede with ADM00009, ADM00010, and ADM00030
11-20-17	90000001	State Fiscal Policies and Procedures Records	Supersede with ADM00023
11-20-17	90000002	Routine Internal Status Reports	Supersede with ADM00001
11-20-17	90000003	Non-Routine Financial Reports and Studies	Supersede with ADM00001, 26, or 27
11-20-17	90000010	Internal Control Policies and Directives	Supersede with ADM00023
11-20-17	90000011	Vulnerability Assessment Files	Supersede with ADM00026, ADM00027, and ADM00024
11-20-17	90000100	Off Cycle Payroll Vouchers	Supersede with PAY00011
11-20-17	90000102	Central Payroll Bi-weekly Payroll Voucher Signature Pages	Supersede with PAY00011

General Records Schedule

Fleet and Aircraft Management Records

Approved by the Public Records Board:

May 12, 2014



Expiration: May 12, 2024

For use by all units of Wisconsin Government at the State, County, and Municipal level

Scope: This general records schedule covers records related to motor vehicles, heavy equipment and state owned and operated aircraft and related records. Motor vehicles for purposes of this schedule include automobiles, trucks, heavy motorized equipment and motorcycles used by the State of Wisconsin. It does not include boats, ATV's or snowmobiles. Heavy equipment refers to heavy-duty vehicles, specially designed for executing construction tasks, most frequently ones involving earthwork operations. This includes but is not limited to backhoes, crawlers, dozers, excavators, graders, loaders, mowers, tracked dump trucks, tracked skid steers and tractors.

These records pertain to the management, maintenance and operation of motor vehicles, heavy equipment and aircraft used by state agencies which includes the University of Wisconsin System Administration and all University of Wisconsin institutions. It is also available for use by Wisconsin local units of government. Aircraft are operated by three state agencies: the Department of Administration (DOA); Department of Transportation (DOT) and the Department of Natural Resources (DNR). DOA, under [Wis. Stat. 16.04](#) provides aircraft related transportation services. DOT and DNR use their assigned airplanes for various law enforcement and environmental related work.

The schedule covers both records required by DOA to comply with the statutory responsibility to oversee fleet operation per [Wis. Stat. S 16.04](#) and operational records relating to operating fleets of vehicles. DOA and certain designated state agencies have been granted delegated authority to operate central fleets. In general, records pertaining to motor vehicle, heavy equipment and aircraft reflect a threefold responsibility:

- The accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to DOA and when requested by the Governor and Legislature;
- The maintenance of the vehicles and aircraft themselves; and,
- Protecting the interest of the state in accident claims against it.

This general schedule may not include records which are unique to the mission of a single agency. The department or institution is responsible to write program specific Retention Disposition Authorizations (RDAs) to schedule unique or mission-related records which would apply only to that single agency.

Records Format

Records covered in this schedule may be retained in either electronic or paper format. The schedule also applies to all records born digital (including those created or transmitted via e-mail), data contained in database systems, tapes/cartridges and other types of electronic records and information systems maintained by and managed by the DOA and other state agencies. To safeguard the information contained in records maintained *exclusively* in electronic format, agencies must meet the standards and requirements for the management of electronic records outlined in [Wisconsin Administrative Rule, Chapter 12](#).

Enterprise Fleet Management Information System

The Enterprise Fleet Management System is currently made up of a client/server application called FleetFocus and a Web Portal system developed internally at DOA. The system is used by state agencies throughout the State of Wisconsin (including the University of Wisconsin System) for fleet and driver management. Records created through the use of these systems may be deactivated over time. When this occurs DOA will follow the retention times in the RDA's in this schedule for the applicable records.

The major components of the system include:

- Fleet Motor Pool Reservation System. Unique modules exist for DOA Central Fleet Motor Pool, DOT Motor Pool and a UW Madison Motor Pool developed in conjunction with DOA. This module allows drivers to make reservations on line and allows fleet staff to manage the dispatch and return of vehicles.
- Driver Management: State organizations manage their driver information through a module in the Web Portal. This module includes a monthly, automated driver record process coordinated with the Division of Motor Vehicles at the Department of Transportation.
- Mileage Management: End users of vehicles leased from DOA Central Fleet are required to report business and personal miles used on a monthly basis. The Mileage Management module allows users to log in and enter their miles directly through the Web Portal.
- Position Management: Fleet owning organizations are allowed a set number of positions for their fleet. The Position Management module is the tool Enterprise Fleet uses to track the number of positions an organization has versus how many vehicles they have at any given time.
- Repair and Maintenance: Some major fleet owning organizations use the FleetFocus module to track vehicle repair and maintenance. However, most of this work is contracted out. Vendor work is tracked through our reporting module listed below.
- Fleet Equipment: All fleet owning organizations track vehicle attributes through the Fleet Equipment module in the FleetFocus application. DOA manages this for organizations that do not have access to FleetFocus.
- Reporting: The Web Portal includes a wide range of reports including work performed by vendor repair and maintenance companies and fuel use with the Voyager fuel card.

Personally Identifiable Information: Wisconsin law requires authorities to specifically identify certain record series within a general records schedule that contain Personally Identifiable Information (PII). [Wis. Stat. § 19.62\(5\)](#) defines PII broadly as “information that can be associated with a particular individual through one or more identifiers or other information or circumstances.” Despite this broad definition, [Wis. Stat. § 16.61\(3\)\(u\)](#), requires that record series within a schedule containing the following types of PII need not be identified as such: a) mailing lists; b) the results of certain computer matching programs; c) telephone or e-mail directories; d) record series pertaining exclusively to agency employees; and e) those relating to state agency procurement or budgeting. As to those record series identified as containing PII, the schedule should further indicate whether the PII is incidental to the primary purpose for which the record series is created. Information about identity theft and information security is available at <http://itsecurity.wi.gov/>. If in doubt as to whether a specific record series contains PII, check with agency legal counsel, either within your agency or by contacting the Attorney General’s office.

Confidentiality of Records: Some record series may contain confidential or restricted access records such as social security numbers. The schedule should identify any record series containing information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute or administrative rule that so requires. NOTE: Some, but not all PII is confidential. At the same time, records not containing PII may be required by law to be kept confidential. The designation of a particular record series as “confidential” relates primarily to the general schedule’s function in regulating the retention and disposition—including destruction—of the record series. In contrast, public access to records is determined by the Public Records law and not simply by the designation of confidentiality in a record schedule. If in doubt as to whether or not a specific record is confidential, check with legal counsel, either within your agency or by contacting the Attorney General’s office.

Related Records Series: See the section “Other Related Records Series”, included in the document for reference purposes.

Closed Records Series: See the “Superseded and Closed RDA’s” section included in the document. Closed series were included in the prior version of the Motor Vehicle Management Records Schedule but are not part of this updated schedule. The rationale for each closed series is provided.

Companion Document: See the companion document [Introduction to General Records Schedules November 2011](#) for additional information about how to use this schedule. In particular please review the restrictions on conditions that might preclude the authorized destruction of documents in the normal course of business including open records requests; ongoing legal holds or audits currently underway or known to be planned.

Effective Date: This schedule as approved herein by the Public Records Board is effective immediately. The schedule should be implemented by Records Officers in all state agencies in a timely and efficient manner.

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
<i>Fleet and Related Records Maintenance and Operation Records</i>								
FLEET002	State Motor Vehicle Related Subject and Project Files	Various subject and project files related to fleet and motor vehicle operations including the state van pool program. This is a catch-all category intended to cover motor vehicle related records not covered by separately identified series in this schedule.	End of fiscal year of the close date of subject or project file	FIS+4 years and then destroy	No	No	Consolidated subject and project files into a single category. Also includes van pool program administrative files from prior version of the schedule.	Fleet001 Fleet005
FLEET004	Ride Share Program Files	The Ride Share program matches drivers and riders that are interested in car- pooling. The program is authorized by Wis. Stat. 85.24 . Records include lists of current car pool members, people interested in driving others, people interested in driving with others, the location where these individuals live and where they commute to work. Wis. Stat. 85.24 (4) identifies specific information related to ride-sharing that must be kept confidential.	End of fiscal year based on date on document	FIS+4 years and then destroy confidential	Yes	Yes Wis. Stat. § 85.24(4)		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
FLEET009	Motor Vehicle Maintenance Records	Records documenting service and repair orders to motor vehicles. These records normally include maintenance orders, logs, fiscal documents, such as requisitions or purchase orders for parts or services, vehicle warranties, operation and repair manuals and parts lists. Includes information on maintenance performed both by outside contractors and state staff. Also includes supplies and parts disbursed for each vehicle. Note: Fuel purchases via state issued fuel cards for both assigned and pool cars are submitted monthly to the agency accounting office. These records are covered in the Fiscal and Accounting GRS under RDA 90000021.	Event is the date the vehicle is disposed	EVT+1 year and then destroy	No	No		
FLEET012	Motor Vehicle Control and Assignment Records	These records document agency assignments of motor vehicles to employees. The records also document motor vehicle use and assignment of license plates to specific vehicles. Includes completed documentation on reservations for pool cars, individual trips, driver profiles, check-in and checkout logs. This information is typically covered in completed vehicle use agreements (DOA#3103); pool car requisitions and non-availability slips, or equivalents	Event is the date the vehicle is disposed	EVT+ 1 year and then destroy confidential	Yes	No		Operator use portion of this series now broken out in Fleet018 as a separate Series.

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
FLEET013	Motor Vehicle Cost Accounting Records	This series provides detailed data relating to costs and expenses associated with each vehicle from purchase through disposal.	EVT is defined as the date the vehicle is disposed	EVT+1 year and then destroy	No	No		
FLEET015	Program Related Records Relating to Gasohol, Alternative Fuels and Hybrid/and or Electric Vehicles	Records relating to responsibilities on gasohol, alternative fuels, and hybrid-electronic vehicles as outlined in Wis. Stat. 16.045 .	End of the fiscal based on the date on the document	FIS+4 years and then destroy	No	No	Completed studies or research on these topics	New
FLEET016	Fleet Operations Reports to Governor and Joint Finance Committee (JFC)	Reports as mandated by Wis. Stat. 16.04 (1M) when requested by the Governor or Joint Finance Committee on details of all costs associated with fleet operations.	Event is the date of final report submittal	EVT+4 years and then transfer to State Archives	No	No		New
FLEET017	Fleet Manager Reviews of Vehicle Usage	Reports required semi-annually by Wis. Stat. 16.04 (3) on state agency vehicle usage.	Event is the date of final report submittal	EVT+4 years and then destroy	No	No		New
FLEET018	Motor Vehicle Operator Records	Records relate to individual employee operation of state-owned vehicles, including driver tests, special restrictions, authorization to use, safe driving awards and related correspondence. Includes complaints about drivers and agency follow-up. Operator is defined as an employee, authorized student or, contractor or other authorized person.	Event is the date the operator separates from state service	EVT+ 1 year and then destroy confidential	Yes	No		New

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
FLEET019	Global Positioning System (GPS) Related Vehicle Tracking Information	Information on where (location) and when (time) vehicles travel to for vehicles equipped with GPS tracking devices.	Date of report generation	CR+ 1 year and then destroy	No	No	This information would be a source document for other records in cases where fraud or other improper activities are alleged.	New
FLEET020	Vehicle Use Agreements (VUA)	This record series relates to all vehicle use agreements which are required to operate a state-owned vehicle.	Event is when superseded by new VUA OR Termination of authorization of State employment	EVT+1 year and destroy confidential	Yes	No	Vehicle use agreement records, for all stat agencies, are currently maintained in the fleet database.	New
Aircraft Maintenance and Operation Records- All series are designed to meet DOA and agency mandated activities per Wis. Stat. §16.04								
FLEET030	Routine Aircraft Operations	Records that pertain to the day-to-day operation of aircraft by state agencies. Included are records documenting departures, takeoffs, destinations, passengers on board, requests for flights, flight orders, aircraft flight logs, flight plans and similar records.	Date of flight	CR+5 years and then destroy	No	No		New
FLEET031	General Aircraft Maintenance and Modifications Records	Records relating to fleet-wide general maintenance activities, modifications, or improvements designed to meet programmed requirements (as opposed to maintenance activities performed on a specific aircraft; see Fleet032 for records relating to maintenance activities involving	Event is the date of aircraft disposal or clearance of related equipment	EVT+6 years and then destroy	No	No	Per FAA CFR Sec 91.417(2), records are transferred to the new owner when aircraft is sold. The state	New

		specific aircraft). Included are records related to servicing, manufacturing, rebuilding and testing of equipment and classifying the condition status of material, information that pertains to aircraft maintenance, and overhaul and rework projects as well as information pertaining to aircraft, aircraft components, engines, propellers, instruments, accessories, and their maintenance. Also included in this category are maintenance manuals for aircraft that have been customized from the standard production model design in order to meet agency-specific needs or manuals that have been annotated and are different from those issued by the manufacturer. Additionally, this category includes preventive maintenance records; aircraft inventories that account for the aircraft held by, or assigned to, an agency, and bulletins that direct a one-time inspection to determine whether a given condition exists and specify what action should be/has been taken.					will retain copies for the required retention time.	
FLEET032	Individual Aircraft Maintenance and Airframe Modification Records	Records relating to maintenance activities performed on specific aircraft. Included are aircraft logbooks, aircraft engine records, inspection and maintenance records, preventive maintenance inspections, diagnostic checkouts, spot check inspections, and maintenance requests. Also included are records relating to configuration change to a specific aircraft that are a material change, modification, or an alteration in the characteristics of the equipment.	Event is the date of aircraft disposal or clearance of related equipment	EVT+6 years and then destroy	No	No	Per FAA CFR Sec 91.417(2), records are transferred to the new owner when aircraft is sold. The state will retain copies for the required retention time.	New
FLEET033	Records Required for Accident/Incident	Records requested by authorities conducting the investigation of accidents/incidents involving aircraft used by state agencies,	Event is the investigation completion	EVT+1 year and then destroy	Yes	No	Risk Management would have	New

	Reports	including leased aircraft used by state agencies.	date or preparation of the required report	confidential			official files for accidents.	
RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
FLEET034	Pilot Records	The FAA mandates that all employers of pilots provide them with all records pertaining to the Individual's performance as a pilot: their training, qualifications, proficiency and professional competence, including comments made by evaluators. Also any disciplinary action or release of employment documents. This information must be maintained by commercial operators for at least one year after employment termination.	Event is defined as termination of pilot employment	EVT + 5 year and then destroy confidential	Yes	Yes 5 USC552a		New

Closed Series A closed series contains records that are no longer created, nor are they expected to be in the future.			
RDA No.	Series Title	Action Taken	Comments
Fleet001	State Motor Vehicle Policy and Administration Subject Files	Closed	This series is closed because it is covered by ADM00023 Internal Policies and Procedures in the Administrative Records GRS.
Fleet003	Motor Vehicle Correspondence Files	Closed	This series is closed because it is covered by the Business Correspondence records series in the Administrative Records GRS-ADM00010.
Fleet005	Van Pool Program Administrative Program Files	Closed	This series is closed because it is part of Fleet002 State Motor Vehicle Related Subject and project Files.
Fleet006	Motor Vehicle Acquisition Case File	Closed	This series is closed because it is covered by PUR00010 from the Purchasing and Procurement GRS. Fleet managers may keep information on buying vehicles. However the procurement process for vehicles is handled centrally by DOA for all state agencies.
Fleet007	Motor Vehicle Sales and Surplus Related Records	Closed	This series is closed because it is covered by three series in the Fiscal and Accounting General Records Schedule (GRS) - 9000112; 90000113; and 9000114. See related records section.
Fleet008	Vehicle Titles	Closed	This series is closed because it is now part of the motor vehicle maintenance record series-Fleet009.
Fleet010	Supplies and Parts Inventories	Closed	This series is closed because the records are covered in the Fiscal and Accounting GRS-90000111. See related records section.
Fleet011	Supplies and Parts Disbursement Records	Closed	This series is closed because it is covered in the motor vehicle maintenance record series-Fleet009.
Fleet014	Vehicle Incident/Accident Records-Copies	Closed	This series is closed because it is covered under the Risk Management GRS-Risk0026. See related record section.

Related Records Series

Information on other record series in approved GRSs which may relate to the broader functional area of this GRS. These record series are listed to facilitate a more complete understanding of all the record series within the broad scope of this function of government. It may not however contain a complete listing of all records series used within your agency for these types of business records.

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/ Example
ADM00023	Internal Policies and Procedures	Established departmental policies and procedures.	EVT+7 years and then destroy	No	No	DOA Fleet Driver and Management Policies and Procedures Manual-November 2004 Vehicle Driver Guide
900000110	Capital Equipment Inventories	Running inventories of capital equipment such as motor vehicles. If the finance office maintains this then other copies can be destroyed as inventories are superseded or become obsolete. From the Fiscal and Accounting GRS	FIS+4 years and then destroy	No	No	
90000111	Supplies, Commodities and Parts Inventories	Running inventories of supplies, commodities and parts. If finance office maintains this then other copies can be destroyed as inventories are superseded or become obsolete. From the Fiscal and Accounting GRS	FIS+4 years and then destroy	No	No	
90000112	Surplus Property Disposition Records	Records relating to the surplus, sale and disposition of state property. Includes motor vehicles. If finance maintains the official record then copies may be destroyed when no longer needed for administrative reference. From the Fiscal and Accounting GRS	EVT+3 years and then destroy. Event is the date the property is disposed.	No	No	

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/ Example
90000113	Surplus Property Disposition Records- Restricted Disposition Items	Pertains to items with restrictions controlling their disposition. If finance maintains the official record then copies may be destroyed when no longer needed for administrative reference. From the Fiscal and Accounting GRS	EVT+1 year and then destroy. Event date is the date the restriction ends.	No	No	
90000114	Surplus Property Disposition Records- Non-compliance Status	Pertains to items declared by the federal government or other entities such as auditors to be in non-compliance with the property transfer restrictions. If finance maintains the official record then copies may be destroyed when no longer needed for administrative reference. From the Fiscal and Accounting GRS	EVT+1 year and then destroy. Event date is the date the case is closed.	No	No	
HR000152	Drug and Alcohol Test Records- Training and Collection Processes	For certain positions subject to the Omnibus Transportation and Employee Testing Act and related federal DOT regulations. From the Human Resources General Records Schedule	CR+2 years And then destroy confidential	Yes	Yes	These retention periods are included in the program guidelines.
HR000153	Drug and Alcohol Test Records- Negative or Canceled Test Results	For certain positions subject to the Omnibus Transportation and Employee Testing Act and related federal DOT regulations. From the Human Resources General Records Schedule	CR+1 year And then destroy confidential	Yes	Yes	Same
HR000154	Drug and Alcohol Test Records- Positive Test Results	For certain positions subject to the Omnibus Transportation and Employee Testing Act and related federal DOT regulations. From the Human Resources General Records Schedule	CR+5 years And then destroy confidential	Yes	Yes	Same

RDA Number	Record Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/ Example
HR000155	Drug and Alcohol Test Records- Records Received from Previous Employers	Verified positive drug test results; alcohol test results with a concentration of 0.02 or greater; equipment calibration documentation; documentation of refusal to take a required drug or alcohol test and SAP referrals and evaluations. From the Human Resources General Records Schedule	CR+3 years And then destroy confidential	Yes	Yes	Same
Risk0026	Property Claim Files	Wis. Stat. 16.865 mandates responsibility for statewide risk management coordination including managing the statewide self-funded property program. Claim files may include accident/property loss reports, investigative reports, evidential documents such as photos, payment vouchers and any related correspondence. These records represent the official property claim files. From the Risk Management General Records Schedule	EVT+5 years and destroy confidential Event is the date the claim is closed	Yes	No	

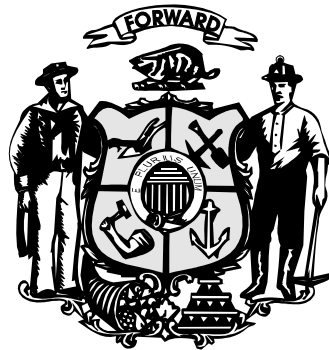
Revision History A listing of changes to this GRS.			
Revision Date	RDA Number	Record Series Title	Revision Made
8-27-18	FLEET020	Vehicle Use Agreements (VUA)	New record series added.

General Records Schedule

Human Resources and Related Records

Approved by the Public Records Board:

March 25, 2019



Expiration: March 25, 2029

For use by all units of Wisconsin Government at the State, County, and Municipal level

I. Scope

This schedule governs the records retention obligations of state agencies pursuant to [Wis. Stat. § 16.61](#), and applies to “public records” as defined in [Wis. Stat. § 16.61\(2\)\(b\)](#). These “public records” are referred to as “records” in this schedule.

This schedule covers records which most state agencies, the University of Wisconsin System Administration, the University of Wisconsin Institutions, all Wisconsin counties, municipalities and other units of local government create and use to administer Human Resources records. The schedule is applicable to human resources records regardless of format or media. For further information on policies and procedures, refer to the [Wisconsin Human Resources Handbook](#).

See the [Introduction to General Records Schedules](#) for additional information about how to use this schedule and for further information on who may use General Records Schedules. In particular, please review the restrictions on conditions that might preclude the authorized destruction of documents in the normal course of business including open records requests, ongoing legal holds, or audits currently underway or known to be planned.

The broad categories within the document are:

- General Policies and Procedures
- Recruitment and Selection
- Classification and Compensation
- Workforce Management
- Employment Relations
- Affirmative Action and Equal Employment Opportunity
- Medical
- Employee Assistance (EAP)
- Training
- General Human Resource Administration

This general schedule may *not* include records which are unique to the mission of a single government unit. Records that are unique to the mission of a specific government unit require a separate Records Disposition Authorization (RDA). The department or institution is responsible for creating an RDA that must be submitted to, and approved by, the [Public Records Board \(PRB\)](#).

This schedule goes into effect upon final approval by the Public Records Board.

II. Records Format

Records covered in this schedule may be in paper, electronic, or other formats. Electronic format examples include those created or transmitted via e-mail, data contained in database systems, and tapes/cartridges. To safeguard the information contained in records maintained *exclusively* in electronic format, agencies must meet the standards and requirements for the management of electronic records outlined in [Wis. Admin. Code ch. Admin 12](#).

As of October 1, 2015, most state agencies are using STAR (PeopleSoft) as the infrastructure for finance, budget, procurement, business intelligence, and human resource functions. Most human resources functions began utilizing STAR in December 2015.

III. Personally Identifiable Information

Wisconsin law requires authorities to specifically identify certain record series within a general records schedule that contain Personally Identifiable Information (PII). [Wisconsin Stat. § 19.62\(5\)](#) defines PII broadly as “information that can be associated with a particular individual through one or more identifiers or other information or circumstances.” Despite this broad definition, [Wis. Stat. § 16.61\(3\)\(u\)\(2\)](#), requires that record series within a schedule containing the following types of PII need not be identified as such: a) the results of certain computer matching programs; b) mailing lists; c) telephone or e-mail directories; d) record series pertaining exclusively to agency employees; and e) record series that contains PII incidental to the primary purpose for which the records series was created, and f) those relating to state agency procurement or budgeting. If in doubt as to whether a specific record series contains PII, check with your agency legal counsel.

Information about identity theft and information security is available at <http://itsecurity.wi.gov/>.

IV. Confidentiality of Records

Most records are not confidential and are open to public disclosure; however, there are exceptions. This GRS will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

V. Superseded Record Series

“Superseded” means that a new record series or RDA number has been used to cover records that were previously identified differently. The last column in the following GRS table titled “Previous RDA Number (if applicable)” provides a cross walk between new and any superseded RDA numbers. When revising a GRS, an attempt is made to retain the previous RDA number, providing the underlying records remain the same.

VI. Related Records

The “Related Records Series” section provides information on other record series in approved GRSs which may relate to the broader functional area of this GRS. These record series are listed to facilitate a more complete understanding of all the record series within the broad scope of this function of government. It may not, however, contain a complete listing of all records series used within your agency for these types of business records. See the “Related Records Series” section included in this document.

VII. Closed Record Series

When revising a GRS, it is common for some previously included record series to be closed. The “Closed Series” section lists series containing records that are no longer created, nor are they expected to be in the future. See the “Closed Series” section included in this document.

VIII. Revision History

See the “Revision History” section for a listing of changes to this GRS.

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
General Policies and Procedures								
HR000002	Delegation Agreements	Formal agreements between Division of Personnel Management (DPM) and state agencies delegating authority for certain HR-related activities to agency appointing authorities.	No	No	EVT + 5 years and destroy.	Event is date new agreement signed.	These agreements are not the same as Service Level Agreements (SLAs) and Memorandums of Understanding (MOUs), which are governed by ADM00029.	
HR000003	Delegation Performance Audits	Audits of agency performance of personnel practices, per established policies and procedures and per the terms of the specific delegation agreement. Agency responses and recommended actions required to maintain delegation.	No	No	EVT + 3 years and destroy.	Event is date of final audit report.		
Recruitment and Selection Records								
HR000011	Request to Staff Positions	Forms or systems processes to begin to staff a position.	No	No	EVT + 4 years and destroy.	Event is date request is approved or denied.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000013	Recruitment and Selection Related Records	Includes job announcements for positions (permanent, project and LTE) under recruitment by state agencies and maintained by state agencies. These job listings originate in Wisc.Jobs, the official website for Wisconsin jobs, but they can also come from agency standalone recruitment announcements. Also includes internal agency transfer announcements. It also includes the recruitment and assessment folder, which contains, but is not limited to, the position description, job announcement, Selection Assessment Strategy, Adverse Impact Analysis, assessment, benchmarks, employment applications, score sheet, raters, oral board members, rater remarks, advertisements, correspondence with applicants, assessment administration related documents, and requests to reuse/reactivate an existing register.	Yes	Yes Wis. Stat. §§ 19.36(7)(b), 19.36(10), 103.13(6) and 230.13	EVT + 4 years and destroy confidential.	Event is date of completion of recruitment (or recruitment campaign for group hires) or the date of agency decision to no longer recruit for the position(s).		HR000012 HR000014 HR000016

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
		It also contains the register and certification records such as the list of individuals who took and passed an assessment and those certified for further consideration. The certified list contains the Reports of Action on each candidate's status (e.g., Selected, Not Selected, Not Interested, Failed to Respond, etc.). The certified list is used to conduct additional screens or interviews for a particular job/vacancy. Includes interview questions, benchmarks, interview notes and evaluations, resumes, cover letters, work simulation tests and scores, reference checks, and any other related information used in evaluation of applicants.						

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000015	Staffing Decision Appeals	Appeals for all types of staffing decisions. Includes letters of appeals, related correspondence, and final decisions.	Yes	Yes Wis. Stat. §§ 19.36(10), 103.13(6) and 905.03 May contain attorney-client privilege or attorney-client work product.	EVT + 7 years and destroy confidential.	Event is date appeal is closed by settlement, Wisconsin Employment Relations Commission (WERC) decision, or end of court case.		
HR000017	Background Checks and Fingerprint Documentation	Background checks and fingerprint documentation for all candidates and hires where an agency chooses or is required to perform such checks. Records include any checks that are completed and used as a factor in the decision to consider or hire an individual for a position. Including, but not limited to, criminal and fiduciary checks. These checks must be performed in accordance with Federal and State laws along with the Wisconsin Human Resources Handbook.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 6.5 years and destroy confidential.	Event is date last result is received.	These records are NOT be kept in the Personnel file.	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR00017A	Background Checks Consent Forms and Fingerprint Documentation – No Check Completed	Background checks consent forms and similar fingerprint documentation for candidates where an agency did not perform the check.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 3 months and destroy confidential	Event is date of completion of recruitment (or recruitment campaign for group hires) or the date of agency decision to no longer recruit for the position(s).		
HR000018	Documentation After Hire	Written Hiring Reason for Classified and Project Appointments or equivalent forms to comply with Wis. Stats. §§ 230.21(1m)(b), 230.25(1p), and 230.27(k) and related instructions.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 4 years and destroy confidential.	Event is date of hire.		
HR000020	LTE Requests	LTE Request form or equivalent.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 1 year and destroy confidential.	Event is last day on payroll.		
HR000021	Requests for Consideration of Employment Status Changes and Related Records	Requests from individuals with eligibility under the civil service system for permissive reinstatement, contractual transfers, non-contractual transfers, and voluntary demotions and related records.	Yes	Yes Wis. Stats. §§ 19.36(7)(b) and 230.13	EVT + 4 years and destroy confidential.	Event is date of response.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000022	Unsolicited Resumes and General Expressions of Interest in Employment	Includes interest in permanent, project, or limited term positions.	Yes	No	EVT + 6 months and destroy confidential.	Event is date of receipt.		
HR000023	Resume Banks	A file of candidates interested in employment in the Wisconsin Civil Service which are maintained for a variety of purposes including promotion of affirmative action goals.	Yes	No	CR + 1 year and destroy confidential.	Event is date of creation.		
HR000025	Non-Select Letters or Emails	Non-select letter to each applicant who interviewed or was considered but not hired.	Yes	Yes Wis. Stat. §§ 19.36(7)(b) and 19.36(10)	EVT + 1 year and destroy confidential.	Event is end of recruitment.		
HR000026	Federal I-9 Forms	Federal form to document that the employer checked immigration status of hires. The Federal Immigration Reform and Control Act of 1986 (IRCA) requires all employers to verify the employment eligibility of employees hired after November 7, 1986.	Yes	Yes Wis. Stat. § 19.36(10) 8 USCS 1324(a)	EVT + 3 years after date of hire or 1 year after termination, whichever is longer, per USCIS 13248, and destroy confidential.	Event is date of hire or date of termination.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000027	Selective Service Eligibility Verification Related Records	Documentation of verification of Selective Service System registration prior to an initial appointment to a state of Wisconsin position, as required by Wis. Stat. § 230.143.	Yes	Yes Wis. Stat. § 19.36(10) 5 USCS 5529	EVT + 4 years and destroy confidential.	Event is date of appointment.	The selective service web application at: https://www.sss.gov/regver/wfverification.aspx is used to verify a candidate's registration status. Selective service registration can be documented by printing out the confirmation of the applicant's registration status.	
Classification and Compensation and Related Records								
HR000040	Agency Requests and Action on Creating Classifications	Agency requests and action on requests to create new classifications and the related reports. Includes placement of classification into an appropriate pay schedule and range, and determination if the position is a Career Executive position.	No	No	EVT + 3 years and destroy.	Event is date of approval or denial of request.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000041	Requests and Decisions for Reclassification of Civil Service Positions	All materials used for justification and analysis of reclassification requests. Includes current and prior position descriptions, related forms, official organization chart, and related material.	Yes	Yes Wis. Stat. §§ 19.36(10) and 103.13(6)	EVT + 6 years and destroy confidential.	Event is date of final decision, <i>not</i> effective date of transaction.	The official notification of all reclassification actions, which includes a detailed explanation of the justification is to be placed in the employee's official Personnel file.	
HR000042	Reallocations of Civil Service Positions	All materials used for justification and analysis of reallocation requests. Includes current and prior position descriptions, related forms, official organization chart, and related material.	Yes	Yes Wis. Stat. §§ 19.36(10) and 103.13(6)	EVT + 6 years and destroy confidential.	Event is effective date of transaction.	The official notification of all reallocation actions, which includes a detailed explanation of the justification, is to be placed in the employee's official Personnel file.	
HR000043	Approval of Classification Levels after DOA Approval of the Reorganization	Documentation of the analysis and approval of classification levels as a result of a formal reorganization. These reorganizations may be approved by legislative action and sometimes are the result of gubernatorial and agency appointing authority decisions.	No	No	EVT + 2 years and destroy.	Event is date reorganization is officially implemented.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000046	Position Classification Specifications	Documents defining civil service classifications that serves as the basic authority for the assignment of positions to a classification.	No	No	EVT + 15 years and destroy.	Event is date a specification is discontinued or updated.	Division of Personnel Management maintains older versions of current class specifications as well as previous class specifications.	
HR000047	Classification Surveys and Related Documentation	Survey reports and related documentation with classes created and/or abolished along with any resulting HR bulletins.	No	No	EVT + 6 years and destroy.	Event is close of survey or action taken.		
HR000048	Personnel Transaction Appeals	Appeals of reclassifications, reallocations, classification survey, and status of positions as a protective occupation.	Yes	Yes Wis. Stat. §§ 19.36(10) and 905.03 May contain attorney-client privilege or attorney-client work product.	EVT + 7 years and destroy confidential.	Event is date appeal is closed by settlement, Wisconsin Employment Relations Commission (WERC) decision, or end of court case.		
HR000049	Protective Occupation Requests	These records document agency requests to have a position identified as a protective occupation.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 7 years and destroy confidential.	Event is date of approval or denial of request.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000050	Fair Labor Standards Act (FLSA) Formal and Informal Complaint Files	Records include allegations of FLSA violations by state agencies as well as state investigation, the results of such investigation, and remedial action, if appropriate.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 5 years and destroy confidential.	Event is date of determination.		
HR000051	Fair Labor Standards Act (FLSA) Status Requests	Requests from agencies to determine if individual employees are exempt or non-exempt under FLSA.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 3 years and destroy confidential.	Event is date of determination.		
HR000052	Review of Positions for Placement in Executive Salary Groups (ESG)	Division of Personnel Management review of position description for placement in the ESG. Also includes requests to change ESG designation of specific positions in the statutes.	No	No	PERM	Retention Justification: These records contain historical information utilized to determine appropriate ESG assignments for the position under review to identify changes and for comparison positions.	Notification letters of results of ESG reviews are to be placed in the employee's official Personnel file. It is necessary for DPM and the state agency to maintain a historical file on ESG reviews.	
HR000053	Agency Requests to Raise the Minimum Rate for a Classification	Agency requests to raise the minimum rate for classifications in order to match market conditions for certain types of positions.	No	No	EVT + 3 years and destroy.	Event is last effective date of labor agreement or compensation plan.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000054	Agency Requests to Hire Above the Minimum (HAM)	Agency requests to hire above the minimum rate for recruitment in order to address the need for unusual qualifications or attract applicants with above the minimum qualifications (over and above what is normally required at entry to the classification). Applies to both delegated and non-delegated agencies.	No	No	EVT + 3 years and destroy.	Event is date of approval or denial of request.		
HR000055	Accretions and Conversions	Requests for change in positions from or to classified civil service.	No	No	CR + 3 years and destroy.	Event is date of creation.	Conversions and accretions are not appealable to WERC.	
HR000056	Biennial Compensation Plan for Non-Represented Employees	Includes preliminary proposals, public hearings, and the final proposal presented to the Joint Committee on Employment Relations. A similar set of documents exists for every recommendation for a modification or amendment made during the biennium.	No	No	PERM	Retention Justification: Needed to reconstruct employees' pay.	One complete set of compensation plans is to be retained permanently for use in reclass, pay on reinstatement, and pay on restoration computations.	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000057	Moving and Lodging Expense Reimbursement	Requests for moving and lodging reimbursement as a result of recruitments or personnel transactions of current state employees.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 3 years and destroy confidential.	Event is date of approval or denial of request.	There is permissive authority for hiring authorities to request and Division of Personnel Management approve such reimbursement subject to established maximum amounts. Some agencies have delegated authority to approve these reimbursements.	
HR000058	Alphabetical Listing of Classifications	A listing of all classifications and associated data (e.g. class code, pay schedule, pay range, etc.) in the civil service system, current as of certain date.	No	No	EVT + 10 years and destroy.	Event is superseded.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000059	Nominations for Compensation Awards	Required form or memo requesting that employees be considered for compensation awards. This may include discretionary merit, equity, or retention awards.	Yes	Yes Wis. Stat. §§ 19.36(10) and 103.13(6)	EVT + 3 years and destroy confidential.	Event is date of approval or denial of award.	Award notification letter for those individuals receiving awards is to be placed in the employee's official Personnel file.	
HR000060	Compensation Awards Related Reports	Reports on agency compensation awards, pay upon appointment, and award distribution, per state policies and procedures.	Yes	Yes Wis. Stat. § 19.36(10)	CR + 3 years and destroy confidential.	Event is date of creation.		
HR000061	Labor Market Surveys	State-conducted and proprietary wage surveys and ad hoc wage surveys. Survey documents and analysis materials including working papers and labor market survey responses.	No	No	EVT + 5 years and destroy confidential.	Event is survey conclusion.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000062	Compensation Tables and Special Reports	Payroll statistical reports include tables which, along with special reports that are generated, are used in planning and during collective bargaining. Big 10 tables provide payroll information on classifications. Little 10 tables and leave reports provide information on leave utilization and various additional compensation tools.	No	Yes Wis. Stat. § 19.36(10)	CR + 15 years and destroy confidential.	Event is date of creation.	Big 10, Hr. & \$, Little 10, etc. Tables 1, 5, 6, 7, 8 and 10, and special reports.	
HR000064	Compensation Reserve Development Reports and Documentation	DPM is responsible for the development of the compensation reserve recommendation which is submitted to the Department of Administration State Budget Office. This recommendation is reviewed during the development of the Governor's biennial budget and will be the compensation and benefit package resulting from collective bargaining and the non-represented plans, increases in health insurance premium costs, and other related items. DPM is responsible for monitoring and reporting on the status of the reserve and providing counsel on adjustments to be made.	No	Yes Wis. Stat. § 19.36(10)	CR + 6 years and destroy confidential.	Event is date of creation.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000065	Cost Analysis of Economic Proposals During Collective Bargaining	Division of Personnel Management (DPM) has responsibility for developing and computing the economic proposals and union economic demands during collective bargaining. The files consist of analysis of the economic component of issues raised during bargaining.	No	Yes Wis. Stat. § 19.36(10)	CR + 8 years and destroy confidential.	Event is date of creation.	See HR000102 for Bargaining Unit Master, Case Files Agreement.	
Workforce Management								
HR000044	Agency Requests and Decisions on Changes to Employing Unit Structure	Agency requests and decisions on changes to established employment unit structures within an agency.	No	No	EVT + 2 years and destroy.	Event is date of approval or denial of request.		
HR000081	Agency Level Workforce Plans and Related Action Plans	Agency level workforce plans submitted in accordance with Governor's directive, action and project plans maintained by state agencies relating to workforce planning, and related documents. Action plans detail the steps that will be taken to address issues identified through the workforce planning process. The project plan is an outline of how to complete the process.	No	No	EVT + 10 years and destroy.	Event is date plan is finalized and adopted by agency.		HR000082

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000083	Workforce Planning Guide and Summary of Agency Workforce Plans	Statewide summary report of agency-submitted workforce plans and related planning materials prepared to assist state agencies. Also included is the workforce planning guide.	No	No	EVT + 10 years and transfer to Wisconsin Historical Society.	Event is date report is issued or new guideline is finalized.		
HR000084	Employee Layoff Records	Layoff records may include notice of at-risk status or impending layoff; all union/individual notices; copy of the layoff plan to include organization charts, if appropriate; and any other documents that detail or explain the layoff as it affected the employee. Other documents may include performance and discipline analysis, seniority lists, referral to other positions, and documentation that a reasonable offer was made and either accepted or turned down.	Yes	Yes Wis. Stat. §§ 19.36(10) and 103.13(6)	EVT + 7 years and destroy confidential.	Event is date plan is approved, effective date of layoff, or cancellation of plan.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000085	Workforce Reduction Policies and Procedures	Includes policy guidance issued to state agencies concerning implementation of reduction of work hours: layoff or furlough. May include answers to common questions, processes and procedures for implementation of layoff or furlough, specific responses to agency questions, and other informational resources relating to implementation.	No	No	EVT + 7 years and transfer to Wisconsin Historical Society.	Event is date policy or procedure is superseded or obsolete.	Procedures under this RDA have typically gone through a vetting process and are intended to support the agency's policies in a direct manner. This RDA does not necessarily include worker instructions which may be viewed as task-specific directions used to ensure compliance with policies and procedures.	
HR000087	State Agency Layoff and Furlough Plans	Includes the final approved plans and related correspondence prior to final approval.	No	Yes Wis. Stat. §§ 19.36(10) and 103.13(6)	EVT + 7 years and destroy.	Event is date plan is approved, effective date of layoff, or cancellation of plan.	Agency layoff plans are submitted for review and approval. Furlough plans are required by Governor's Executive Order #285 to be submitted and approved.	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
Employment Relations and Related Records								
HR000102	Bargaining Unit Master Agreements Case File	Records related to contract language and interpretation of collective bargaining agreement language for individuals that bargain with the state. Includes bargaining notes, analysis of union proposals, and materials on development of state positions on collective bargaining agreements.	No	Yes Wis. Stat. § 19.36(10)	EVT + 10 years and transfer to Wisconsin Historical Society.	Event is date signed labor agreement is enacted into law or date of labor agreement implementation, whichever is later.		
HR000103	Significant Collective Bargaining Policy Issues	Contains the first agreement with the major unions and significant union management issues, such as those related to strikes, unfair labor practices, etc. that have continuing reference value. Material may be added from Bargaining Unit Master files.	No	Yes Wis. Stat. § 19.36(10)	PERM	Retention Justification: These records contain historical information utilized to assess how to handle current and future issues.		
HR000104	Agency Collective Bargaining and Collective Bargaining Agreement Administration Case File	Records related to contract language and interpretation of collective bargaining agreement language, usually maintained by an agency Human Resources office.	No	No	EVT + 10 years and transfer to Wisconsin Historical Society.	Event is date signed collective bargaining agreement is enacted into law or date of labor agreement implementation, whichever is later.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000106	Union Member Grievance Arbitration Case Files	Case files used to track grievance arbitrations from receipt through case resolution. Includes grievant name and names of other parties (e.g., state agencies, supervisor, arbitrator, union representative, etc.), case summary, case chronology, decision/resolution and remedy, if any.	Yes	Yes Wis. Stat. §§ 19.36(10) and 146.82	PERM	Retention Justification: There is no statute of limitations for union grievances. The possibility always exists that a union can chose to go forward with a grievance and take it to arbitration.		
HR000107	Signed Collective Bargaining Agreements	Master collective bargaining agreement for each bargaining unit of each biennium. Used as an ongoing reference document.	No	No	PERM	See Retention Justification for HR000106.		
HR000108	Union Member or Group Grievances, Appeals to Arbitration, and Non-Precedential Arbitration Decisions	File includes completed employee contract grievance report form or equivalent and related records.	Yes	Yes Wis. Stat. §§ 19.36(10) and 146.82	EVT + 5 years and destroy confidential.	Event is date grievance is resolved.	If arbitration decision is precedential, records are permanent and must be kept according to HR000109. If grievance is significant and is precedent-setting, records are to be kept according to HR000104.	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000109	Arbitration Decisions - Precedential	Arbitration decisions that set precedents for collective bargaining.	Yes	Yes Wis. Stat. § 19.36(10)	PERM	Retention Justification: These records contain historical information utilized to assess how to handle current and future decisions.		
HR000110	Non-Represented Employee Grievances and Appeals	A written complaint requesting relief in an employment matter for which the department has the ability to make the change. Many departments have specified grievance forms. The grievance is to note the subject and contain a clear and concise statement of the grievance by indicating the issue involved, the date the incident took place, and the relief sought.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 5 years and destroy confidential.	Event is date grievance is resolved.	See HR000108 for Union Member Grievances. Significant grievances that set a precedent are to be placed in an agency grievance case file and be kept according to HR000111.	
HR000111	Agency Grievance Case File	Case file may include information about the grievant, contractual language being grieved, relief sought, grievance response, status of grievance, and potential arbitration results.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 5 years and destroy confidential.	Event is date of grievance final disposition or closure.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000112	Employee Discipline Related Records	Includes investigatory related records such as meeting minutes, evidentiary materials, hearing notices, and related correspondence including notice of no finding. Records may include notices to employee of demotion, suspension with or without pay, or termination. When employees, represented and non-represented, consistently fail to meet minimal performance standards or violate department work rules or state law, discipline may be administered.	Yes	Yes Wis. Stat. §§ 19.36(10) and 230.13	EVT + 5 years and destroy confidential.	Event is close of discipline (date discipline was issued or notice to employee of no action taken).	Investigatory documentation and notice of no finding is NOT be included in the employee's official Personnel file. The official notification of discipline letter is to be placed in the employee's official Personnel file.	HR000113
HR000114	Personnel-Related Litigation Case Files	Cases not resolved through arbitration where the state is party to lawsuit.	Yes	Yes Wis. Stat. §§ 19.36(10) and 905.03 May contain attorney-client privilege or attorney-client work product.	EVT + 5 years and destroy confidential.	Event is date case is closed.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000115	Union Management Meetings	Documentation of union and management meetings from the management perspective.	No	Yes Wis. Stat. § 19.36(10)	CR + 5 years and destroy confidential.	Event is date of creation.		
HR000116	Formal Documentation with the Joint Committee on Employment Relations (JCOER)	Meeting requests, notices, collective bargaining contracts, fiscal estimates, compensation plan and amendments, meeting summaries, motions and correspondence.	No	No	PERM	Retention Justification: Needed for historical reference purposes, to reconstruct employees' pay, and as models for future compensation plans.		
Equal Employment Opportunity and Affirmative Action Related Records								
HR000132	Diversity Awards	Nominations and awards presented to honor agencies and programs/initiatives which exhibit best practices in EEO/AA/diversity.	No	No	CR + 5 years and destroy.	Event is date of creation.		
HR000133	Affirmative Action Report for Wisconsin State Government	Report prepared for the Governor, Legislature, and state agency appointing authority detailing the status of state affirmative action program accomplishments derived from state payroll data.	No	No	CR + 10 years and transfer to Wisconsin Historical Society.	Event is date of creation.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000134	State Agency Equal Employment Opportunity/Affirmative Action Plans (EEO/AA) and Veteran Hiring Plans	Affirmative Action and Veteran Hiring plans for each state agency. Required by Wis. Stat. §§ 230.04(9) and 230.42, respectively.	No	No	EVT + 3 years and transfer to Wisconsin Historical Society.	Event is date of plan approval.	Agency efforts to comply with EEO/AA standards contained in the guidelines for the development of their plans are monitored. See HR000135.	
HR000135	Compliance Reviews of State Agency Affirmative Action (AA) Plans	Compliance reviews of agency AA activities. The reviews assess agency mechanisms to achieve the AA-related goals established in the agency AA plans. This may include supporting documents and reports and agency responses to recommendations.	No	Yes Wis. Stat. § 19.36(10)	EVT + 3 years and destroy confidential.	Event is date of final report.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000137	Underutilization Reports	A report prepared and updated by the Division of Personnel Management (DPM) that determines the availability of women and minorities in Wisconsin's relevant labor force. The availability of women and minorities is then compared to Wisconsin's state government's work force to determine which job groups have fewer women or minorities than could reasonably be expected by their availability in the relevant labor force. The report is prepared from US Census data, US Education data, workforce data from the state payroll system, and applicant data from Bureau of Merit Recruitment and Selection.	No	No	CR + 6 years and transfer to Wisconsin Historical Society.	Event is date of creation.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000141	Discrimination and Harassment Case Files	These files contain complaint statements or allegations; correspondence; investigative reports which state the decision made; and appendices and other materials gathered as evidence in discrimination or harassment cases files by the public, employees, and applicants for employment by state agencies.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 5 years and destroy confidential.	Event is date of case closure.	This record series documents that agencies are providing due process under the law in managing allegations of discrimination and harassment. See HR000114 for Personnel-Related Litigation Case File if a lawsuit is filed.	
Medical Related Records								
HR000150	Employment-Related Medical Case Files	Includes medical exams, test results, communication with health professionals, and occupational health-related records.	Yes	Yes Wis. Stat. § 146.82	EVT + 8 years and destroy confidential.	Event is date of separation from employment in job that requires medical exams or maintenance of medical records.	Due to confidentiality of medical records, do not combine with the official employee Personnel File. Do not use this record series for worker's compensation claims. See RISK0010.	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000151	Medical Records involving Employee Exposure to Hazardous Substances	Includes the specifics of the incident and any follow-up actions to address the exposure. The OSHA standard provides for employee access and retention of certain records, when there has been exposure to toxic substances and harmful physical agents. See OSHA standard 29CFR 1910.1020. Employee medical record; employee exposure records; analysis using exposure or medical records; and applicable Material Safety Data Sheets or equivalent materials. Files may include Background data of environmental monitoring (i.e. laboratory reports and sampling reports, collection and analytical methodology (sampling plan) and summary of background data relevant for environmental monitoring).	Yes	Yes Wis. Stat. § 146.82	EVT + 30 years and destroy confidential.	Event is termination of employment.	In cases of exposure, an employee medical record case file would be created, if it does not exist. If a medical file did exist, it would be transferred to this record series and subject to a longer retention period. The exposure incident records are maintained under RISK0049.	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000152	Drug and Alcohol Test Records - Training and Collection Processes	These records include the process developed as a result of testing requirements mandated by law or an approved employer policy.	No	No	EVT + 2 years and destroy confidential.	Event is date superseded or obsolete.	For example, process developed in accordance with the Omnibus Transportation Employee Testing Act and the related Federal Department of Transportation regulations.	
HR000153	Drug and Alcohol Test Records - Negative or Canceled Test Results	Records of negative or cancelled controlled substance or alcohol test results that were below Federal Department of Transportation standards.	Yes	Yes Wis. Stat. § 146.82	CR + 1 year and destroy confidential.	Event is date of creation.		
HR000154	Drug and Alcohol Test Records - Positive Test Results	Verified positive drug test results; alcohol test results with a concentration at or above Federal Department of Transportation standards; equipment calibration documentation; documentation of refusal to take a required drug or alcohol test; and Substance Abuse Professional referrals and evaluations.	Yes	Yes Wis. Stat. § 146.82	CR + 5 years and destroy confidential.	Event is date of creation.	Place in existing, or create, employee Medical file. The employee cannot return to duty until specified conditions are met.	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000155	Drug and Alcohol Test Records - Previous Employers	Verified positive drug test results; alcohol test results with a concentration at or above Federal Department of Transportation standards collected when legally required to do so; equipment calibration documentation; documentation of refusal to take a required drug or alcohol test; and Substance Abuse Professional referrals and evaluations received from previous employers.	Yes	Yes Wis. Stat. § 146.82	EVT + 3 years and destroy confidential.	Event is date of receipt.	For example, records required to be collected under Federal DOT regulations 49 CFR Part 40, Section 40.25.	
HR000156	Family and Medical Leave Act (FMLA) State Guidelines	State guidelines interpreting FMLA. Used as a resource document for administering FMLA.	No	No	PERM	Retention Justification: Needed for historical reference purposes, to reconstruct FMLA issues, and as models for future changes.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000157	Employee Family and Medical Leave Act (FMLA) Requests and Related Records	Consists of the completed federal or state forms to request Family and Medical Leave and employer responses. May include payroll and employee data, dates of leave taken, record of any dispute and its resolution, medical certification, and fitness for duty certification.	Yes	Yes Wis. Stat. §§ 19.36(10) and 146.82	CR + 3 years and destroy confidential.	Event is date of creation.	All notification letters to employees relating to FMLA records are to be maintained in an employee's Medical file.	
Employee Assistance Program (EAP) Related Records								
HR000162	Employee Assistance Program (EAP) Policy and Standards	This series includes the current executive order with the approved policies and program standards governing the EAP.	No	No	EVT + 5 years and transfer to Wisconsin Historical Society.	Event is date policy or standard is superseded or obsolete.		
HR000163	Employee Assistance Program (EAP) Statistical Reports and Program Accomplishments	The information in this series summarizes program utilization and various other program activities and is used for purposes of program evaluation, policy/procedure development, and the development of future program goals. This series includes statistical reports, agency utilization summaries, and statewide year-end reports and summaries of EAP activities.	No	No	CR + 5 years and transfer to Wisconsin Historical Society.	Event is date of creation.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000166	Employee Assistance Program (EAP) Surveys	Records created when EAP surveys are conducted. This may include individual employee surveys following utilization of EAP services.	Yes	Yes Wis. Stat. § 19.36(10)	EVT and destroy confidential.	Event is completion of survey analysis.	EAP services are provided through a statewide third-party service contract	
HR000167	Wellness Initiative - Statewide Activities	Records may include documents, information, and resources related to wellness initiatives.	No	No	CR + 5 years and destroy.	Event is date of creation.		
HR000168	Agency Wellness Program and Related Activities	Consists of documentation of program activities performed under an agency's wellness program. Program activities may include educational presentations, promotion of wellness, on-site health screenings, health fairs, on-site activity classes such as pilates/yoga, and on-site weight loss programs.	No	No	CR + 5 years and destroy.	Event is date of creation.		
Training Related Records								
HR000181	Training Request Documentation	Documents used to obtain agency approval to attend and/or register for specific classes and documentation that the person attended specific training programs.	Yes	No	EVT + 1 year and destroy confidential.	Event is date of approval or denial of request.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000182	Course Evaluations	Written information from course attendees evaluating the class and the instructors who presented the materials.	Yes	No	EVT + 1 year and destroy confidential.	Event is date evaluation is completed.		
HR000183	Hired Training Vendors	A file of training vendors who have taught or provided training to state of Wisconsin employees.	Yes	No	EVT + 1 year and destroy confidential.	Event is date vendor last provided a class.	See ADM00012 for Training/Course Materials.	
HR000185	Training Attendance and Course Offering Records	Records of employee attendance at training activities, which may include employee name, work unit name, address, telephone, dates of training, name of class attended, and evidence of satisfactory completion of training. Course catalogs include course offerings, dates, fees, registration deadlines, and sample forms on how to register.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 5 years and destroy confidential.	Event is date employee leaves organization.	Lists of completed training classes may be placed in the employee's official Personnel file, which should transfer with the employee when they transfer within state service.	HR00180

General Human Resource (HR) Administration

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000190	Official Personnel File	Documents employee personnel actions during employment. Includes files for permanent, project and limited term employees (if applicable), in both the classified and unclassified state service. Documents may include: - Certification Request from which an appointment is made - Evidence of awards received from the State - Formal apprenticeship agreements - Leave of Absence With Pay Due to Injury Request/Authorization - Leave of Absence Without Pay Request/Authorization - Interchange Agreement Notice - Letters of appointment and assignment - Letters of commendation	Yes	Yes Wis. Stat. §§ 19.36(10) and 103.13(6)	EVT + 8 years and destroy confidential.	Event is termination of state service.	The official employee Personnel file belongs to Division of Personnel Management and, beginning February 2017, is maintained electronically. <i>Note:</i> Payroll and tax-related records are to be kept in a separate payroll-related employee case file per the <u>Payroll Records General Schedule</u>, as this has a shorter retention period.	HR000024 HR000045 HR000192 HR000194

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
		- Letters of discipline including demotion, suspension with or without pay, or termination - Letters of resignation/termination - Letters of expectation related to work activities - Notice of actions affecting employee's pay status - Performance evaluations - Position description (original and any subsequent) - Probationary Service Report (former title) or probationary performance evaluations and letters related to the results of the employee's probationary period(s) or trial period - Notice of Reallocation - Notice of Reclassification - Records of equity, retention, and merit or performance awards - Training records All other material concerning an employee including Outside Employment or Conflict of Interest requests, requests and responses for alternative work schedules, licensure or certification, documents, etc.						

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000191	Volunteer and Unpaid Internship Documentation	Applications, resumes, and other materials related to staffing unpaid volunteer and internship positions.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 2 years and destroy confidential.	Event is date volunteer or intern completes their assignment.		
HR000193	Exit Interview Records	The records include exit interview forms that document and address issues and concerns both negative and positive of employees who are leaving a state agency or transferring to another unit within the organization.	Yes	Yes Wis. Stat. § 19.36(10)	EVT + 3 years and destroy confidential.	Event is date of final interview.		
HR000195	Reasonable Accommodation Requests and Evaluations	To ensure equal employment access for all individuals with disabilities, employees may submit requests for reasonable accommodation to make facilities accessible, adjusting work schedules, acquiring or modifying equipment or restructuring a job through the reassignment of non-essential tasks. Medical documentation may be required. Records may include requests for accommodations, evaluations, response, approval or denials, and related correspondence.	Yes	Yes Wis. Stat. § 146.82	EVT + 8 years and destroy confidential.	Event is date of denial of request or end of accommodation.	Place applicable records in existing, or create, employee Medical file.	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000196	Emergency Contact Information for Employees	Information on who to contact in case of an emergency at the workplace.	Yes	Yes Wis. Stat. § 19.36(10)	EVT and destroy confidential.	Event is date superseded.		
HR000199	Letters of Recommendation or Endorsement	Free format letters or pre-printed forms recommending or endorsing an applicant for a position or admittance to a school program.	Yes	Yes Wis. Stat. §§ 19.36(10) and 103.13(6)	CR + 6 months and destroy confidential.	Event is date of creation.		
HR000200	Agreements to Provide Work Opportunities for Supported or Monitored Employees	Agreements to provide inmates, developmentally disabled individuals, people on public assistance or other groups with a work site.	Yes	No	EVT + 1 year and destroy confidential.	Event is termination of program or renewal.		
HR000201	Employee Interchange Agreements	Approved agreement for the temporary interchange of an employee for up to two years under the civil service system.	Yes	No	EVT + 2 years and destroy confidential.	Event is end of the agreement.	Letter transferring employee via an interchange is to be placed in the employee's official Personnel file.	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000202	Personnel History Roster	A complete employment record generated from payroll data that includes employee name, social security number (SS#), dept. 2nd level, class title, pay range and schedule, effective date, position type, base salary, and transaction type.	Yes	Yes Wis. Stat. § 19.36(10) 5 U.S.C. § 552a	PERM	Retention Justification: Wis. Stat. § 230.04(12)	Formerly called "history fiche." Prior to 1970, a paper-based index card was maintained for each employee. This is a cumulative report including information on employees no longer on the payroll system.	
HR000204	Implemented Suggestions and State Employee Suggestion Board Cash Awards	A case file is created for each suggestion to be submitted to the State Employee Suggestion Board that was evaluated by agency personnel as having merit and a determination that the suggestion was implemented. Cash awards may be granted following review by the State Employee Suggestion Board.	Yes	No	CR + 4 years and destroy confidential.	Event is date of creation.	Award letter or certificate may be placed in the employee's official Personnel file. Fiscal records are handled per the Fiscal and Accounting General Records Schedule for the agency that makes the awards.	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
HR000205	Employee Suggestion Program Submissions & Responses	Case files established for each suggestion, which includes the suggestion, evaluation of the suggestion, and a response.	Yes	No	EVT + 2 years and destroy confidential.	Event is date of response.		

Closed Series

A closed series contains records that are no longer created, nor are they expected to be in the future.

RDA Number	Record Series Title	Minimum Retention and Disposition	Rationale
HR000019	Annual Summary Report to OSER on Hires	CR + 5 years and destroy confidential.	Publication
HR000063	Hours and Dollars Reports – Monthly - OSER only	CR + 4 years and destroy confidential.	No longer used
HR000080	Workforce Planning and Fact Book – OSER only	PERM	Publication
HR000105	Local Union Agreements	EVT + 5 years and destroy confidential.	No longer created
HR000130	Council on Affirmative Action Annual Report- OSER Only	CR + 10 years and transfer to WHS.	Publication
HR000136	Federal EEOC-4 (Equal Opportunity Office) Report for the State of Wisconsin – OSER only	CR + 6 years and destroy.	Publication
HR000138	Veterans Employment Report – OSER only	CR + 3 years and transfer to WHS.	Publication
HR000139	State Employment Options (W-2) Annual Report	CR + 6 years and transfer to WHS.	Publication
HR000140	TOPjobs Summer Affirmative Action Internship Program Annual Report – OSER only	CR + 3 years and transfer to WHS.	Publication
HR000160	Employee Assistance Coordinator(s) Case Files	EVT + 5 years and destroy confidential.	No longer used

Closed Series

A closed series contains records that are no longer created, nor are they expected to be in the future.

RDA Number	Record Series Title	Minimum Retention and Disposition	Rationale
HR000161	Denied Application Files for EAP Coordinator Position	EVT + 5 years and destroy confidential.	No longer used
HR000164	EAP Contact Report Form	EVT and destroy.	No longer used
HR000165	EAP Case Files	EVT + 1 year and destroy confidential.	No longer used
HR000197	Seniority Lists	EVT and destroy confidential.	No longer used

Related Records Series

Information on other record series in approved GRSs which may relate to the broader functional area of this GRS. These record series are listed to facilitate a more complete understanding of all the record series within the broad scope of this function of government. It may not however contain a complete listing of all records series used within your agency for these types of business records.

RDA Number	Record Series Title	Description	Notes/Comments
ADM00012	Training/Course Materials	Materials prepared and used by staff to provide information targeted to internal and external audiences.	
ADM00023	Internal Policies and Procedures	Established departmental policies and procedures.	
ADM00025	Boards, Councils, or Commissions	Records associated with boards, councils, commissions established by legislation or Governor's Executive Order.	
ADM00029	Memorandums of Understanding (MOU) & Service Level Agreements (SLA)	A MOU or SLA is used for a variety of purposes to define agreements between state agencies and in some cases even to define agreements between a large state agency's separate divisions or bureaus.	
RISK010	Worker's Compensation Claims Case Files	Worker's compensation claims filed by state and UW System employees.	

Revision History

A listing of changes to this GRS.

Revision Date	RDA Number	Record Series Title	Revision Made
	HR000001	Policies and Procedures Relating to State HR Operations	Supersede with ADM00023
	HR000012	Job Announcements	Supersede with HR000013
	HR000014	Register/Certification Folder	Supersede with HR000013
	HR000016	Interview Documentation	Supersede with HR000013
	HR000024	Appointment Letters	Supersede with HR000190
	HR000045	Position Description and Related Forms and OSER Approval, where appropriate	Supersede with HR000190
	HR000082	Agency Action and Project Plans Related to Workforce Planning	Supersede with HR000081
	HR000086	State Agency Policies and Procedures for Implementing Layoff or Furlough	Supersede with ADM00023
	HR000100	Labor Management Cooperation Committee Related Records	Supersede with ADM00025
	HR000101	OSER Materials relating to Labor Management Cooperation - OSER Only	Supersede with ADM00025
	HR000113	Employee Discipline Records – Notice to Employee	Superseded with HR000112
	HR000131	Council on Affirmative Action Meeting Minutes - OSER Only	Supersede with ADM00025

Revision History

A listing of changes to this GRS.

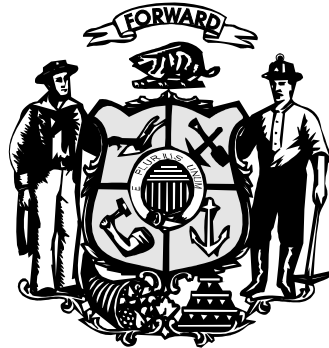
Revision Date	RDA Number	Record Series Title	Revision Made
	HR000180	Catalog of State Offered Training Courses - OSER only	Supersede with HR000185
	HR000184	Course Materials for Basic Supervisory Training	Supersede with ADM00012
	HR000192	Employee Performance Evaluations	Supersede with HR000190
	HR000194	Alternative Work Schedule Records	Supersede with HR000190
	HR000198	Employee Handbook Including Agency Work Rules	Supersede with ADM00023
	HR000203	State Employee Suggestion Board Meeting Minutes	Supersede with ADM00025

General Records Schedule

Information Technology and Related Records

Approved by the Public Records Board:

November 10, 2014



Revised: November 16, 2015

Expiration: November 10, 2024

For use by all units of Wisconsin Government at the State, County, and Municipal level

SCOPE

This schedule governs the records retention obligations of state agencies pursuant to [Wis. Stat. § 16.61](#), and applies to “public records” as defined in [Wis. Stat. § 16.61\(2\)\(b\)](#). These “public records” are referred to as “records” in this schedule.

This schedule covers records that most state agencies, including the University of Wisconsin System Administration, the University of Wisconsin Institutions, all Wisconsin counties, municipalities and other units of local government create and use in conducting information technology (IT) business or administered by decentralized IT staff located in agency program organizations. This schedule is applicable to all IT records regardless of format or media.

This general schedule may *not* include records that are unique to the mission of a single government unit. Records that are unique to the mission of a specific government unit require a separate Records Disposition Authorization (RDA). The department or institution is responsible for creating a RDA that must be submitted to, and approved by, the [Public Records Board \(PRB\)](#).

See the [Introduction to General Records Schedules](#) for additional information about how to use this schedule. In particular please review the restrictions on conditions that might preclude the authorized destruction of documents in the normal course of business including open records requests; ongoing legal holds or audits currently underway or known to be planned.

This schedule goes into effect upon final approval by the Public Records Board.

INTENTIONAL OMISSIONS

Automated Applications

IT holds records and facilitates data processing and the web presentation of business records for the customers they serve. As a result, IT is not the owner of customer business records. Program and system application records are covered by separate Records Retention/Disposition Authorizations (RDAs) or other General Records Schedules (GRS) based on the business needs of the area responsible for the related program or system application.

- **Computer Applications**

The data collected and processed by, and output from, computer applications belongs to programs and must be scheduled by the program. IT may facilitate the retention and disposition of that data as documented in the program RDA.

- **Web Content/Social Media**

This GRS does not address business records presented on the internet/intranet or in social media. Subject matter experts (i.e., program or business area staff) are the content owners and have the responsibility for scheduling and retaining those records to meet the program business needs.

Backup Processes

A “backup” process refers to making copies of original data so the copies are available for a restore if the original data is lost. Those additional copies are typically called “backups.” Backups are used for two reasons: 1) to restore a computer/server to an operational state following a major loss of data (disaster recovery) and 2) to restore files that have been accidentally deleted or corrupted.

Backups are not designed to be used for records retention. In those cases where agencies are currently depending on backups for records retention purposes, the backups must be scheduled for the longest retention period of any information carried on the medium. Retained backups may be subject to discovery or open records requests.

RECORDS FORMAT

Records covered in this schedule may be in paper, electronic, or other formats. Electronic format examples include those created or transmitted via e-mail, data contained in database systems, and tapes/cartridges. To safeguard the information contained in records maintained *exclusively* in electronic format, agencies must meet the standards and requirements for the management of electronic records outlined in [Wis. Admin. Code ch. Admin 12](#).

PERSONALLY IDENTIFIABLE INFORMATION

Wisconsin law requires authorities to specifically identify certain record series within a general records schedule that contain Personally Identifiable Information (PII). [Wisconsin Stat. § 19.62\(5\)](#) defines PII broadly as “information that can be associated with a particular individual through one or more identifiers or other information or circumstances.” Despite this broad definition, [Wis. Stat. § 16.61\(3\)\(u\)2.a.-f.](#) provides that record series within a schedule containing the following types of PII need not be identified as such: a) the results of certain computer matching programs; b) mailing lists; c) telephone or e-mail directories; d) record series pertaining exclusively to agency employees; e) record series that contains PII incidental to the primary purpose for which the records series was created; and f) those relating to state agency procurement or budgeting. If in doubt as to whether a specific record series contains PII, check with your agency legal counsel.

Information about identity theft and information security is available at <http://itsecurity.wi.gov/>.

CONFIDENTIALITY OF RECORDS

Most records are not confidential and are open to public disclosure; however, there are exceptions. This GRS will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as

confidential even if not all records in the series contain confidential information, and not all parts of records covered by the series are confidential.

SUPERSEDED RECORD SERIES

“Superseded” means that a new record series or RDA number has been used to cover records that were previously identified differently. The “Superseded” section provides a cross walk between new and any superseded RDA numbers. When revising a GRS, an attempt is made to retain the previous RDA number, providing the underlying records remain the same.

CLOSED RECORD SERIES

When revising a GRS it is common for some previously included record series to be closed. The “Closed Series” section lists series containing records that are no longer created, nor are they expected to be in the future. See the “Closed Series” section included in this document.

RELATED RECORDS

The “Related Records Series” section provides information on other record series in approved GRSs which may relate to the broader functional area of this GRS. These record series are listed to facilitate a more complete understanding of all the record series within the broad scope of this function of government. It may not however contain a complete listing of all records series used within your agency for these types of business records. See the “Related Records Series” section included in this document.

REVISION HISTORY

See the “Revision History” section for a listing of changes to this GRS.

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
IT000001	IT Strategic Plans	Records include Agency IT Strategic Plans, IT services plans, and related records used to plan for information systems development, technology acquisitions, IT services provision, or related areas. This category includes final plans within agencies as well as the agency-wide plan submitted to the Department of Administration. Typically the agency submits annual plan and DOA submits biennial plan.	No	No	EVT + 6 years and transfer to appropriate archival repository (Wisconsin Historical Society [State Archives] or the UW-Madison Archives). Destroy copies, drafts, and routine material when no longer needed by agency.	EVT is the plan is completed superseded or revised.	Planning records often have value for budgetary and planning purposes for a number of years or planning cycles after they become inactive. The state has a two-year planning cycle and information from prior plans may be relevant for three planning cycles. Examples: Trend Analysis, Auditing Final report and presentations (IT to Sr. Mgt) Reference: Wis. Stat. §§ 16.971(2)(L) , 16.971(2)(Lm) , and s. 16.976
IT000003	IT Management Reports and Metrics	Records include reports and metrics shared outside the IT organization, which may include staff and contractor reports, external surveys, trend reports, focus groups, and critical performance indicators.	No	No	EVT + 4 years and then destroy.	Event is the date the document is distributed.	Business or citizen surveys Availability Reports, Capacity Reporting, Status reports Key Performance Indicator (KPI) Reports Service Level Agreement Reports (tie back to KPIs)
IT000006	Fiscal Year Planning Documents for IT Activity Levels	Records include operational fiscal planning records that may be related to departmental, cross-departmental or external projects, used for a variety of reasons related to provision of services. These records may contain information about specific infrastructure projects planned for the next fiscal year that may impact the organization, including information about enterprise-wide projects. Operational type records related to how many IT hours (and costs per hour) will be allocated and paid for by the operating divisions.	No	Yes, state building plans and specifications per Wis. Stat. § 19.36(9) and Wis. Stat. § 16.851	EVT + 4 fiscal years and destroy confidential. Retention is in compliance with Federal Office of Management and Budget.	Event is the ending date of planning cycle.	Agency or enterprise fiscal IT plans for the provision of IT services within an agency or the enterprise. Examples: Agency Fiscal Year IT Budget IT Rate Schedule; estimating and documenting levels of ongoing maintenance and support; costs associated with various facets of program operation and support PRS rates and supporting documentation

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
IT00006A	Data Sharing Agreements	Records include formal data sharing agreements between state agencies, a state agency and a federal agency, or another private entity that governs the specific terms and conditions under which information (typically formatted digital information) collected by the state agency may be shared between the parties to the agreement. Such agreements are generally authorized by state or federal law, or administrative regulation, for a specific public purpose. Data sharing agreements are typically signed by the agency head or designee of both the sending and receiving agencies and may be either ongoing or established for a set period of time as identified in the agreement. State agencies that enter into data sharing agreements that specify computer matching must comply with the requirements of Wis. Stat. § 19.69.	No	No	EVT + 4 years and destroy.	Event is the date the agreement is either terminated or superseded.	Examples: Agreements to share tax information between the state Department of Revenue and Department of Employee Trust Funds Agreement between the lottery program administered in DOA and state and federal tax authorities to check for back taxes before payouts of certain high value winnings. Note: Memorandums of Understanding (MOU) and Service Level Agreements (SLA) should be retained under ADM00029.
IT000007	Performance Measures	Records include annual accomplishments for the technical, application and production sections of an IT operation.	No	No	EVT + 6 years and destroy.	Event is the date the document is distributed.	Prescribe and revise as necessary performance measures to ensure financial controls and accountability, optimal personnel utilization, and customer satisfaction for all information technology functions in the executive branch outside of the UW System and annually, no later than March 31, report to the joint committee on information policy and technology and the board concerning the performance measures utilized by the department and the actual performance of the department and the executive branch agencies measured against the

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
							performance measures then in effect. Reference: Wis. Stat. § 16.973(7)
IT000008	IT Project Investment Documentation	Investment documentation records involved with the decision-making and approval process to proceed with IT projects and technology selection. NOTE: These may be generated by different groups of people and kept in multiple places but it is recommended that a master file be kept in one place.	No	No	EVT + 3 years and destroy.	Event is the date the system/infrastructure is retired, or the project is abandoned.	Pre-project proposals, cost benefit analysis, risk assessments, executive summary, sign-off and decision documents, fit/gap analysis for project work, progress rpts, plans and accomplishments, staffing, work breakdown schedule, budget, communication plan, change management plan, change management risk plan, support transition plan. Examples: STAR, Cherwell
IT000009	IT Project Files	Records include those pertaining to the development, redesign or modification of a computer system or application.	No	No	EVT + 5 years and destroy. NOTES: Records may be needed up to 5 years after the conclusion of a project for reference or for management audit purposes. In some circumstances, agencies may wish to maintain these files longer for reference. All relevant info and final documentation should be	Event is the date project is completed or abandoned.	Change logs, data cleanup procedures and stats, code migration procedures, transition to production tasks, authorization setup, process scheduling, post-implementation review, project correspondence. Project charters to include scope, requirements, roles, timeline, budget, control strategies. Examples: Network plan and implementation files. Telecom project documentation. Website design records.

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
					contained in system and application documentation files.		
IT000010	Systems Specs Documentation and Quality Control Files	Records include user and operational documentation describing how an application system operates from a functional user and IT point of view. Quality control/data input records that may be used to verify data entered into a production file or database system upon initial creation or when significantly modified through batch type operations. Data documentation (or metadata) that is generally created during development or modification of an automated system. Data necessary for the access, retrieval, manipulation and interpretation of data in an automated system.	Yes	Yes, may include information that is trade secret and cannot be disclosed pursuant to Wis. Stat. § 19.36(5) and § 134.90(1)(c) ; computer programs that cannot be disclosed pursuant to Wis. State. § 19.36(4) ; or other legally protected intellectual property (copyright, etc.); follow any agency-specific statutory citations	EVT + 4 years and destroy confidential. Current and accurate information on how an application system operates is needed throughout it's life cycle. System documentation may be needed 4 years after the system is discontinued or modified for the admissibility of electronic records in legal proceedings, retrospective analysis, and remedying errors.	Event is defined as a major upgrade or discontinued use of system, but not before system data is destroyed or transferred to new operating environment.	Procedures for operations and support of a user application. Workflow diagrams, data definitions, data conversion mappings, naming standards, architecture diagrams, and file designs. Test plans including processing test results, accessibility compliance results, web usability tests and results; data conversion results. Examples: System administration and security IT operation procedures User manuals and guides Data documentation/ metadata LAB audit reviews Release mgt documentation Test procedures related to release/upgrade of soft-ware or application code Data element dictionary, file layout, codes and other records that explain meaning, purpose, structure, logical relationships, ownership, use and origin of data. System and program flowcharts; program descriptions and documentation; job control or workflow records; records

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
							disposition process; input and output specifications; records used to validate the authenticity of the electronic record in the unstructured world.
IT000011	Source Code	Records include source code that is used to construct and operate an automated information system. Series includes change orders to source code.	Yes	Yes, may include information that is trade secret and cannot be disclosed pursuant to Wis. Stat. § 19.36(5) and § 134.90(1)(c) ; computer programs that cannot be disclosed pursuant to Wis. State. § 19.36(4) ; or other legally protected intellectual property (copyright, etc.); follow any agency-specific statutory citations	EVT + 3 years and destroy confidential.	Event is the date code is superseded or replaced.	Instructions used to operate a system or infrastructure. After the code is modified or replaced it has no administrative or legal value. Proprietary, vendor-supplied code follows individual license agreements for retention. Examples: Source code audits ITIL release management function and auditing application program changes Post conversion troubleshooting Templates, style sheets and code that determine web site architecture NOTE: Data used for testing system functionality (the testing data sets) are not considered records

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
IT000012	IT Software / Hardware Operating Procedures and Infrastructure Documentation	Records include procedures for entry of system operational parameters, system administration, hours of system operation, production control, and other aspects of an IT operation. NOTE: This may include vendor and/or manufacturer documentation.	No	Yes, state building plans and specifications per Wis. Stat. § 19.36(9) and Wis. Stat. § 16.851; may include information that is trade secret and cannot be disclosed pursuant to Wis. Stat. § 19.36(5) and § 134.90(1)(c); computer programs that cannot be disclosed pursuant to Wis. State. § 19.36(4); or other legally protected intellectual property (copyright, etc.); follow any agency-specific statutory citations	EVT + 3 years and destroy confidential.	Event is the agency no longer uses related software/hardware and all data is transferred to and made useable in new software/hardware environment.	Basis for subsequent operational procedures. Records may include: - operating manuals - hardware/operating system requirements - hardware configurations - equipment control systems Examples: System administration operation procedures; library procedures; installation procedures; backup procedures. Note: Procedures under this RDA have typically gone through a vetting process and are intended to support the agency's policies in a direct manner. This RDA does not necessarily include worker instructions which may be viewed as task-specific directions used to ensure compliance with policies and procedures.

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
IT000014	Operating System and Hardware Migration Plans	Records include migration plans and documentation for the replacement of equipment or computer operating systems. (Version changes, not release changes)	No	No	EVT + 3 years and destroy.	Event is a major upgrade or discontinued use of system, but not before system data is destroyed or transferred to new operating environment.	Planning for subsequent migrations. (Release version documentation would be covered under IT00008.) Product research materials Plans may be needed for a longer period of time for critical information systems, migration planning, or after migrations for reference and to deal with unforeseen issues and problems.
IT000015A DO NOT USE Superseded by FAC00090	Disaster Recovery Records	Records include those created during the disaster recovery process. Per FEMA: "Record Keeping. It is critical that the applicant establish and maintain accurate records of events and expenditures related to disaster recovery work."	Yes	Yes, follow agency-specific statutory citations	EVT + 3 years and destroy confidential. FEMA Public Assistance Guide – Chapter 5: Project Mgt	Event is defined as the recovery process is completed.	Information required for documentation describes the "who, what, when, where, why and how much, for each item of disaster recovery work. Indexes, inventory lists, computer logs, working papers, and correspondence. This series also includes computer tapes, or other media held in reserve in the event that an information system fails to function and records need to be recovered and restored.
IT000016	IT Service Support Documentation	Records include warranty and maintenance contract information including vendor contact information for servers, networks, and personal computing equipment. Documentation of support service provided for servers, networks, and personal computing equipment. NOTE: This may include vendor and/or manufacturer documentation.	No	No	EVT + 1 year and destroy.	Event is the date the equipment is retired.	Information on the warranty or maintenance/support contracts for computer equipment. This can include contact information needed to place service calls. Documentation of requests to vendors for technical assistance or repairs and responses to these requests. Information or reports on the use of computer equipment for

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
							program delivery, security, or other purposes such as trend analysis. Examples: Warranty information Maintenance/support contract information Site visit reports Trouble reports Related correspondence and memoranda
IT000020	Network Support or Circuit Installation and Service History and Summary	Records include site visit reports, trouble reports, service history, network upgrade documentation and other related correspondence, including work orders, work schedules, building/circuit diagrams, network outages and application outages. History and summary records related to the provision, quality, and availability of network support services. Requests by agencies to DOA or contracted service provider for data communication service, installation, or repair and response to the request.	No	Yes, state building plans and specifications per Wis. Stat. § 19.36(9) and Wis. Stat. § 16.851	EVT + 5 years and destroy confidential. Note: The longer retention period is desired for audit purposes.	Event is defined as when the request is completed.	In general, these network support services are provided by a third party vendor (service provider), and these documents are necessary in evaluating the quality of service, and assisting in the resolution of issues / trouble tickets with the service provider. Examples: AT&T outage report Agency reconciliation/cleanup process Work orders Correspondence / memoranda Work schedules Copies of building or circuitry diagrams Network design documents
IT000021	Telecom and Data Circuit Inventories	Records include support documentation for telecommunication and network equipment. Circuit inventories used by the agency, which may include phone wires, circuit number, vendor, cost per month, type of connection, terminal series, software, contact person and other relevant information about the circuit.	No	No	EVT and destroy. NOTE: If there is not a summary report as in IT000020, these records will need to be retained 4 fiscal years after	Event is superseded.	Examples: Agency reconciliation/cleanup process Billing account information Telecommunication service inventory Current call flows System configurations User guides and instructions

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
					(event) ending date of planning cycle.		Support manuals Cross-connection information Binding post information Backup procedures
IT000023	Operational and Other Automated Logs	Records include logs created to monitor usage. The logs may include network or operating system logs (that are not security related). Lists of holdings, control logs and information on the destruction of files stored on electronic media (does not include the data on the media).	No	Yes, metadata may contain confidential information. Follow agency-specific statutory citations.	EVT and destroy confidential.	Event is superseded or reviewed.	Network usage logs, performance management, troubleshooting or other network monitoring (modem pool logs, network flows generated by routers, DHCP logs, e-mail server logs, etc), and other records created to document computer usage for reporting or other purposes. Examples: System usage files Storage manager reports TSM logs Software Library Computer run logs and related records may include: - daily schedules - Oracle server storage reports - run reports / requests - internally-generated program logs or any other automated logs that have limited business value to the agency - metadata - other records documenting the successful completion of a run
IT000026	Access Logs	Records include electronic files, automated logs, or film logs created to monitor access and use of agency services. Includes compiled application, security, and system logs.	Yes	Yes, follow agency-specific statutory citations	CR + 1 year and destroy confidential, but NOT before relevant audit (federal, state, etc.) or incident	Creation	Logs may relate to access of agency-provided services. They are needed for incident resolution, such as litigation and customer complaints. Logs are also retained to reveal unauthorized access and intrusions.

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
					litigation issues have been resolved and documentation requirements have been met. IRS records retention for tax information security events for state and local agencies with FTI data access is covered under IRS Pub 1075; Section 9.3.3.3., Audit events (AU-2), describes relevant Security related events and Section 9.3.3.5., Audit Storage Capacity (AU-4), Provides retention requirements.		Examples: Security logs, such as those related to file and folder access, account and group management, and user log-on and log-off. Agency Internet Services logs Access and usage trends Statistics Internet and Intranet logs Web server logs Web Site posting logs indicating when pages were posted, updated or removed File transfer logs Service access logs Film logs
IT000027	Employee Internet Use Logs	Records include electronic files or automated logs created to monitor and control use of the Internet by agency employees.	Yes	Yes, follow agency-specific statutory citations	EVT + 3 months and destroy confidential, unless required for security purposes. While one-year retention is likely to be desirable in order to respond to employee supervisory issues, a shorter-	Creation	Logs may relate to employment actions and performance management. Examples: Proxy server logs and web filtering reports from applications such as Zscaler Elsa logs

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
					term retention period is acceptable for internet usage logs because they create a large volume of records for the business value received. Often data extraction is difficult due to the disarranged data format and the large volume of data generated.		
IT000028	Website Usage Reports	Records include reports of web usage retained for trend analysis and customer service performance or related usage tracking data.	No	No	CR + 1 year and destroy.	Creation	Examples: Web Trends Google Analytics Urchin Associated reports to management
IT000029	Telephone System Call Detail	Records include documentation created for functions associated with the telephone system call detail.	No	No	CR + 5 years and destroy	Creation	Example: Phone bill details – usage detail
IT000031	Telecom Maintenance Work Order Files and Logs	Records include user change/ trouble requests, internal service order documentation, service order submitted to vendor, and maintenance and order logs.	No	No	EVT + 1 year and destroy. NOTE: If there is no summary report as in IT000020, these records will need the following, "Destroy 4 fiscal years after (event) ending date of planning cycle.	Event is close of contract or provision of service.	Examples: Reports of routine phone/phone line repairs done by vendor. Work orders submitted to the vendor.

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
IT000032	User Access Requests and Authorizations	Records include but are not limited to local and remote access and authorized logon id requests to agency systems or applications. NOTE: A user account on its own is not a record. This RDA covers the approvals/actions regarding access to an account. Any specific email records would be covered by a correspondence or project RDA in the ADM GRS (ADM0009, ADM00010, ADM00026, ADM00027), or a program-specific RDA.	Yes	Yes, follow agency-specific statutory citations	EVT + 2 years and destroy confidential.	Event is departure of employee requesting authorization	Records may be needed for audits, system security, summary reports, planning. Examples: Access requests Access authorizations
IT000033	Employee / Contractor / Vendor Responsibility Acknowledgment Agreements, Trusted Use Agreements	Records include employee acknowledgement of security-related responsibilities and trusted use agreements.	Yes	Yes, follow agency-specific statutory citations	EVT + 8 years and destroy confidential. If records are placed in the employee personnel file, the retention period would follow HR000190 (8 years after termination).	Event is departure of employee, contractor or vendor	Records may be needed for employment actions. Examples: Data confidentiality forms Employee password security agreements Dates of such acknowledgement
IT000034	Assignment and Authorization of Security Officer and Personnel with Administrator Privileges	Records may include the appointment, authorization, and approval from the agency head or delegated authority to the requesting agency's or the enterprise IT security officer regarding who has administrative access privileges to applications.	Yes	Yes, follow agency-specific statutory citations	EVT + 4 years and destroy confidential. In compliance with the Federal Office of Management and Budget Circular A-102 , "Grants and Cooperative Agreements with State and Local Governments.	Event is departure of security officer or personnel granted administrative privileges or (event) revocation of such privileges.	Appointment, authorization or approval from the agency head or delegated authority to the requesting agency's or the enterprise IT security officer. Documentation of who has administrative access privileges to applications.

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
IT000035	Computer Security, Incident and Investigation Reports	Records include those of incidents involving unauthorized entry attempts, probes, and/or attacks on data processing systems, information technology systems, telecommunication networks, and electronic security systems including associated software and hardware. This would include official reports and other documentation if appropriate.	Yes	Yes, follow agency-specific statutory citations	EVT + 5 years and destroy confidential. In compliance with the Federal Office of Management and Budget Circular A-102 , "Grants and Cooperative Agreements with State and Local Governments."	Event is relevant audit or incident litigation issues have been resolved and documentation requirements have been met.	These reports may be retained for customer service performance or related usage tracking data for employment actions. Examples: Daily events Restricted Logon ID log Info-storage violations Info-storage log Data set traces Logging and violations Mainframe by-pass label processing Resource tracing Violation for all platforms and applications Security breaches Computer investigations
IT000040	User Support Records	Records include documentation of troubleshooting and problem-solving assistance provided by the agency's information systems personnel to users of the systems.	No	No	EVT and destroy	Event is case is resolved or report is no longer needed for business purposes.	Examples: Help desk assistance requests Resolution records Help desk application reports Cherwell help desk tickets Requests for account security management types of activities (password resets, unlocks, enables) must follow IT000026. New User Access requests follow IT000032.
IT000041 NEW	Software Management Records	Records include documentation of the use of software in agency information systems to insure that agency software packages are compatible, license and copyright provisions are complied with, and upgrades are obtained in a timely manner.	No	No	EVT + 1 year and destroy	Event is software is disposed of or upgraded.	Examples: Software inventories Software licenses Site licenses Related correspondence and memoranda

RDA Number	Records Series Title	Series Description	PII	Confidential	Minimum Retention and Disposition	Event Description	Examples/Notes
IT000042 NEW	Web Management and Operations	Records include documentation of the management of a website that provides context and structure related to the site.	No	No	EVT and destroy	Event is superseded or the website is updated.	Records that: • specify an agency's web policies and procedures; • provide detailed procedures for documenting how records are selected, created and approved for web posting, and how they will be revised or removed; • specify what records will be created and how they will be created for interactive sections of web sites; • document procedures used in the operation of the site; • specify the relationship of the webmaster and other staff involved in preparing and posting web documents

SUPERSEDED RDAs

“Superseded” means that a new record series or RDA number has been used to cover records that were previously identified differently.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	Use Case/Example
IT000002 Superseded by ADM00023	IT Policies and Standards	Records of IT policies, standards and procedures that may include those covering access and security, systems development, data retention and disposition, data ownership, and administrative operating practices and procedures.	Retain 7 years after (event) policy/standard is withdrawn, revised, updated, or superseded, and transfer to the appropriate archival repository (Wisconsin Historical Society [State Archives] or the University of WI-Madison Archives.)	Policies may be needed for reference and management audit purposes for a number of years after they are no longer in force.
IT000004 Superseded by ADM00026	IT Steering/Policy Committee Documentation	Minutes and associated documents of IT Steering or Policy Committee meetings. These often document official actions of the committee on policy recommendations, IT investment decisions, and other general IT business of the agency.	Retain 3 years after (event) minutes are published and transfer to the appropriate archival repository (Wisconsin Historical Society [State Archives] or the University of Wisconsin Madison Archives).	For an agency, this would apply to only the top level IT steering group within that agency. Agency oversight or enterprise oversight, like DOT's ITOC, TLC, the old Business Leadership Council, Enterprise Steering Team.
IT000005 Superseded by ADM00027	IT Topical Committee Documentation	Agendas, notices, minutes and relevant supporting materials of IT committees that set or revise policy through decision making. Committees may be ongoing or ad hoc.	Destroy 3 years after (event) distribution.	These groups are more topical in nature, like WEAT, State Email Administrators, old Domains, Security (ISAS), GIS Committee, directory working group. Project working committees that keep minutes would follow the project RDA, IT000009.
IT000012A Superseded by IT000012	IT Operating Procedures - Critical Information Systems	Procedures for entry of system operational parameters, system administration, hours of system operation, production control, and other aspects of an IT operation. Note: this may include vendor and/or manufacturer documentation.	Destroy 7 years after (event) procedure is withdrawn, revised, updated, or superseded. NOTE: Operating procedures must be retained and accessible as long as they are in force. Outdated procedures for critical information systems may be necessary for	System administration operation procedures; Tape library procedures; Installation procedures; Backup procedures.

			reference and management audit purposes for up to 7 years after they are no longer used for active administration.	
IT000013 Superseded by IT000012	IT Software/Hardware Infrastructure Documentation	Use, operation, and maintenance of an agency's IT equipment. NOTE: This may include vendor and/or manufacturer documentation.	Destroy 1 year or after (event) the agency no longer uses related software/hardware and all data is transferred to and made usable in the new software/hardware environment.	Records may include: • Operating manuals • Hardware/operating system requirements • Hardware configurations equipment control systems
IT000015 Superseded by ADM00008	Disaster Preparedness and Recovery Plans	Plans and documentation for the protection and reestablishment of IT services and equipment in case of a disaster.	Destroy after (event) superseded by revised plan.	Living Disaster Recovery and Planning System (LDRPS) version of IT documents.
IT000017 Superseded by Purchasing and Procurement GRS PUR00010	Technology Selection Documentation	Research, analysis, review and recommendation records regarding selected software/hardware for agency use, including vendor information and related material.	Event (procurement) plus 4 years.	Subsequent procurements, contested procurements, open records requests, LAB audit reviews Documentation and process used to choose technology to perform the functions.
IT000018 Superseded by IT000010	Quality Control Files	Quality control/data input records that may be used to verify data entered into a production file or database system upon initial creation or when significantly modified through batch type operations.	Destroy 4 fiscal years after (event) ending date of planning cycle.	LAB audit reviews Release management documentation Test procedures related to release or upgrade of software or application code
IT000019 Superseded by IT000023	Data/Backup Library Control Files	Lists of holdings, control longs and information on the destruction of files stored on electronic media in a library.	Destroy after superseded	Storage manager reports Log files TSM logs
IT000022 Combined with IT000020	Network or Circuit Installation and Service Files	Requests by agencies to DOA or contracted service provider for data communication service, installation, or repair and response to the request.	Destroy 1 year after (event) request is filled or repairs are made.	Work orders Correspondence/memoranda Work schedules Copies of building or circuitry diagrams Network design documents
IT000024 Combined	Data Documentation / Metadata	Data generally created during development or modification of an automated system. Data necessary for	Destroy after (event) the application's data is destroyed or migrated to a new structure	These records are essential for managing electronic records in agency automated information

with IT000010		the access, retrieval, manipulation and interpretation of data in an automated system may include the data element dictionary, file layout, codes, and other records that explain the meaning, purpose, structure, logical relationships, ownership, use and origin of data.	or format.	systems that have been discontinued or modified and have value as long as the data/electronic records are retained. In some cases, agencies will retain data for extended periods of time, sometimes off line. In such cases, it is essential that related documentation be retained in an accessible format. Used to validate the authenticity of the electronic record in the unstructured world.
IT000030 Combined with IT000021	Telecom Inventory Support	Support documentation for telecommunication equipment and phone wires and circuits, and applications.	Destroy after superseded. Note: if there is not a summary report as in IT000020, these records will need the following: "Destroy 4 fiscal years after (event) ending date of planning cycle.	This includes billing account information, telecommunication service inventory, current call flows, system configurations, user guides and instructions, support manuals, cross connection information, binding post information, backup procedures.

CLOSED				
A closed series contains records that are no longer created, nor are they expected to be in the future.				
RDA Number	Records Series Title	Description	Minimum Retention and Disposition	Use Case/Example
IT000025 CLOSED – not a record	Test Data	Data used for testing system functionality NOTE: Loading data from a production system, obfuscating it, and using as test data does not create a new record.	Destroy when no longer needed.	Data sets, including copies of production data or sample structured or unstructured data sets, used for the purpose of validating an application's functionality. The data sets used for this purpose are not considered to be records.

RELATED RECORDS

Information on other record series in approved GRSs which may relate to the broader functional area of this GRS. These record series are listed to facilitate a more complete understanding of all the record series within the broad scope of this function of government. It may not however contain a complete listing of all records series used within your agency for these types of business records.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	Use Case/Example
ADM00008 Administrative Records	Agency Final Continuity of Operations/Continuity of Government Operational Plan and Documentation	Agency official copy and work papers of the COOP/COG plan. NOTE: This record set may be classified as confidential	Event and destroy confidential Event is superseded by revised plan	Disaster preparedness and recovery plans
ADM00023 Administrative Records	Internal Policies and Procedures	Established departmental policies and procedures. NOTE: May also be called Administrative Practices or Directives or Executive Directives.	Event + 7 years and destroy Event is the date the policy and procedure is superseded or made obsolete.	Manuals Manual codes Handbooks, etc. Includes IT policies and procedures
ADM00026 Administrative Records	Team, Project, or Workgroup Documentation – Program/Policy Impact	Records associated with teams, committees, projects, or workgroups established by or among agencies that have program and/or policy impact.	Creation + 5 years and transfer to the WHS or UW-Madison Archives	See ADM General Schedule for specifics, but includes IT Steering/Policy Committee Documentation
ADM00027 Administrative Records	Team, Project, or Workgroup Documentation – Internal and Routine Activities	Records associated with teams, committees, projects, or workgroups established by or among agencies that have internal impact only.	Creation + 2 years and destroy	See ADM General Schedule for specifics, but includes IT Topical Committee Documentation
90000021 Fiscal & Acct.	Computer Services Billing Records	Reports and other records from DET-DOA, detailing charges for use of computer services which may include monthly billing reports, copies of vouchers and bills.	Destroy after the current fiscal year plus 6 back fiscal years.	
90000021 Fiscal & Acct.	Records of Charge- backs to IT Service Users	Records used to document, calculate costs and bill program units for computer usage and IT services. These records are also used for cost recovery, budgeting, or administrative purposes.	Destroy after the current fiscal year plus 6 back fiscal years.	
PUR00010 Purchasing & Procurement	Contract and Request for Bid/Proposal File	Records used to document, calculate costs and bill program units for computer usage and IT services. These records are also used for cost recovery,	Destroy 4 years after close of contract. Purchase records are usually	Copies of records created to initiate the purchasing process, authorize and provide funds for, or satisfy claims and expedite payments for

		budgeting, or administrative purposes.	maintained together in Contract Case File.	private service providers including copies of purchase orders, invoice requests, receipts, agency vouchers, service reports, and other supporting documentation. Financial-related records must be retained FIS+6 years per Fiscal and Accounting General Schedule RDA#9000021
Purchasing & Procurement GRS	IT Procurement Files	Records used in the procurement of system hardware and software including request for proposals, proposals, quotations and bids, benchmark/acceptance testing information, correspondence, duplicate copies of contracts, purchase orders, technical reviews, and vendor information including references and literature on the firm or product line.	RDA PUR00007 Request for Purchasing Approval/Authority and Procurement Plans Evt+6 years and destroy	IT units may maintain key contract-related documents needed for litigation. These records must be retained 6 years after expiration of the contract to satisfy the statute of limitations on contract related litigation. Records not related to a contract may be needed for up to 3 years after the purchase for reference or audit.

REVISION HISTORY

A listing of changes to this GRS.

Revision Date	RDA Number	Record Series Title	Revision Made
Monday , 11-10-2014	IT000003	IT management Reports and Metrics	Retention decreased from 7 yrs to 4 yrs
Monday, 11-10-2014	IT000010	Systems Specs Documentation and Quality Control Files	Retention increased from 3 yrs to 4 yrs
Monday, 11-10-2014	IT000016	IT Service Support Documentation	Retention decreased from 2 yrs to 1 yr
Monday, 11-10-2014	IT000020	Network Support or Circuit Installation and Service History and Summary	Event and retention changed from '1 yr after close of contract or 5 yrs, whichever is greater' to 'when the request is completed plus 5 yrs'
Monday, 11-10-2014	IT000023	Operational and Other Automated Logs	Event changed from 'when no longer needed' to 'superseded or reviewed'
Monday, 11-10-2014	IT000028	Website Usage Reports	Event changed from 'superseded' to 'creation'
Monday, 11-10-2014	IT000033	Employee/Contractor/Vendor Responsibility Acknowledgement Agreements, Trusted Use Agreements	'Contractor/Vendor' added to title
Monday, 3-9-2015	IT000006	Fiscal Year Planning Documents for IT Activity Levels	MOU and SLA examples removed. Now retained under ADM00029.
Monday, 3-9-2015	IT00006A	Data Sharing Agreements	MOU example removed. Now retained under ADM00029.
Monday, 6-1-2015	IT000015A	Disaster Recovery Records	Superseded by new record series in Facilities Management GRS, FAC00090.

Monday, 8-24-2015	IT000012	IT Software / Hardware Operating Procedures and Infrastructure Documentation	Clarifying note regarding procedures added to Use Case/Examples.
Monday, 11-16-15	IT000026	Access Logs	Title changed, 'Application' removed. Description and Examples/Notes expanded.
Monday, 11-16-15	IT000040	User Support Records	Examples/Notes expanded.

Appendix A

IT TERMS GLOSSARY

Application

A combination of programs and services designed to perform a specific function directly for the user or, in some cases, for another application program. Examples of applications include word processors, database programs, web browsers, development tools, drawing tools, image editing programs, and communication program.

Configuration

Generally, a configuration is the arrangement—or the process of making the arrangement—of the parts that make up a whole. In computers and computer networks, a configuration often refers to the specific hardware and software details in terms of devices attached, capacity or capability, and exactly what the system is made up of. In networks, a configuration means the network topology. In installing hardware and software, configuration is the methodical process of defining options that are provided.

Conversion

The process of changing records from one file or database format to another while maintaining authenticity, integrity, reliability, and usability.

Data

Numbers, characters, images, or other method of recording, in a form which can be assessed by a human or (especially) input into a computer, stored and processed there, or transmitted on some digital channel. Computers nearly always represent data in binary format. Data on its own has no meaning. Only when interpreted by some kind of data processing system does it take on meaning and become information. People or computers can find patterns in data to perceive information, and information can be used to enhance knowledge.

Structured Data is data that resides in fixed fields within a record or file. Relational databases and spreadsheets are examples of structured data. Typically, structured data is managed by technology that allows for querying and reporting against predetermined data types and understood relationships.

Unstructured Data is data that does not reside in fixed locations. Free-form text in a word processing document is a typical example. In unstructured content, there is no conceptual definition and no data type definition—for example, in textual documents, a word is simply a word.

Database

In computing, a database can be defined as a structured collection of records or data that is stored in a computer so that a program can consult it to answer queries. The records retrieved in answer to queries become information that can be used to make decisions. The computer program used to manage and query a database is known as a database management system (DBMS).

Data Management

Data management is the function of controlling the acquisition, analysis, storage, retrieval and distribution of data. Data management can involve protecting the physical security of data, ensuring backup and recovery procedures are in place, protecting confidential or private information in data, reducing redundancy in data, and establishing enterprise data architecture.

Information Technology (IT)

IT (information technology) is a term that encompasses all forms of technology used to create, store, exchange, and use information in its various forms (business data, voice conversations, still images, motion pictures, multimedia, and other forms, including those not yet conceived).

Infrastructure

The basic framework of an organization or operation. Infrastructure components are units of technology (hardware, software, networks, platforms, etc.) that support the flow and processing of information, determine how it functions and how flexible it is to meet future requirements.

Log Files

Where logging refers to the action of tracking modifications or activity of a user or application within a computing system, three broad log categories have been defined in this document: (1) system operational and other automated logs, (2) application access logs (that is, logs written by an application to record events and activities occurring within the application itself), and (3) employee internet use logs. A log can serve at least two purposes: (1) to record general system or application events, or (2) to serve as an audit record for activity in an electronic system, including records of access or updates to system resources (access to the internet, access and updates to files and updates to security rules).

Metadata

In general, metadata is "data about data" and describes the structure, data elements, interrelationships and other characteristics of electronic information. When describing structured data (such as that in a data warehouse), metadata includes how, when and by whom a particular set of data was collected, and how the data is formatted. When describing unstructured data (such as email, web pages, reports, etc.) metadata describes the context, content, and structure of the electronic records. Metadata can be used in the management of records to track message origin and destination, date/time sent/received, sender's identity, addressee(s) identity, subject, attachments and return receipts, among other things.

Migration

The process of moving data from one information system or storage medium to another to ensure continued access to the information as the system or medium becomes obsolete or degrades over time. The act of moving records from one system to another while maintaining authenticity, integrity, reliability, and usability.

Network

In information technology, a network is a series of points or nodes interconnected by communication paths. Networks can interconnect with other networks and contain sub-networks.

Policies

A policy is a formal set of statements that define operating rules within the enterprise. Policies are established as a means of maintaining order, security, consistency, or other ways of successfully furthering a goal or mission.

Project Management

The formalized process of managing a large project. Project management is the planning, scheduling, and controlling of project activities to effectively and efficiently reach a major goal, such as developing a program or building a facility.

Security

Security encompasses all of the safeguards in an information system, including hardware, software, personnel policies, information practice policies, disaster preparedness, and the oversight of all these areas. The purpose of security is to protect both the system and the information it contains from unauthorized external access and from internal misuse. Security must be balanced against the need for access and the rights of citizens to privacy.

Server

Server has several related meanings. In information technology, a server (also called a server application) is "an application program that accepts connections in order to service requests by sending back responses." Server is an adjective in the term server operating system. A server operating system is intended, enabled, or better able to run server applications.

Standard

Standards are a set of criteria (some of which may be mandatory), voluntary guidelines and best practices. The word standard can also be used to mean commonly accepted.

Structured Data (see Data)**System**

A set of elements so connected or related as to perform a unique function not performable by the elements alone (Rechtin 1991). A system takes into account the interdependence of people and events, actions and conditions and institutions and organizations. A systems approach takes into consideration various "production lines" of related tasks and procedures (operating system, decision-making system, financial system, administrative system) to perform certain functions.

Unstructured Data (see Data)**Workflow**

A term used to describe the tasks, procedural steps, organizations or people involved, required input and output information, and tools needed for each step in a business process.

Appendix B

Topical Index

General Administration

IT000001 IT Strategic Plans
IT000003 IT Management Reports and Metrics
IT000006 Fiscal Year Planning Documents for IT Activity Levels
IT000006A Data Sharing Agreements
IT000007 Performance Measures
IT000008 IT Project Plans and Charters
IT000009 IT Project Status Reports, Workflows and Test Plan

Application Development

IT000010 Systems Specification Documentation and Quality Control Files
IT000011 Source Code and Test Data

Computer Operations, Desktop and Technical Support

IT000012 IT Software / Hardware Operating Procedures and
Infrastructure Documentation
IT000014 Operating System and Hardware Migration Plans
IT000016 IT Service Support Documentation
IT000040 User Support Records
IT000041 Software Management Records

Internet Services

IT000027 Employee Internet Use Logs
IT000028 Website Usage Reports
IT000042 Web Management and Operations

Telecommunications Services

IT000021 Telecom and Data Circuit Inventories
IT000029 Telephone System Call Detail
IT000031 Telecom Maintenance Work Order Files and Logs

IT Security

IT000026 Access Logs
IT000032 User Access Requests and Authorizations
IT000033 Employee / Contractor / Vendor Responsibility
Acknowledgement Agreements, Trusted Use Agreements
IT000034 Assignment and Authorization of Security Officer and Personnel
with Administrator Privileges
IT000035 Computer Security, Incident and Investigation Reports

Network / Data Communication Services

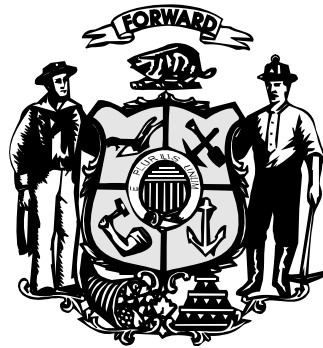
IT000020 Network Support or Circuit Installation and Service History and
Summary
IT000021 Telecom and Data Circuit Inventories
IT000023 Operational and Other Automated Logs

General Records Schedule

Payroll & Related Records

Approved by the Public Records Board:

August 22, 2011



Revised: August 24, 2015

Expiration: August 22, 2021

For use by all units of Wisconsin Government at the State, County, and Municipal level

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Appendix 1 - Summary of Approved Statewide General Records Schedules.....	25

SCOPE

This general records schedule covers the payroll and related records of classified and unclassified employees of Wisconsin state agencies. It is designed to cover many of the types of records created in the process of planning and carrying out the payroll tasks of an agency or office that are not covered by program-specific or other approved general schedules. This is the first major revision of the Payroll and Related General Records Schedule which was last approved by the Public Records Board for use by state agencies in November, 1997. This document makes changes to many record series based on changes to policies and practices in Wisconsin state government in the 14 years since the document was last released. This retention schedule applies to records in all media.

The broad categories within the document are:

- Central Payroll Electronic Records
- Central Payroll Paper & Microfilm Records
- General Policies and Procedures
- Superseded Records Schedules
- Closed Records Schedules

A companion document, [Introduction to General Records Schedules-Boilerplate, February 2011](http://publicrecordsboard.wi.gov/), located at the Public Records Board web site (<http://publicrecordsboard.wi.gov/>), provides more information and guidance about the use of general records schedules by Wisconsin state agencies.

Note: If agencies receive electronic copies of subsets of data from any of the Payroll systems or files, they are considered copies and do not need to be retained. *If they are used for other purposes or to create other records, the receiving agency is responsible for creating a separate RDA for that new record.*

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Central Payroll Electronic Records							
PAY00001	90200	TACS Transaction Data	Series of computer programs that contain batch data files with edited types of leave, work start and stop times, default work schedules and related time and leave transaction data; and categorized earnings types for a two-week period. TACS is used to tabulate time and collection transactions for different groups of employees and includes schedules for elected officials, appointees, and unclassified positions as well as classified employees and LTE's.	Official Copy: DOA Central Payroll. Retain batch data for one year after creation (CR+1) and destroy confidential.	Yes	Yes	Agencies send TACS forms to the Department of Administration for data entry. Agencies also may key input online directly to TACS files or send data through disk, tape or data transfer from their agency time keeping systems. This is a data transaction file containing only the most current time and collection data at any point in time. Batch file collects batches of transactions to maintain for payroll period. Reports are kept on EOS.
PAY00002	90201	Personnel (WISPER) Transaction Data	File is also called the Employee Data Base (EDB). This data file includes the results of personnel transactions such as hires, transfers, terminations, reclassifications, reallocations, deductions, and other transactions for each employee in the system. Files contain more than 400 data elements for each employee, including appointments, deductions, hours, payroll balances, deduction balances, and related personnel elements.	Official Copy: DOA Central Payroll. Retain data for 45 days after creation (CR+45 days) and destroy confidential.	Yes	Yes	Batch file is updated and edited throughout the bi-weekly pay period. The WISPER batch file contains current data that is retained throughout the completion of the last update transaction in the pay period. Each pay period, data in the subsequent batch file updates previous information.

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
PAY00003	90202	WISPAY – Payroll Transaction Data File	Electronic data file contains such transactions as retroactive adjustments to hours worked, lump-sum pay adjustments, dollar and hour balance adjustments, refunds, wage assignments, check cancellations that are batch processed for overnight update to holding files.	Official Copy: DOA Central Payroll. Retain for 3 months after creation (CR+3 months) and destroy confidential.	Yes	Yes	Batch file is updated and edited throughout the bi-weekly pay period. The WISPAY batch file contains current data that is retained through the completion of the last update transaction in the pay period.
PAY00004	New Series	WISPAY Adjustment Systems.	Electronic data file containing payroll adjustment data.	Official Copy: DOA Central Payroll. Retain for 5 years after creation (CR+ 5 years) and destroy confidential.	Yes	Yes	WISPAY Source Documents: Series includes but is not limited to the following: •Gross Salary Adjustment Worksheet, DOA-CP-3 •Gross Salary Adjustment, DOA - CP-6 (Military Reporting) •Payroll Adjustment, DOA-CP-8 •Manual Cancellations and Supplements, DOA-CP-9 •Automatic Check Cancellations, DOA CP-10 •AD-CP-16 Leave Accounting Change Authorization File Maintenance Form, or equivalent •Wage Assignment Notice DOA-6120 and Garnishment Action Notice DOA-6149 •Payroll Document Transmittal Control Sheet DOA-CP-5 or equivalent •Personnel Document Transmittal DOA-CP-15 or equivalent.

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
PAY00005	90203	Leave Accounting (L/A) Master File	Electronic system receives leave transaction data from the WISPAY data file at the end of each biweekly pay cycle. The file is used to process transactions for current leave usage, sabbatical and other long-term leave. During processing, L/A uses data from TACS and other agency time and leave systems and follows leave provisions for different employee groups to generate periodic and cumulative totals for leave usage and leave balances for each employee. The L/A also processes data from AD-19's and F/M (file maintenance) forms. Most processing programs are run biweekly for each pay cycle. Additional periodic processing programs are used to develop annual leave allocations, end-of-year carryover adjustments, etc.	Official Copy: DOA Central Payroll. Retain master file of bi-weekly employee leave balances for 15 years after creation (CR+15 years) and destroy confidential.	Yes	Yes	File is edited and updated at the end of the bi-weekly pay period. The L/A batch file contains current data that is retained through the completion of the last update transaction in the pay period. Each pay period, data in the subsequent batch file updates previous information.
PAY00006	90203A	Leave Accounting (L/A) Transaction File	The leave transaction file contains all leave usage and adjustments using the AD-19 form, pay period by pay period. Data from this file is copied onto the Leave History file.	Official Copy: DOA Central Payroll. Retain bi-weekly electronic data file for 45 days after creation (CR+45 days) of the transaction file and destroy confidential.	Yes	Yes	

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
PAY00007	90203B	Leave Accounting (L/A) History File	The leave history file contains 6 months of leave transaction data. Every 6 months, this file is used to create the Leave Accounting History.	Official Copy: DOA Central Payroll. Retain L/A history data in electronic form for 6 months after creation (CR+ 6 months) and destroy confidential provided that the use and retention of the data for any other required purpose has been met.	Yes	Yes	
PAY00008	90204	Flat File	Electronic data file is created after all WISPER and WISPAY processing, it includes data from both WISPER and WISPAY transactions.	Official Copy: DOA Central Payroll. Retain for 10 years after creation (CR+10 years) and destroy confidential.	Yes	Yes	This data file contains the most complete snapshot of the various biweekly payroll processing functions for each employee, including the majority of information on EDB and calculations to arrive at gross and net check amounts. This file also generates Wisconsin Retirement System (WRS) data. Retain the electronic flat file data to provide a file of each biweekly pay period.
PAY00009	New Series	Time & Leave Entry Systems	Official systems used by employee's to record their time and leave record.	Official Copy: DOA (PTAWeb) and Official Copy of other Agency systems - retain for 5 years after created (CR + 5 years) and destroy confidential.	Yes	Yes	PTAWeb (retained by DOA)

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
PAY00010	New Series	Medicare Data Match Report	Case files developed to establish the government's right to recovery and/or impose other sanctions or corrective actions. Most of these involve pursuing recovery that contractors were unsuccessful with or clarifying Medicare policy. There may also be general correspondence reiterating Medicare policies.	Official Copy: Agency Payroll. Place report in inactive file after final action on the case at the close of the calendar year in which final action was taken. Retain 10 years after final action (EVT + 10 years) and destroy confidential.	Yes	Yes	Disposition authority is a Federal requirement under N1-440-01-05, Item 1.
Central Payroll Paper and Microfilm Records							
PAY00011	9000010 1	Payrolls and Payroll Registers	Payroll listings showing gross and net pay, as well as deductions for state employees. These are the basis for all salary payments and are referred to on questions of back pay and income taxes. Also includes payroll voucher signature page for each payroll.	Official Copy: Agency Payroll. Creation + 4 years (CR+4 years) and destroy confidential. Working Copies: EVT - When no longer needed.	Yes	Yes	Payroll listing Payroll voucher signature page
PAY00012	90206	Payroll Inputs and Reports	Payroll Inputs and Reports: This series groups various source documents and output reports. Time & Collection System (TACS) Copies: Includes key source documents for time and collection system. Copies of these are also provided for the supervisor and the employee. The employee's copy is the employee's personal property. Paid Overtime	Official Copy: Agency Payroll. Creation + 5 years (CR+ 5 years) and destroy confidential. DOA Central Payroll Copy: Event (EVT varies from after superseded, after	Yes	Yes	Payroll Inputs and Reports (retained by agencies): -Time and collection System (TACS) forms or equivalent -Paid Overtime Documentation -Leave Request and Reporting -Agency Transaction Reports from DOA Central Payroll -WISPAY Source Documents (request salaries and payroll adjustments) Time & Collection System (TACS) Forms: Retention of the following

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
			Documentation: Includes Paid Overtime Report, or equivalent, listing employees paid overtime during the pay period is generated by Central Payroll office on a biweekly basis. Report provides detailed documentation of overtime payments. Leave Request & Reporting: Documents used to request and/or report leave. Leave Request/Report form AD-19 or equivalent, is used by employee to request leave time and/or report leave taken. This series documents employee report and management authorization for scheduling leave and accounting for type of leave taken. The employee, the supervisor and others may receive copies of this form. Agency Transaction Reports - Central Payroll: Includes bi-weekly and occasional reports generated from DOA Central Payroll database and provided to agencies. Reports document transactions, adjustments, and reconciliations for the pay period. WISPER Source Documents: Records include various DOA Central Payroll adjustment and cancellation forms used by agencies to request adjustments to salaries and payroll deductions.	entered and verified, or after superseded or after a period between 1 pay period - 1 year) and destroy confidential. Working Copies: Includes Supervisor's copy. When not needed, not to exceed 1 year. See PAY00009 for electronic retention.			forms is based on FLSA requirements. • Leave Report, AD-TACS-1 or equivalent • Time Report, AD-TACS-2 or equivalent Agency Transaction Reports Central Payroll: Records include but are not limited to the following: • WRS Subsystem Transaction Report • WRS Subsystem Adjustments Report • WRS Subsystem Reconciliation Report • EPA (Exceptional Performance Award) and Relocation (Lump Sum DCA) Incentive Award Report • Equity Interim Merit Report (DCA) • Excessive FLSA Rate Report • Exempt Employees Claiming Leave Without Pay Report • WRS Detail Reconciliation Report - Quarterly WISPER Source Documents: • Deduction Authorization Report (DAR), DOA-CP-12C • Personnel Turnaround Document (PTD), DOA-CP-14C

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
PAY00013	90207	TACS Validation & File Maintenance Reports	Series includes reports used to monitor time, leave and other payroll functions, including: Validation Audit Trail Report, or equivalent, listing employee time reported. The report is generated by DOA Central Payroll office, on a biweekly basis. It provides a detailed accounting of employee time actions. L/A Bi-Weekly File Maintenance Reports: Includes various leave accounting forms and reports, used to add, delete and update information in the Payroll system. Central Payroll Bi-weekly & Annual Reports: Includes various bi-weekly and annual reports generated from the DOA Central Payroll system, on a bi-weekly, quarterly or annual basis and provided to agency Payroll personnel. Information in the database is extracted according to various sorts and used for easy reference purposes.	Official Copy: Agency Payroll. Retain for 5 years after creation (CR+5 years) and destroy confidential. DOA Central Payroll Copy: Retain for 5 years after creation (CR+5 years) and destroy confidential. Working Copies: Destroy when not needed.	Yes	Yes	L/A Bi-Weekly File Maintenance Reports: Records include the following forms and outputs. •Leave Accounting Transaction Processing Error Report •Leave Accounting File Maintenance Report (EOS) Central Payroll Bi-weekly & Annual Reports: Records include but are not limited to the following: •Processor Exception Report •Fringe Benefit Summary Report •Fringe Benefit Detail Report •LTE Tracking System •Length of Service Pay Report - Annual (after retention is met, this will no longer exist) •WRS Transaction Annual Report-Terminated Employees (after retention is met, this will no longer exist). •Leave Accounting Eligible Hours For Ensuing Year •Health, Life, ICI Worksheets •UC (Unemployment Compensation) Gross Earnings/Taxable Wage Report (goes electronically to UC quarterly via EOS) •Term Sabbatical Report •Central Payroll Data Validation Error Report
PAY00014	90208	State Payroll System Routine Forms and Reports	Records in this series include forms and reports used to maintain information in the State Payroll system. Information from documents is captured in the Payroll	Official Copy: Agency Payroll. Retain until Event (EVT is either resolved, verified, superseded or	Yes	Yes	Series includes but is not limited to the following: Time & Collection Maintenance Documents: Includes the following:

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
			database and is needed only until the next pay period's reports are issued.	between 1 to 6 pay periods) and destroy confidential. Agency and Working Copies: Destroy confidential when no longer needed (until superseded by the next reporting cycle unless there is an outstanding issue that requires retention until the issue is resolved).			•DOA Central Payroll-generated Reports (all are EOS reports): -Conversion Audit Trail: report by leave type, generated for some, <u>not all</u>, agencies. -Time and Attendance Error Report -Time and Attendance Warning -Employee Schedule Listing -Employees Paid in More Than One Appointment L/A Bi-Weekly Routine Reports: Includes routine reports generated by DOA Central Payroll for the purpose of verifying data entered into the Payroll database. Records include the following: •L/A List of Credit Balances (overdrawn leave) •L/A Unused Vacation/ Holiday/ Compensatory Time (BLS) (EOS) •Supervisory Position Listing (BLZ) (EOS) •L/A File Maintenance Edit/Error Report (Paper only) •Leave Accounting Notice AD-20 (obsolete) Routine Withholding Authorizations and File Maintenance Copies: Includes copies of withholding authorizations that initiate file maintenance adjustments to an employee's pay amounts. Records in this series are the <u>copies</u> used to initiate payroll actions. Additional official copies of records are maintained as separate

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
							records series to administer wage assignment and garnishment functions, manage charity campaigns, authorize parking, etc. Employees may also receive copies.
PAY00015	New Series	Levy and Garnishment Files	Records consists of state employee wage actions for state or federal court ordered wage assignments or earning garnishments, federal IRS levies and Wis. Dept. of Revenue liens.	Official Copy: DOA Central Payroll. EVT + 3 years (Event is levy or garnishment is terminated) and destroy confidential. This is consistent with Federal requirement N1-GRS-92-4 item 18.	Yes	Yes	Change slips, work papers, correspondence, release and other forms, and reports for State and Federal wage assignments or garnishments (IRS Form 668A or equivalent). Reports show each individual state employee's name, department of employment, gross earnings, plaintiff/creditor name and/or amounts deducted.
PAY00016 Amended (see PAY0016A)	90209	Payroll/Leave History Reports – DOA Central Payroll	Records series consists of reports generated from the DOA Central Payroll database and that provides detailed history of bi-weekly payroll and leave transactions. Reports capture payroll and leave data and provide a "snapshot in time" of transactions. For long-term protection of employee-specific data that may affect employee leave, salaries or retirement benefits, reports are generated to computer output microfiche (COM), with master COM maintained in Central Payroll. Reports include those generated biweekly and annually if they are needed to provide a long-term information	DOA Central Payroll. Creation plus 15 years. (CR+ 15 years) and destroy confidential.	Yes	Yes	Records in this series include, but are not limited to, the following: •Payroll Register •Leave Accounting History Fiche Bi-Weekly •Leave Accounting Alpha Listing: Alpha list of employees. Bi-Weekly •Leave Accounting Waitfile Bi-weekly •Leave Accounting Transaction File Bi-weekly •Leave Accounting File Maintenance Bi-weekly •Statistical Leave Analysis Report Bi-weekly •Leave Accounting Report Pay period ending 6/30 Annual •Leave Accounting Report Pay period ending 12/31 Annual

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
			audit trail of transactions by a number of key fields.				•Employee Benefits Statement Annual (EOS) •W2 Final Report Annual •Wage & Tax Statement (W-2 Report) Annual •Bi-weekly Year to date Proof
PAY0016A New	90209	Payroll/Leave History Reports – Agencies	Records series consists of reports generated from the DOA Central Payroll database and that provides detailed history of bi-weekly payroll and leave transactions. Reports capture payroll and leave data and provide a "snapshot in time" of transactions. For long-term protection of employee-specific data that may affect employee leave, salaries or retirement benefits, reports are generated to computer output microfiche (COM), with master COM maintained in Central Payroll. Reports include those generated biweekly and annually if they are needed to provide a long-term information audit trail of transactions by a number of key fields.	State Agencies: Agency Payroll copy. Creation plus 10 years and destroy confidential. (CR + 10 years)	Yes	Yes	Records in this series include, but are not limited to, the following: •Payroll Register •Leave Accounting History Fiche Bi-Weekly •Leave Accounting Alpha Listing: Alpha list of employees. Bi-Weekly •Leave Accounting Waitfile Bi-weekly •Leave Accounting Transaction File Bi-weekly •Leave Accounting File Maintenance Bi-weekly •Statistical Leave Analysis Report Bi-weekly •Leave Accounting Report Pay period ending 6/30 Annual •Leave Accounting Report Pay period ending 12/31 Annual •Employee Benefits Statement Annual (EOS) •W2 Final Report Annual •Wage & Tax Statement (W-2 Report) Annual •Bi-weekly Year to date Proof
PAY00017	90210	Payroll File Maintenance & Dumps	Items in this series generally have a short-term value, to control batch processing, transmit information, verify data entry to the data files, etc.	Official Copy: DOA Central Payroll. EVT (superseded, verified, or 1-3 pay periods) and destroy confidential.	Yes	Yes	Series includes the following: Central Payroll Routine File Maintenance & Dumps: Includes routine reports generated bi-weekly by the DOA Central Payroll system and used to provide file maintenance information on valid

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
				Agency Copy: Agency Payroll. Retain until EVT (1 pay period or no longer needed) and destroy confidential. NOTE: Agencies do not receive copies of all reports listed in this series. Working Copies: When not needed.			additions, errors and deletions to the database. Agency Payroll staff do <u>not</u> receive copies of these items. Reports include but are not limited to the following: •Net Check Registers •Mini DOA Register •WISPER Dump •WISPAY Dump •Leave Accounting Transaction File Edit Error Report •Payroll Error Register •Alpha Statewide Report •Social Security Listing Statewide Report •Deduction Update Transaction Error Report •W2 Preliminary Report
PAY00018	90211	Central Payroll Routine Reports	Records series includes routine reports generated for Central Payroll program management purposes.	Official Copy: DOA Central Payroll. Creation + 1 year (CR+1 year) and destroy. Agency Copy: Agency Payroll. Retain until EVT (no longer needed or superseded by final report) and destroy. NOTE: Agencies do not receive all reports listed in this series. Working Copies: Destroy when not needed.	No	No	Includes: Bi-weekly Consistency and Maintenance Reports: Consists of reports generated bi-weekly from the Central Payroll database. Reports are used by DOA Central Payroll staff and are not distributed to agency Payroll personnel. Records include but are not limited to the following: •Consistency Tests WISPER YTD Gross •Flat File Inconsistency Report Agency Preliminary Reports - Annual or Other: Contains reports generated from the Central Payroll database to provide preliminary data to agencies prior to generation

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
							of final reports or checks, including: •Preliminary Credits To Term Sabbatical Report
PAY00019	90212	Central Payroll Administrative Reports	Series includes various reports generated for the DOA Central Payroll to administer the Central Payroll System.	Official Copy: DOA Central Payroll. Creation + 2 years (CR+2 years) and destroy. Agency Copy: If copy received, treat as working copy. Working Copies: Destroy when not needed.	No	No	Including the following: Bi-Weekly Totals Reports: Includes DOA Central Payroll reports generated biweekly to provide information for Central Payroll. Agencies do not receive copies of most reports in this series. •Deduction Authorization Summary Report •Personnel Turnaround Summary Report By Agency •ERA Deduction Totals Report •Bi-Weekly Department Summary Report •Checks-State Treasurer Report •Deferred Compensation Totals Report Central Payroll Annual/Quarterly Reports: Includes reports generated on an annual or quarterly basis from the Central Payroll database and used only within DOA Central Payroll. Includes but is not limited to the following: •Dual Employment Report: •Deferred Compensation Over Deferral Report: Deferred Comp
PAY00020	90213	Central Payroll Accounting Documents	Records series consists of reports and correspondence that have fiscal audit values related to transfers of payroll funds. Series documents issues and concerns related to	Official Copy: DOA Central Payroll. Current fiscal year plus 4 previous fiscal years (FIS + 4	No	No	Items in this series include but are not limited to the following: •Electronic Deposit Correspondence between Central Payroll and banks that deposit

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
			transfer of funds to banks for state payroll, reports that total deduction totals and other summary accounting reports that provide backup documentation to support the WISMART system.	years). Agency Copy: If copy received, treat as working copy. Working Copies: Not needed.			employee paychecks through electronic deposit. •ACH Cancellation Notice from bank.
PAY00021	90214	Employee Payroll & Benefit File - Agency Specific	Records series includes various documents that are maintained in the agency Payroll office throughout the employee's term of employment in that particular agency. Under the current payroll system, these documents are the responsibility of the employing agency. When employees leave one agency to transfer to another, they complete new withholding authorization and certain benefit forms that are covered in this series. The agency is <u>required</u> to maintain these documents for potential audit or legal purposes throughout the individual's employment in the agency <u>and</u> for seven years after the employee leaves for any purpose, including: -transfer to another state agency <u>or</u> -termination of state service- retirement, death, or termination.	Official Copy: Agency Payroll. During the employee's tenure in the agency, and for 7 years after the employee leaves the agency due to retirement, transfer or termination (Event+7 years and destroy confidential). Working Copy: Destroy when not needed.	Yes	Yes	Includes: <i>Withholding Agreements:</i> Records in this group include forms and agreements filed by each employee authorizing withholding of income from paychecks. Includes, but is not limited to the following agreement forms and authorizations: •W-4 Federal Withholding Allowances •WT-4 State Withholding Allowances •WT-4A State Employee Withholding Agreement •W-5 Earned Income Credit •ERA Program Automatic Premium Conversion Waiver/Revocation of Waiver, form ET-2340 •ERA Family Status Change •Electronic Deposit Authorization (keep only most current copy) •Union Dues Authorization Card (keep only most current copy) <i>Agency Copies - Non-ETF Voluntary Insurance Forms:</i> Includes application, enrollment and <u>evidence of insurability</u> forms for insurance programs that are <u>not</u>

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
			<i>Agencies are advised to maintain an individual Payroll & Benefit Record File for each employee, containing these documents. It is <u>not</u> the same as the Personnel file. Alternatively, agencies may choose other filing methods so long as they meet retention periods required for items in this series.</i> See page 20 for sample list of ETF Benefit related forms.				administered by the Department of Employee Trust Funds. Items include application and change forms for such insurances as dental, accidental death, major medical, etc. While insurance carriers will have policies on file for each enrollee in the program, the employing agency should maintain <u>copies</u> in this series. The employee also receives copies of items in this series for his or her own records.
PAY00022	90215	Employee Payroll Document Case Records- Transfer to New Agency	Under the current payroll system, when employees leave one agency to transfer to another, they do not complete new withholding agreements or authorization forms for the items that are covered in this series. Instead, the new agency will continue to follow payroll withholding procedures as established in these agreements. Unless the employee submits a change, this records series includes only those few withholding authorizations and agreements for which employees do not complete new forms and agreements upon transferring to a new agency. These records are needed to provide source documentation of the employee's payroll	Official Copy: Employee Moves to New Agency. Agency Payroll. EVT (employee termination with the agency) - forward with Personnel Transfer Record to new agency. (Agencies <u>must</u> keep a copy of all benefit related documents before transferring the original file to the new agency in the event of any corrections needed, etc. and retain them for 7 years and destroy confidential. See PAY00021 for	Yes	Yes	The employing agency should maintain these key documents throughout the employee's tenure in the agency and forward documents to the subsequent employing agency. If the employee leaves state service, include items in RDA PAY00021.

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			agreements and should be forwarded along with the Personnel Transfer Record to the new agency.	additional information.) Employee Term From State Service: Follow retention for record series RDA PAY00021 Working Copies: Destroy when not needed.			
PAY00023	90216	Tax Reports	Records series includes forms and reports related to employees' federal and state income tax withholding activities and documentation of withholding. This series also includes MILITARY PAY VOUCHERS that are created for employees receiving pay for active or reserve military service. Each state agency is responsible for maintaining records of its employees' tax withholding records. The Wage and Tax Statement (RDA PAY00016) also provides documentation of tax withholding for each employee.	Official Copy: Agency Payroll. Retain 4 years from due date or date filed or paid, whichever is later, and destroy confidential. This is in accordance to Federal and State retention requirements. Working Copies: Destroy when not needed.	Yes	Yes	Series includes but is not limited to the following forms and reports: • Employer's Quarterly Federal Tax Return • Federal Bi-Weekly Tax Deposit Coupon, • Payment Voucher • Statement to Correct Information • Corrected Income & Tax • Transmittal of Corrected Income and Tax • Wisconsin Tax Deposit Report Coupon • Employers Annual Reconciliation • Certificate of Exemption (Prepayment of Taxes), • Federal Income Tax, Social Security, Medicare Bi-Weekly Reports
PAY00024	90217	Summary Reports of Benefits Programs-Agency Copies	Records series includes copies of summary reports of benefit programs that are administered by the Department of Employee Trust Funds (ETF) and other	Official Agency Copy: Agency Payroll Office: Creation and 7 years (CR+7	Yes	Yes	Series includes but is not limited to the reporting forms listed on page 21. Agencies <u>must</u> retain copies of

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
			insurance carriers as listed below. <i>Summary Reports to/from, ETF-Agency Copies:</i> This group of records includes various summary reports required to be sent to ETF by employing agencies. Reports are used to remit funds and provide information on benefits accrued in ETF-administered programs, including WRS, ERA, health, life, and ICI insurance's. Agencies have 7 years in which to correct information provided in the reports. <u>This series applies to agency copies of documents, not ETF records.</u> ETF also maintains an official copy of these records in: •RDA 515/00019, WRS Employer Transaction Reports: CR+40 years and destroy confidential •RDA 515/00037. Life/ICI/Health Remittance Reports: CR+7 years and destroy confidential	years) and destroy confidential Working Copies: Destroy when not needed.			reports sent to ETF if applicable to employees in their agency for seven years in order to correct information reported if necessary. <i>Summary Reports of Other Insurances:</i> This group of record covers agency copies if summary reports to or from administrators of other insurance programs. Reports include, but are not limited to, the following: •Dental Insurance reports •Accidental Death and Dismemberment (AD&D) reports •Major Medical, Catastrophic, Life Insurance (John Deere/Epic) reports. Insurance carriers maintain the official records of these items. This series covers the agency copies only.
PAY00025	New Series	Unemployment Compensation Files	Records includes requests and state action associated with state staff requesting Unemployment Compensation when there are layoffs or LTE assignments end.	Official Copy – Creation + 5 years (CR+5) and destroy confidential	Yes	Yes	These files may include, but are not limited to the following: Request to Employer for Wage and Separation Information (ETA-931), Notice of Determination or Redetermination (UCB-20), Check stubs, Earnings History Report,

RDA Number	Previous RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
							etc.
General Policies & Procedures							
PAY00026	New Series	Procedures Relating to State Payroll Operations	Established high level procedures associated with Payroll operations as established by DOA and agencies with delegated authority to perform specific Payroll operations.	Official Copy - Retain until superseded and destroy. Working Copies – Retain until no longer needed and destroy.	No	No	Payroll Procedure Manual Note: Procedures under this RDA have typically gone through a vetting process and are intended to support the agency's policies in a direct manner. This RDA does not necessarily include worker instructions which may be viewed as task-specific directions used to ensure compliance with policies and procedures.

RDA NOTES & ADDITIONAL INFORMATION

PAY00021 (formerly 90214): Agency Copies of ETF Benefit Documents: This group of records includes various application, enrollment and maintenance records that State employees use to participate in various benefit programs administered by the State Department of Employee Trust Funds (ETF) and non-ETF benefit programs. This series applies to agency copies of documents, not ETF records. Agency copies are considered official copies which should be retained for 7 years after the employee terminates/leaves/retires (see PAY00021 for further details).

ETF maintains an official copy of records listed below in the ETF Participant files of the department for the duration of the individual's term of employment with the state and/or annuity payment and for the following periods of time thereafter:

*RDA 515/00022 & 00022A, Death Benefit Participant Files: EVT (Closed by Death or Expired) + 25 years.

*RDA 515/00023 & 00023A, Separation Benefit Participant File: EVT (Closed by Separation Benefit or Single Sum Annuity) + 50 years.

Records document the employee's participation in the Wisconsin Retirement System (WRS), health insurance, life insurance, income continuation insurance (ICI), and certain other disability programs. Note: records in this series are confidential by ss. 40.07 Wis. Stats. Series may include but are not limited to the following forms:

- Group Life Insurance Continuation Notice, ET-2154
- Health Insurance Application/Change, ET-2301
- Life Insurance Application/Cancellation/Refusal, ET-2304
- Evidence of Insurability/Application – Group Life Insurance, ET-2305
- Income Continuation Insurance Application, ET-2307

- Evidence of Insurability/Application – Income Continuation Insurance, ET-2308
- Election to Reduce Amount of Life Insurance, ET-2309
- Continuation/Conversion Notice: Health Insurance, ET-2311
- Wisconsin Retirement System Enrollment, ET-2316
- Rehired Annuitant Election, ET-2319
- Employee Identification Correction/Change, ET-2810
- Life Insurance Continuation/Conversion Eligibility After Termination, ET-4203
- Sick Leave Escrow Application, ET-4305
- Accumulated Leave Certification, ET-4306
- Group Life Insurance Certification of Coverage, ET-4802
- Disability Medical Report, ET-5303
- Request for Life Insurance Disability Premium Waiver, ET-5306
- Request for Accumulated Leave Certification (Sick Leave), ET-5402
- Group Life Insurance Coverage During Disability, ET-5806
- Income Continuation Insurance Report of Employment and Earnings, ET-5901
- Notice of Death, ET-6301
- Notice of Death for Spouse or Dependent Child (Life Insurance), ET-6303
- Benefit Information Request, ET-7301

Note: The ETF Participant account records contain additional types of forms. However, the above lists most payroll-related forms. The employee also keeps copies of many items above for his or her own record.

PAY00024 (formerly 90217) (examples of reporting forms retained in employer records at ETF):

- Monthly Retirement Remittance Report, ET-1515
- ERA/Commuter Benefit Remittance Report, ET- 1516
- Over/Underpayment and/or Interest Due Notice, ET-1517
- ERA Expense Account Continuation Election, ET-1518
- Monthly State Employee's Health Insurance Coverage Report, ET-1607
- State Health Insurance Summary Report, ET-1608
- Annuitant Health Insurance Monthly Coverage Report, ET-1609
- Group Life Insurance Collection Report, ET-1610
- Monthly Premium Report Group Income Continuation Insurance (State and Non-Faculty), ET-1611
- Monthly Premium Report Group Income Continuation Insurance (UW Faculty), ET-1612
- Employee Transaction Report, ET-2533
- Group Health Insurance Monthly Additions Report, ET-2610
- Group Health Insurance Monthly Deletions Report, ET-2612
- Group Health Insurance Monthly Changes Report, ET-2614

Both the agency copy and copies sent to ETF are official copies. Agency Payroll copies should be kept for 7 years after created and destroy (see PAY00024 for further details).

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Superseded Records Series

RDA Number or Comment	Previous RDA Number	Record Series Title	Description	Retention	PII	Confidential	Use Case/Example
Superseded by PAY00011, Payrolls and Payroll Registers. This records series and retention is the same – it is just being moved to the Payroll and Related Records GRS.	90000101	Payrolls and Payroll Registers	Payroll listings showing gross and net pay, as well as deductions for state employees. These are the basis for all salary payments and are referred to on questions of back pay and income taxes. Also includes copies of the payroll voucher signature page for each payroll.	Official Copy – Agency Payroll. Creation + 4 years (CR+4 years) and destroy confidential. Working Copies – EVT - When no longer needed.	Yes	Yes	Payroll listing Payroll signature pages
Superseded by Payroll and Related Records General Schedule, PAY00015, Levy and Garnishment Files. The new retention in PAY00015 is consistent with Federal requirement N1-GRS-92-4 item 18 for these records.	90000103	Wage Action Related Records	State employee wage actions consist of state or federal court ordered wage assignments or earning garnishments, federal IRS levies and Wisconsin Department of Revenue liens. The State of Wisconsin Employees with wage assignments report contains all state employees whom have automated wage assignments. The report shows each individual state employee's name, department of employment, kids pin, gross earnings, and the amount deducted for the wage assignment. The State of Wisconsin Employee garnishment payment report contains automated wage garnishments. The report shows each individual employee's name, department of employment, plaintiff/creditor name and the garnishment amount declared.	Official Record – CR + 50 and destroy confidential	Yes	Yes	

Other Payroll Related Records Series in the Fiscal & Accounting General Schedule:

Comment	RDA Number	Records Series Title	Description	Retention	PII	Confidential	Use Case/Example
This records series resides in the Fiscal and Accounting GRS as they are supporting documentation for payments issued through the accounting system and are retained with the financial documents.	90000100	Supplemental Payroll Vouchers	The payroll voucher is used to certify the gross salaries earned, various statutory deductions (either voluntary or mandatory) and net take-home pay for each person employed in a department. Legislative agencies use this payroll form for their monthly payroll. Supplemental payrolls are prepared by the agency payroll office when an employee is over or underpaid or if a paycheck was not generated for an employee on the payroll system. Payroll vouchers must have an authorized signature and must be submitted to DOA for audit and payment. Form DOA 6110 or equivalent is used for this purpose. Documentation may be attached to the submittal.	Official Copy – Current fiscal year + 6 years (FIS+6) and destroy confidential. Working Copies – EVT, until no longer needed and destroy.	Yes	Yes	
This records series resides in the Fiscal and Accounting GRS as they are supporting documentation for payments issued through the accounting system and are retained with the financial documents.	90000102	Central Payroll Bi-Weekly Payroll Voucher Signature Pages	The official signed payroll authorization for each state agency.	Official Copy – Current fiscal year + 6 years (FIS+6) and destroy.			

Closed Records Series

RDA Number or Comment	Record Series Title	Description	Retention	PII	Confidential	Use Case/Example
90205 This record series is a subset of PAY00008 and is a copy of the original record. If agencies use the data for other purposes they are responsible for scheduling those records based on what they are using/keeping the data for. OSER Roster is now covered in the HR Schedule, HR000202. PMIS is covered in the Budget Schedule, BUDG005.	Updated File	The updated file contains certain data extracted from the flat file, which is the source data, and used specifically to update the following other data systems: • <i>OSER Roster: OSER</i> (Office of State Employment Relations) maintains a statutory roster of State employees, containing a career history for each classified and unclassified employee in State service. The roster does <u>not</u> include data on personnel employed by the University of Wisconsin or Limited Term Employees (LTE's). See Personnel General Schedule for more information. • <i>PMIS - Personnel Management Information System:</i> This is a Statewide position tracking system for monitoring of numbered positions. State Budget Office staff use data to monitor and report on positions and for related budgeting purposes.	Official Copy – DOA Central Payroll. Retain bi-weekly pay period data for 10 years after creation (CR+10 years) and destroy confidential.	Yes	Yes	DOA Central Payroll creates copies of data for specific agencies to copy into agency-specific electronic files. Agencies should establish specific retention schedules for agency specific electronic payroll records that are not covered by this general schedule.

Revision History A listing of changes to this GRS.			
Revision Date	RDA Number	Record Series Title	Revision Made
Monday, 6-1-2015	PAY00016	Payroll / Leave History Reports – DOA Central Payroll	Amended to remove references to various “copies”. Title changed to reflect the RDA only pertains to DOA Central Payroll.
Monday, 6-1-2015	PAY0016A	Payroll / Leave History Reports – Agencies – Agencies	New RDA specific to Agency records.
Monday, 8-24-2015	PAY00026	Procedures Relating to State Payroll Operations	Clarifying note regarding procedures added to Use Case/Examples.

Appendix 1: Summary of Approved Statewide General Records Schedules

	Administrative Records General Schedule (August 2008-Rev Aug 2010)
	Budget and Related General Record Schedule (March 2002)
	Common Records In Wisconsin Local Units of Government (For Local Units Of Government Only-November 2009)
	Facilities Management General Schedule - Feb 2010 - (For Use By All Units of Government)
	Fiscal & Accounting Related Records General Schedule (June 2006)
	Fiscal & Accounting Related Records General Schedule (June 2006)
	Forms Management General Schedule (August 2006)
	Human Resources and Related General Schedule (November 2010)
	IT Business Records General Schedule (May 2008)
	IT Business Records General Schedule (May 2008)
	Library Operations General Schedule (August 2006)
	Library Operations General Schedule - PDF (August 2006)
	Mail & Messenger Services General Schedule (August 2006)
	Mail & Messenger Services General Schedule - PDF (August 2006)
	Motor Vehicle Management Records General Schedule (May 1999)
FTP	Payroll & Related General Schedule (November 1997)
	Purchasing & Procurement General Schedule (April 2003)
	Records Management General Schedule (August 2006)
	Wisconsin Public Library General Schedule (February 2006)
	Wisconsin School Districts (revised - May 2010)
	Workers Compensation General Schedule (July 1997)

General schedules are listed as a major category on the Public Records Board Home Page –

http://publicrecordsboard.wi.gov/Docs_by_cat_type.asp?doccatid=678&locid=165

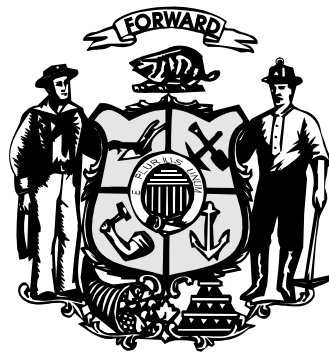
If you need further assistance, contact your agency records officer or the DOA Records Management Section at 266-2996 or 266-2770.

General Records Schedule

Purchasing & Procurement

Approved by the Public Records Board:

November 11, 2013



Expiration: November 11, 2023

For use by all units of Wisconsin Government at the State, County, and Municipal level

INTRODUCTION

PURPOSE

Agencies must maintain proper documentation of purchasing and procurement activities to meet internal administrative needs, legal demands and program and financial audit requirements. This general records schedule provides agency staff with a sound basis for proper program documentation.

This schedule:

- Provides the framework to ensure agencies retain purchasing and procurement records as long as needed for internal administration and to meet legal, fiscal, audit and other State and Federal Government requirements;
- Provides Wisconsin state agencies with uniform guidelines for the retention and disposition of common purchasing and procurement records;
- Promotes cost-effective management of records; and,
- Provides agencies with legal authorization to dispose of obsolete records in the normal course of business on a regularly scheduled basis after the time requirements in the established retention periods have been satisfied.

Retention and disposition policies in this schedule should be implemented in a timely and efficient manner.

SCOPE

Wisconsin procurement statutes provide a framework for the policies and procedures used by state agencies and institutions to acquire goods and services needed for day-to-day operations. State procurement laws and policies are established as follows:

- Wis. Stats. [§ 16.70](#)-16.78, apply to all general purchasing of goods and services by agencies and institutions;
- [AMD5-11](#) and 50, Wisconsin Administrative Code, define purchasing and competitive bidding policies; and,
- The [State Procurement Manual](#) sets forth detailed procurement policies and procedures.

This schedule covers records which most state agencies, including the University of Wisconsin System Administration and the University of Wisconsin Institutions, all Wisconsin counties, municipalities and other units of local government create and use to administer the procurement of commodities and services. The schedule is applicable to purchasing and procurement records whether maintained in central, regional, district or procurement program units and regardless of format or media.

This general schedule may *not* include records which are solely unique to the mission of a single agency. The department or institution is responsible to write program-specific Retention Disposition Authorizations (RDAs) to schedule unique or mission-related records which would apply only to that single agency.

RECORDS FORMAT

Records covered in this schedule may be retained either in electronic or in paper format. This schedule also applies to all records born digital (including those created or transmitted via e-mail), data contained in database systems, tapes/cartridges and other types of electronic records and information systems maintained and managed by the Department of Administration (DOA) and other state agencies. To safeguard the information contained in records maintained **exclusively** in electronic format, agencies must meet the standards and requirements for the management of electronic records outlined in *Wisconsin Administrative Rule, [Chapter ADM 12](#)*.

INTERRELATED RECORDS CROSS-REFERENCED

There are records related to purchasing and procurement which are covered by other approved general records schedules. Several RDAs in the previous Purchasing and Procurement General Records Schedule have now been superseded by those in the *Administrative Records General Records Schedule* and the *Fiscal and Accounting General Records Schedule*. (Please see the *Purchasing and Procurement General Records Schedule Superseded and Obsolete RDAs summary* at the end of this schedule for more information.)

FOR EFFECTIVE USE OF THIS SCHEDULE

This schedule requires some interpretation and training on specific agency titles of purchasing and procurement records as the titles of records series contained herein may not be the exact titles used by every agency. If agency staff is uncertain about the schedule's application to a specific group of records or, needs help determining whether or not a specific record is confidential, they should seek assistance from their purchasing or procurement manager, their agency records officer, agency legal counsel or DOA's State Bureau of Procurement. (For other sources of advice, please see the paragraph below entitled *Additional Information and Assistance*.)

OFFICIAL RECORD

Many documents are produced in purchasing and procurement areas across multiple disciplines and locations within state agencies. In some state agencies, a central purchasing/procurement bureau maintains the official record of the agency's purchasing records. In larger state agencies, regional, district or program units may be designated as the record custodians for the official record of procurement related records. If multiple sets of records are retained within a single state agency, that agency must identify and designate the official record for each purchasing record series.

The official record is that record which must be retained to satisfy single or multi-agency audit or legal requirements of purchasing and procurement activities. The official record applies to information in all formats which is maintained by state agencies including electronic data contained in DOA's VendorNet database or other applications and systems utilized by the state. The agency which is required to retain the official record for each record series contained herein is identified.

It is essential for proper record keeping that agencies proactively identify and assign responsibility for the retention of its official records separately from reference or convenience copies.

REFERENCE / CONVENIENCE COPIES

Reference copies are duplicates kept by agency staff for their convenience. These copies are considered **non-records** under Wis. Stat. [§ 16.61\(2\)](#), and should be destroyed when no longer needed. For example, a file of purchase requisitions may be retained by the purchasing / procurement program as a convenience however the agency's accounting staff is responsible to retain the official record. If agency staff do retain convenience copies, when the retention period set for the official record has expired, the convenience copy takes on the de facto status of the official record. Therefore, **DO NOT** keep reference or convenience copies longer than the retention periods specified in this schedule. Do not send reference or convenience copies to the State Records Center.

In addition, product reference files, i.e., information and reference materials related to commodities and services that *may* be purchased are considered **non-records**. These materials may include catalogs, news clippings, consumer reports, federal specifications and sample master specifications. These

materials can be voluminous, therefore agency personnel should establish procedures to determine the need, if any, to reference these materials and establish policies to destroy outdated, unnecessary product reference materials. If one of the saved reference materials becomes necessary to support a purchase, it then becomes an official record and must be retained as part of the appropriate contract file.

CONFIDENTIALITY OF RECORDS

Most procurement related records are not confidential but are open and public however, there are exceptions such as trade secrets pursuant to Wis. Stat. [§ 19.36 \(5\)](#), and as defined in Wis. Stat. [§ 134.90\(1\) \(c\)](#). Vendors may identify records or portions of records as trade secrets and in so doing, these records may become confidential. Please see section [PRO-D-23 of the State Procurement Manual](#) for additional information.

It is standard record management practice to maintain confidential information separately in the applicable procurement record series. If there is doubt regarding whether or not a specific record is confidential, staff is advised to check with agency legal counsel. Records which may contain confidential information are identified with a 'Yes' designation on the listing of each record series contained herein.

PERSONALLY IDENTIFIABLE INFORMATION (PII)

Wis. Stat. [§ 16.61\(3\) \(u\)](#), requires authorities to specifically identify certain record series within a general records schedule which contain personally identifiable information (PII). Wis. Stat. [§ 19.62\(5\)](#), defines PII broadly as "information that can be associated with a particular individual through one or more identifiers or other information or circumstances." For example, certain records may contain personally identifiable information such as resumes with telephone numbers, addresses, etc., which can be associated with a particular individual. There may be legal limitations in disclosure of this information. If in doubt as to whether a specific record series contains PII, check with agency legal counsel.

CONTROL, RETENTION AND DISPOSITION OF PURCHASING AND PROCUREMENT RECORDS

Agencies should use this schedule to manage the disposition of records that are no longer needed on a regular basis.

MAINTAINING INACTIVE RECORDS:

Records which have lived through their immediate use but must remain accessible for the duration of their retention lifecycle are called inactive records. Inactive records may be stored at the State Records Center. The State Records Center uses a records retention inventory database to manage all inactive records. Each agency maintains legal custody of its records while stored at the State Records Center. The records are provided a greater level of security as only individuals authorized by agency records officers are allowed access. All records are tagged for destruction or transfer upon entering the State Records Center and records officers are notified at the correct time when records have completed their lifecycle.

RECORDS TRANSFER:

The Wisconsin State Historical Society is responsible for the preservation of state government records which have historical value. Some of the RDAs contained in this schedule require the associated records be transferred to the State Historical Society instead of being destroyed. The RDAs requiring the transfer of these records are identified in the Minimum Retention and Disposition column. The State Historical Society is available to assist agencies with identifying records which may have historical value.

RECORDS DESTRUCTION OF CONFIDENTIAL AND SENSITIVE INFORMATION:

When disposing of records which have met their retention periods, agencies must ensure that records identified in this schedule as containing personally identifiable information (PII) or confidential information are destroyed in such a way as to assure the information cannot be

compromised or reconstructed. RDAs in this schedule may contain PII, confidential or both types of information. Any records identified in this schedule with one or both of these types of information (i.e. with a “Yes” in the PII or Confidential column in the schedule) must be destroyed in a confidential manner. Shredding is the best method to ensure proper disposal of PII and confidential information. The State Records Center offers confidential destruction services to all state agencies.

RETAINING RECORDS BEYOND DESTRUCTION OR TRANSFER DATE

Retention periods and disposition directions contained in this document are state policy requirements for purchasing and procurement records. Agencies are required to follow this schedule and to transfer or destroy purchasing records in the normal course of business. Records must however be retained longer by an agency if one or more of the conditions listed below apply.

- Particular records are the subject of an audit;
- Particular records are needed for a legal action;
- An open records request for retrieval of particular records is in process; and/or,
- The Retention Disposition Authorization has expired or a new RDA is under development.

Pursuant to Wis. Stat. [§ 19.35\(5\)](#), Wisconsin Open Records Law forbids the destruction of any record after an inspection or record request until the request is granted, or at least 60 days after the date that the request is denied. Court orders may extend this time period. Contact your agency records custodian or legal counsel for advice as needed.

It is the responsibility of the office holding the record to determine if an audit, litigation or an open records request is pending before disposing of that record.

VENDORNET

VendorNet is an electronic purchasing information system which provides easy access to a wide variety of information of interest to vendors who wish to provide goods and services to state agencies and municipalities. General information on how to do business with the state, 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. In addition, information on certified work centers, minority business enterprises, recycling and affirmative action programs is available. Vendors may register with the state by providing information on their company and their goods and services. The annual registration provides vendors with an automatic notification of all state agency procurements over \$50,000 in the area(s) of interest for which they registered. State agencies use VendorNet to reduce bidding preparation time for state agency personnel and to improve opportunities for vendors to be notified of potential bidding opportunities.

DOA's VendorNet is the only official, electronic data system included in this schedule. Agencies and UW System institutions maintaining separate information systems or databases to help manage purchasing and procurement activities must develop their own RDAs to schedule these systems.

VendorNet may be replaced with an enterprise purchasing and procurement system within the next several years. Should that occur, the record series in this schedule now applicable to VendorNet, would then apply to that new system.

DOA's, State Bureau of Procurement is committed to converting data to new technology to assure accessibility over time to comply with the requirements of *Wisconsin Administrative Rule, [Chapter ADM 12](#)*.

DELEGATION OF PURCHASING AUTHORITY TO AGENCIES

Agencies may have delegated authority to conduct procurements as defined in [PRO-A-3 in the State Procurement Manual](#). Agencies with delegated authority are required to follow this general records schedule and any agency-specific RDAs just as non-delegated agencies are so obligated.

RECORDS RELATED TO THE USE OF FEDERAL FUNDS

This schedule applies to records related to purchasing from Federal funding sources as well as State funds. The Public Records Board has established a minimum retention period of six (6) years after completion or denial of a grant to meet most State and Federal audit requirements. See the *Administrative Records General Records Schedule*, RDA #ADM00013 *Grant Documentation*, on the [Public Records Board website](#) for more information.

WISCONSIN DOCUMENT DEPOSITORY PROGRAM

Wis. Stats. [§ 35.81](#) – 35.84, as amended by 1991 Wisconsin Act 285, requires Wisconsin state agencies to send copies of their publications, regardless of format, to the Wisconsin Reference and Loan Library for distribution to libraries through the [Wisconsin Document Depository Program](#). The Wisconsin Document Depository Program collects and distributes state publications in print and electronic formats to Wisconsin libraries; preserves and makes available a record of major state government programs; and, assures the availability of state publications for use by the public throughout Wisconsin now and in the future. For more information, contact the Wisconsin Reference and Loan Library via email at statedocuments@dpi.wi.gov .

ELECTRONIC STATE PUBLICATIONS

Many state publications are now born digital. They are only published on the Web. Electronic publications are collected and preserved as part of the Wisconsin Document Depository Program. Uniform Resource Locators (URLs) to state publications published electronically on Wisconsin State Agency websites should be emailed directly to statedocuments@dpi.wi.gov as a way for state agencies to fulfill the statutory obligation to participate in the Wisconsin Document Depository Program.

FOR ADDITIONAL INFORMATION AND ASSISTANCE

Each agency has a designated records officer who serves as liaison to the Public Records Board. The records officer is responsible for records management planning, program development and assistance in your agency to include training on the use and implementation of general records schedules. Agency records officers are also available to work with purchasing and procurement personnel to design information management processes and implement organized filing systems that are consistent with effective, efficient records management principles. Filing systems should meet staff informational needs and facilitate cross-referencing to the retention and disposition guidance contained in this schedule.

For additional information and assistance implementing this general schedule or organized filing systems, agencies staff should contact (as applicable):

- Agency Records Officer or Records Coordinator.
- Agency Purchasing or Procurement Staff.
- DOA State Bureau of Procurement, 101 East Wilson Street, P.O. Box 7867, Madison, WI 53707-7867.
- UW System Administration, Office of General Counsel, 1852 Van Hise Hall, 1220 Linden Dr. Madison, WI 53706.
- Agency legal counsel.

In addition, the Public Records Board developed an [*Introduction to General Records Schedules*](#) to provide more information and guidance on the use of general records schedules. Public Records Board staff can offer technical assistance and training to assist agencies with record management, including records scheduling and interpretation of schedules. Contact the State Records Center for more information.

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
STATE USE BOARD WORK CENTERS								
PUR00001	Work Center Certification, Recertification and Product and Service Development Files	The Wisconsin State Use Board pursuant to Wis. Stat. § 16.752, identifies requirements for state agency procurement of materials, supplies, equipment and contractual services from Work Centers for persons with severe disabilities. Work Centers are certified pursuant to Wis. Stat. § 16.752, and licensed pursuant to Wis. Stat. § 104.07. This record series includes Work Center certification and recertification files which include but are not limited to qualification materials, articles of incorporation, by-laws, Internal Revenue Service tax-exempt letters, the sub-minimum wage license from the Department of Workforce Development and other correspondence and documents covering issues related to Work Center eligibility for certification or recertification. Records in this series may also include Work Center related requests to develop a product or service, related correspondence and decision.	Date on Certification or Recertification Letter	EVT + 4 Years and Destroy	No	No	<i>State Bureau of Procurement retains official record</i> Use PUR00010 for actual Work Center contracts	90107
CONTRACT COMPLIANCE								
PUR00002	Contract Compliance Program File	Contractors doing business with the State must comply with non-discriminatory practices pursuant to Wis. Stat. § 16.765. This record series includes contractor affirmative action plans, contract compliance forms and other program materials and correspondence to ensure contractor complies with the State's requirements.	Contract End Date	EVT + 4 Years and Destroy	No	No	Examples include Affirmative Action Exemption form; Subcontractor List <i>State agencies retain official record. Note: DOA may also be a state agency</i>	90116

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
PUR00003	Contract Compliance Vendor Directory	Contractors that have submitted Affirmative Action Plans are eligible to provide products and services to the State. This record series covers the directory which lists contractors that are eligible under Wis. Stat. § 16.765 . The directory is updated regularly and posted on VendorNet, the state's purchasing database.	Date on Directory	Superseded then Destroy Vendor remains on the Directory until no longer eligible.	No	No	<i>State Bureau of Procurement retains official record</i>	90117
REQUEST FOR PURCHASING APPROVAL/AUTHORITY								
PUR00007	Requests for Purchasing Approval/ Authority and Procurement Plans	Agencies are required to secure approval or authority from the State Bureau of Procurement to initiate procurements beyond the agency's delegated dollar level for a bid, request for proposal or sole source purchase; and, for the purchase of legal services or motor vehicles of any dollar amount per PRO-C-2 in the State Procurement Manual. In addition, per PRO-A-4 , agencies are required to submit procurement plans to the State Bureau of Procurement for authorization of intended purchases. This record series covers the request for purchasing approval or authority (RPA) form, correspondence and related records and the documents associated with the procurement plan process between the state agency and the State Bureau of Procurement. Note: Agencies should use PUR00010 for its own internal records.	End of Resulting Contract or, RPA or Procurement Plan Denial Date	EVT + 6 Years Then Destroy	No	No	RPA Form and associated documentation; Procurement Plans and related documents. <i>State Bureau of Procurement retains official record</i>	90111

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
CASE LETTERS								
PUR00009	Case Letters	Some purchases require the Governor's signature, e.g., the procurement of motor vehicles. In these situations, the agency submits justification for the unique purchase along with the signature of the agency head/chancellor or designee confirming that all applicable state and federal statutes, rules, regulations and guidelines are being followed. The request is sent to the State Bureau of Procurement which performs a complete analysis of the request and if appropriate, then submits a case letter for the procurement to the Governor. If the Governor approves the purchase by signature, the agency may begin the procurement process. Note: Agencies should use PUR00010 for its own internal records.	Date of Final Approver's Signature on Case Letter	EVT + 25 years then Destroy	No	No	State Bureau of Procurement retains official record	New
CONTRACTS AND REQUESTS FOR BIDS/PROPOSALS								
PUR00010	Contract and Request for Bid / Proposal File	This record series documents the procurement of all commodities and services which may require a contract including piggyback, simplified and best judgment procurements as well as Requests for Information, and those where the purchase order serves as the single contract. This record series also documents compliance with the requirements of Wis. Stat. § 16.705, and state policies for contractual services. File documents include standards committee activities such as agendas, minutes, meeting results and correspondence, etc. File documents also include the official Request for Bid/Proposal, record of award, signed contract or agreement, amendments, Certificates of Insurance, price lists, research materials, fair market information, cost analyses, protests, disputes, complaints, warranties, correspondence and related records. In addition, file documents also include forms and related documents associated with notifications and approvals for telecommunications, graphic reproduction equipment, banking services and private guard	End Date of Resulting Contract or Cancellation Date of Contract or Bid/Proposal	EVT + 6 years then Destroy Confidential	Yes	Some information may qualify for Trade Secret protection per Wis. Stat. § 19.36(5). Some information may qualify for other legal protection such as copyright, patent, trademark or licensing. It is possible some vendors may identify information	Resumes submitted with bids/proposals for services may contain PII such as home addresses, personal telephone numbers, license numbers, etc. State agencies retain official record. Note: DOA may also be a state agency.	90112 90115 90124 90129

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
		services. Refer to PRO-C-5, PRO-C-8 and PRO-C-12 in the State Procurement Manual for additional documents which must be retained in this records series. Note: Purchasing records, such as purchase requisitions, interrelate with fiscal and accounting records. Agency purchasing and procurement staff must determine with accounting units which work area is responsible to maintain the official record. Official records are retained under RDA # 90000021 in the Fiscal and Accounting General Records Schedule. If the accounting unit is responsible for the official record, purchasing and procurement staff may choose to keep a reference/convenience copy of such records with the Contract and Request for Bid/Proposal File. Note: The following practices are recommended for agency handling of product samples received with vendor bids and proposals: Product Samples Not Selected: Return losing samples to bidders/vendors at time of award to successful bidder. Winning Product Samples: Actual samples of products related to successful bids and contracts such as socks, shoes, cloth samples, etc., should be returned to the bidders/vendors. Perishable items such as food or bulky items such as mattresses, appliances or road salt samples should also be sent back to the winning vendor. To the extent practical, retain other winning samples for the life of the contract and then return to the bidder/vendor. In these cases, test results supporting the purchase decision should be retained for the life of the contract. Note: Product and service warranties follow PUR00010 to retain the official record however a reference copy should be sent to the program area to maintain service or product performance.				as confidential that is not actually protected by law. Check with your agency's legal counsel.		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
VENDOR PERFORMANCE								
PUR00015	Vendor Performance Files	Agencies monitor contractor performance to assure service and commodity expectations meet specifications. Records in this series include documentation of vendors and contractors who fail to meet the terms and specifications of purchasing contracts including failure to deliver services or commodities in a timely manner. These records may be used to support the renegotiation or cancellation of a contract or agreement. Refer to PRO-G-6 in the State Procurement Manual for more information on vendor performance.	Contract End Date	EVT + 6 Years and Destroy	No	No	<i>State agencies retain official record. Note: DOA may also be a state agency.</i>	90123
MANAGEMENT REVIEWS								
PUR00020	State Bureau of Procurement Purchasing Management Reviews	The State Bureau of Procurement's authority under Wis. Stats. § 16.004 (4), (5) and (6), carries with it the responsibility to conduct management reviews of state agency purchasing practices. Records in this series document the State Bureau of Procurement's management reviews of state agency policies, practices and activities related to the purchase of commodities and services. Records include research, the report, responses to the report, corrective action, etc. Refer to PRO-A-6 in the State Procurement Manual for more information on management reviews.	Retain for Five Years or Until Superseded, Whichever is Longer	EVT and Destroy Confidential	No	Yes The review may encounter confidential information such as trade secrets, etc.	<i>State Bureau of Procurement retains official record.</i> Note: Agencies may use PUR00021 for its own internal reviews and PUR00022 for its own internal reports.	90127

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
PUR00021	State Agency Procurement Authority Review	State agencies are responsible to monitor internal procurement and purchasing policies, practices and related activities. These internal reviews may be random in nature or routinely scheduled. This records series includes any internal departmental tracking, review, audit, correspondence and related records of purchasing and procurement activities including direct payments, purchasing card expenditures, purchase orders, etc.	Date of Review	EVT + 4 Months or Until No Longer Needed and Destroy Confidential	No	Yes The review may encounter confidential information such as trade secrets, etc.	Note: As with all public records, if the monitoring or review results are required for any legal or program purpose, the record must be retained until no longer needed to meet the legal or program requirement. <i>State agencies retain official record.</i> <i>Note: DOA may also be a state agency.</i>	90132
PUR00022	State Agency Procurement Authority Review Report	State agencies are responsible to monitor internal procurement and purchasing policies, practices and related activities. These internal reviews may be random in nature or routinely scheduled. This records series includes any reports and related materials as a result of an internal review.	Retain for Five Years or Until Superseded, Whichever is Longer	EVT and Destroy Confidential	No	Yes The report may contain confidential information such as trade secrets, etc.	<i>State agencies retain official record.</i> <i>Note: DOA may also be a state agency.</i>	New

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
DELEGATION AGREEMENTS								
PUR00030	Agency Purchasing Delegation Agreements	The State Bureau of Procurement, as provided under Wis. Stat. § 16.71 (1), may delegate the authority to purchase agency materials, supplies, equipment, permanent property and miscellaneous capital, contractual services and other expenses of a consumable nature to designated agents of a state agency. This record series documents agreements and related materials between the State Bureau of Procurement and state agencies to formally delegate purchasing authority under Wis. Stat. § 16.71 (1). Records include the request, correspondence, the State Bureau of Procurement's written review of the request, documented agency purchasing practices and compliance with purchasing laws, the executed delegation agreement, etc.	Date Agreement is Superseded or Cancelled.	EVT + 6 Years and Destroy	No	No	See PRO-A-3 for additional information on Delegation Agreements. <i>State Bureau of Procurement Retains official record</i> Note: Agencies may use ADM00023 for its own internal records.	90126
REPORTS								
PUR00035	Agency Data or Reports to State Bureau of Procurement	State agencies report information related to its proposed purchases, purchases and contractual activities to the State Bureau of Procurement to allow the State Bureau of Procurement to fulfill its obligation to provide various reports to the Governor and the Legislature pursuant to Chapter 16. This record series includes data and reports which state agencies are required to prepare and submit to the State Bureau of Procurement including, but not limited to, Contractual Services, Public Printing, Minority Business, Disabled Veteran-Owned Business, Work Centers, Contract Compliance, etc.	Date Submitted to the State Bureau of Procurement	EVT + 2 years and Destroy	No	No	<i>Agencies retain official record. Note: DOA may also be a state agency.</i> Note: Agencies may use ADM00001 Routine Activity and Production Reports Created by Individuals or Work Units to retain its own data and reports not required to be sent to the State Bureau of Procurement.	90118

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
PUR00036	State Bureau of Procurement or Attached Board Purchasing and Related Reports Required by Statute	The State Bureau of Procurement and certain attached boards are required by Chapter 16 to prepare and submit reports related to procurement activities to the Governor and the Legislature including, but not limited to, a Minority Business Report, Disabled Veteran- Owned Business Report, Contractual Services Procurement Report, Printing Report, State Use Board Report, etc. This records series includes the reports in addition to the data and related materials received from state agencies to prepare the reports. Note: Agencies may use ADM00001 Routine Activity and Production Reports Created by Individuals or Work Units for its own internal reports.	Date on Report	FIS + 5 Years and Transfer to the Historical Society	No	No	Minority Business Report; Disabled Veteran-Owned Business Report; Contractual Services Report; State Use Board Report <i>State Bureau of Procurement or Attached Board retains official record</i>	90120
FORMAL STUDIES AND PROJECTS								
PUR00040	Formal Studies, Surveys, Projects and Similar Activities	This record series documents studies, surveys and similar activities undertaken by purchasing or procurement staff or consultants on a one-time or regular basis. This includes studies of purchasing needs, the market for commodities and services or groups of commodities and services and purchasing methods. Studies, surveys and similar activities are maintained separately from contracts, bids, proposals and purchase orders if they relate to more than one specific service or commodity.	Date on Completed Study or Survey	EVT + 6 Years and Destroy	No	No	Examples include the Administrative Excellence Study and the Silver Oak Study. <i>State agency Initiating the Study, Survey or Similar Activity retains official record</i>	90125

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
STATEWIDE PURCHASING AND PROCUREMENT RELATED MANUALS								
PUR00045	State Procurement Manual	The State Procurement Manual is issued by the State Bureau of Procurement in the Department of Administration and contains statewide policies and procedures that govern procurement practices to be followed by all state agencies in obtaining materials, supplies, equipment, contractual services and all other items of a consumable nature. The manual is comprised of over 150 separate policy and procedure directives. When updated, the new policy or procedure supersedes the previous document. This record series contains the final policies and procedures as well as all materials related to the development and maintenance of those policies and procedures including committee agendas, meeting minutes, correspondence, etc. Note: Agencies may use <i>ADM00023 Internal Policies and Procedures</i> to retain its own purchasing and procurement operating procedures, guides, handbooks and manuals. Agencies are not required to keep records associated with the Procurement Manual.	Date the Individual Policy or Procedure Contained in the Manual is Superseded or Cancelled	EVT + 25 Years and Destroy	No	No	<i>State Bureau of Procurement retains official record</i>	90128

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
PUR00046	Purchasing Card User Manual	The Purchasing Card User Manual is issued by the State Bureau of Procurement in the Department of Administration and contains statewide policies and procedures that govern use of the state's Purchasing Card which must be followed by all state employees. The Manual contains, for example, instructions on use of the Purchasing Card for air travel as well as consequences for failure to comply with user instructions. This record series contains the final policies and procedures as well as all materials related to the development and maintenance of those policies and procedures including committee agendas, meeting minutes, correspondence, etc.	Date Manual is Superseded or Cancelled	EVT + 6 Years and Destroy	No	No	<i>The State Bureau of Procurement retains the official record</i> Note: Agencies may use ADM00023 Internal Policies and Procedures to retain its own purchasing card procedures, guides, handbooks and manuals.	90133

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
VENDORNET (OR REPLACEMENT PURCHASING AND PROCUREMENT INFORMATION SYSTEM)								
PUR00050	VendorNet Registrations and Applications	VendorNet is a database which provides easy access to a wide variety of information on purchasing and procurement for state agencies and municipalities as well as to vendors who wish to provide goods and services to the state. This record series includes all initial and renewal applications related to vendor and municipal use of VendorNet. Users may complete applications electronically or manually for this service. <i>Note: Agencies are not required to keep records associated with vendor applications or registrations.</i>	Date on Application	CR + 2 Years and Destroy Confidential	No	Yes Federal Employer Identification Number (FEIN)	Vendor renewal and registration template; Vendor file; Application and renewals for Cooperative Purchasing Services by municipalities. <i>State Bureau of Procurement retains official record</i>	90134

PURCHASING AND PROCUREMENT GENERAL RECORDS SCHEDULE SUPERSEDED AND OBSOLETE RDAS

Previous RDA Number	Record Series Name	Action Taken	New RDA Number	Notes / New Record Series Name
90100	PDPS Input Documents	Obsolete	n/a	Obsolete in previous General Records Schedule (2003)
90101	PDPS System Vendor File	Obsolete	n/a	Obsolete in previous General Records Schedule (2003)
90102	PDPS System Commodity File	Obsolete	n/a	Obsolete in previous General Records Schedule (2003)
90103	PDPS System Purchase Order File	Obsolete	n/a	Obsolete in previous General Records Schedule (2003)
90104	PDPS System Bid Working File	Obsolete	n/a	Obsolete in previous General Records Schedule (2003)
90105	PDPS Bulletin File	Obsolete	n/a	Obsolete in previous General Records Schedule (2003)
90106	PDPS Administrative Reference Tables	Obsolete	n/a	Obsolete in previous General Records Schedule (2003)
90107	Work Center Case File	Renumbered /Superseded	PUR00001	Series Title changed to Work Center Certification, Recertification and Product and Service Development Files
90108	Sheltered Work Center Raw Materials Forms	Obsolete	n/a	Obsolete in previous General Records Schedule (2003)
90109	Encumbrances	Superseded	90000021	See the Fiscal and Accounting General Records Schedule
90110	Purchase Transaction Tracking Logs / Indexes	Superseded	90000006	See the Fiscal and Accounting General Records Schedule
90111	Request for Purchasing Approval / Authority (RPA)	Renumbered /Superseded	PUR00007	Series Title changed to Requests for Purchasing Approval/Authority and Procurement Plans
90112	Request for Bid / Proposal (RFB/RFP) File	Renumbered /Superseded	PUR00010	Series Title changed to Contract and Request for Bid/Proposal File
90113	Special Case Bid (RFB/RFP) Inquiry Case File (Non-awards)	Obsolete	n/a	Obsolete in previous General Records Schedule (2003)
90114	Bid Case File Working Papers	Obsolete	n/a	Viewed as Non-Records; See "Reference/Convenience Copies" in the introduction at the beginning of this schedule
90115	Contract Case File	Renumbered /Superseded	PUR00010	Series Title changed to Contract and Request for Bid/Proposal File
90116	Contract Compliance Program Case File	Renumbered /Superseded	PUR00002	Series Title changed to Contract Compliance Program File
90117	Contract Compliance Vendor Directory	Renumbered	PUR00003	Contract Compliance Vendor Directory
90118	Agency Detail Reports to State Bureau of Procurement	Renumbered /Superseded	PUR00035	Series Title changed to Agency Data or Reports to State Bureau of Procurement
90119	Agency Sheltered Work Center Certificate of Exemption	Obsolete	n/a	Obsolete in previous General Records Schedule (2003)

PURCHASING AND PROCUREMENT GENERAL RECORDS SCHEDULE SUPERSEDED AND OBSOLETE RDAS				
Previous RDA Number	Record Series Name	Action Taken	New RDA Number	Notes / New Record Series Name
90120	State Bureau of Procurement Purchasing Reports Required by Statute	Renumbered /Superseded	PUR00036	Series Title changed to State Bureau of Procurement or Attached Board Purchasing and Related Reports Required by Statute
90121	State Bureau of Procurement Administrative Reports	Superseded	PUR00036	State Bureau of Procurement or Attached Board Purchasing and Related Reports Required by Statute
90122	Agency Purchasing/Management Information Reports	Superseded	ADM00001	Routine Activity and Production Reports Created by Individuals or Work Units
90123	Vendor Performance Case Files	Renumbered /Superseded	PUR00015	Series Title changed to Vendor Performance Files
90124	Purchasing and Procurement Committees	Renumbered /Superseded	PUR00010; ADM00026; and, ADM00027	• Standards Committees: See PUR00010; • Team, Project, or Workgroup Documentation-Program/Policy Impact: See ADM00026; • Team Project, or Workgroup Documentation-Internal and Routine Activities: See ADM00027
90125	Project Case Files	Renumbered /Superseded	PUR00040	Series Title changed to Formal Studies, Survey, Projects and Similar Activities
90126	Agency Purchasing Delegation Agreements	Renumbered	PUR00030	
90127	Purchasing Audits or Management Reviews	Renumbered /Superseded	PUR00020	Series Title changed to State Bureau of Procurement Purchasing Management Reviews
90128	State Procurement Manual and Related Manuals	Renumbered /Superseded	PUR00045 and PUR00046	State Procurement Manual: See PUR00045; and, Purchasing Card User Manual: See PUR00046
90129	Service/Product Warranty Case Files	Superseded	PUR00010	Contract and Request for Bid/Proposal File
90130	Purchasing Card Applications	Superseded	90000007	See the Fiscal and Accounting General Records Schedule
90131	Purchasing Card Logs	Superseded	90000021	See the Fiscal and Accounting General Records Schedule
90132	Post-Audit of Purchasing Logs	Renumbered /Superseded	PUR00021	State Agency Procurement Authority Review
90133	Purchasing Card User Manual	Renumbered	PUR00046	
90134	VendorNet Registration Application	Renumbered /Superseded	PUR00050	Series Title changed to VendorNet Registrations and Applications
90135	VendorNet Municipal Cooperative Purchasing Service Applications	Superseded	PUR00050	VendorNet Registrations and Applications

Revision History A listing of changes to this GRS.
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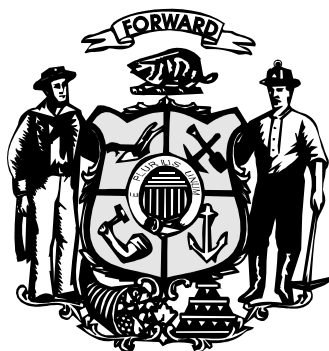
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General Records Schedule

Risk Management and Related Records

Approved by the Public Records Board:

February 25, 2013



Revised: August 24, 2015

Expiration: February 25, 2023

For use by all units of Wisconsin Government at the State, County, and Municipal level

SCOPE

[§16.865 Wis. Stats.](#), provides that the Department of Administration (DOA) will coordinate a statewide Risk Management program in order to:

- Protect the state from losses which are catastrophic in nature and minimize total cost to the state of all activities related to the control of accidental loss; and
- Place emphasis on the reduction of loss through professional attention to scientific loss control techniques and by motivational incentives, prompt claims payments and other loss prevention measures.

This General Records Schedule (GRS) covers risk management and related records of Wisconsin state agencies which include worker's compensation, property, liability, occupational health and safety, environmental management, permitting and compliance, hazardous materials transportation, and radioactive materials/radiation records. This schedule replaces the current Workers Compensation and Related Records GRS revised and approved by the Public Records Board (PRB) on July 1997.

This general records schedule applies to all Wisconsin government agencies and University of Wisconsin System Administration and all campuses.

A companion document, [Introduction to General Records Schedules](#), found on the Public Records Board (PRB) [website](#), provides more information and guidance about the use of general records schedules by Wisconsin state agencies.

RECORDS **NOT** COVERED BY THIS GRS

This general schedule does **not** include the following types of records:

- Worker's compensation records maintained by the Department of Workforce Development (DWD) for purposes of regulating worker's compensation functions under Chapter 102, Wis. Stats., and related rules and statutes.
- Records created by other state agencies in their function as regulatory agencies. (For example DNR, DHS, WEM, and DSPS among others.)

INTERRELATED RECORDS CROSS-REFERENCED

Other records related to Risk Management are covered by other approved general schedules. These include Human Resources, Facilities, Fiscal & Accounting, Purchasing & Procurement and Administrative records GRS.

RECORDS FORMAT

Records covered in this schedule may be retained either in electronic or in paper format. This schedule also applies to all records born digital (including those created or transmitted via e-mail), data contained in database systems, tapes/ cartridges and other types of electronic records and information systems maintained and managed by DOA's Bureau of State Risk Management (BSRM) and other state agencies. In order to safeguard the information contained in records maintained **exclusively** in electronic format, agencies must meet the standards and requirements for the management of electronic records outlined in Wisconsin Administrative Rule, [Chapter ADM 12](#).

OFFICIAL RECORD

Each record series contained herein covers official records, in all formats, maintained by either DOA, other state agencies or both parties including the electronic data contained in DOA's Risk Management information System (RMIS).

AGENCY COPY

The agency copy is that copy that must be retained to satisfy any agency-specific management requirement of the agency's operation. It must follow the same retention periods outlined in this schedule.

REFERENCE OR CONVENIENCE COPIES

Reference or convenience copies are duplicates kept by agency staff for personal use or convenience. These copies are considered *non-records* under [§16.61\(2\), Wis. Stats.](#), and should be destroyed when no longer needed. **DO NOT** retain reference or convenience copies longer than the retention periods specified in this schedule and do not send to offsite storage or the State Records Center (SRC).

WISCONSIN DOCUMENT DEPOSITORY PROGRAM

[§35.83 Wis. Stats.](#), as amended by 1991 Wisconsin Act 285, requires Wisconsin state agencies to send copies of their publications, regardless of format, to the Wisconsin Reference and Loan Library for distribution to libraries through the [Wisconsin Document Depository Program](#). The Wisconsin Document Depository Program collects and distributes state publications in print and electronic formats to Wisconsin libraries; preserves and makes available a record of major state government programs; and assures the availability of state publications for use by the public throughout Wisconsin now and in the future. For more information, contact the Wisconsin Reference and Loan Library via email at statedocuments@dpi.wi.gov.

ELECTRONIC STATE PUBLICATIONS

Many state publications are now born digital. They are only published on the Web. Electronic publications are collected and preserved as part of the Wisconsin Document Depository Program. URLs to state publications published electronically on Wisconsin State Agency websites should be emailed directly to statedocuments@dpi.wi.gov as a way for state agencies to fulfill the statutory obligation to participate in the Wisconsin Document Depository Program.

CONFIDENTIALITY OF RECORDS

In accordance with [§102.33 \(2\) \(b\), Wis. Stats.](#), Risk Management records maintained by the State of Wisconsin ([§102.08, Wis. Stats.](#)), shall be confidential where they reveal the identity of an employee who claims worker's compensation or any other compensation, the nature of the employee's claimed injury, the employee's past or present medical condition, the extent of the employee's disability, or the amount, type, or duration of benefits paid to the employee. In addition, some record series in this schedule may contain additional confidential or restricted access information such as social security numbers, medical and mental health and treatment records, attorney-client privileged communications, attorney work products, and other assessment/strategy information records. These records are subject to confidentiality rules as authorized by the appropriate statutes such as [s. 146.81-146.83](#) and [s.51.30 Wis. Stats](#) and HIPAA regulations and cannot be disclosed or released without legal consent. Records that are *not* privileged may be provided to any party when the employee who is the subject of the record, or an attorney or authorized agent of the employee, provides a written authorization for inspection and copying.

PERSONALLY IDENTIFIABLE INFORMATION (PII)

Wisconsin law requires authorities to specifically identify certain record series within a general records schedule that contain personally identifiable information (PII). [§19.62\(5\) Wis. Stats.](#), defines PII broadly as “information that can be associated with a particular individual through one or more identifiers or other information or circumstances.” Those record series identified as containing PII on the schedule should further indicate whether the PII is incidental to the primary purpose for which the record series is created. Certain risk management records may contain personally identifiable information such as social security number, telephone number, addresses, etc., that can be associated with a particular individual. This information cannot be disclosed. If in doubt as to whether a specific record series contains PII, check with agency legal counsel, either within your agency or by contacting the Attorney General’s office.

RISK MANAGEMENT INFORMATION SYSTEM (RMIS)

DOA and state agencies use a Risk Management Information System (RMIS) to manage risk management claims information. The information in the database is created with the information from the official paper files of the accident reports, employee exposure records, supervisory analysis, safety officer analysis and related correspondence.

The RMIS interfaces and provides data to the State of Wisconsin accounting system which is operated by DOA for statewide fund accounting, expenditure monitoring and generation of financial statements.

The system enables all state agencies and University of Wisconsin System Administration and institutions to enter claims on RMIS, to read claims and to run management reports for their institutions. DOA’s Bureau of State Risk Management (BSRM) has provided RMIS access to the University of Wisconsin System and its institutions. BSRM has also provided RMIS access to all state agencies in a limited capacity. This allows all locations the ability to enter claims into RMIS, and/or run loss reports from RMIS. DOA’s RMIS is the only official, electronic data system included in this schedule. Agencies and UW System institutions maintaining separate information systems or databases to manage these records should develop their own Retention Disposition Authorization (RDAs) to schedule these systems. Documents in risk management information systems unique to agencies or UW institutions are **not** considered as official RMIS records.

DOA’s Bureau of State Risk Management is committed to converting data to new technology to insure accessibility over time to comply with the requirements of [ADM 12](#).

FOR EFFECTIVE USE OF THIS SCHEDULE

The schedule requires some interpretation, training and application to specific agency titles of the risk management function records. Titles of records series may not be the exact titles used by an agency. If agency staff is uncertain about the schedule’s application to a specific group of records or needs help determining whether or not a specific record is confidential they should seek assistance from their risk management program manager, their agency records officer, legal counsel or DOA’s BSRM staff. For other sources of advice see “For Additional Information and Assistance” section below.

RETAINING RECORDS

Agencies are required to follow this schedule for the proper retention and disposition of these records. Retention periods established in this schedule are minimum retention requirements. Records may be retained for longer periods if needed but disposition should be done on a continuing basis, after the records have met their retention period provided there is not a legal hold (an open records request, an open audit or pending/current litigation

proceedings) in place for those records at the time of disposition. It is the responsibility of the office holding the record to determine if a legal hold is in place before disposing of that record.

RECORDS DISPOSAL

When disposing of records that have met their retention periods, agencies must ensure that records identified in this schedule as containing PII or confidential information are disposed of so the information cannot be compromised or reconstructed. RDAs in this schedule may contain PII, confidential or both types of information. Any records identified in the RDA in this schedule that has one or both of these types of information (i.e. with a “Yes” in the PII or Confidential column in the schedule) must be destroyed in a confidential manner. The best method to ensure that this information is properly disposed of is by shredding the information. The SRC offers confidential destruction services for all state agencies.

FOR ADDITIONAL INFORMATION AND ASSISTANCE

For additional information and assistance implementing this general schedule, agencies staff should contact:

- Agency Records Officer or Risk Management Staff
- DOA Bureau of State Risk Management, 101 East Wilson Street, P.O. Box 77008, Madison, WI 53707-1008.
- UW System Administration, Office of General Counsel, 1852 Van Hise Hall, 1220 Linden Dr. Madison, WI 53706.

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
GENERAL RISK MANAGEMENT RELATED RECORDS								
RISK0001	RMIS Output Reports	These records include monthly or quarterly reports which are distributed to department heads, division administrators in state agencies and UW institutions. Reports support program initiatives. Examples of these reports include benchmark reports.	Superseded or when no longer needed	Event and Destroy	No	No		90308 WCCS Output Reports
RISK0002	Proposals for Insurance Coverage	§16.865 Wis. Stats. mandates responsibility for statewide risk management coordination. This includes providing insurance coverage for state agencies. Records may include non-selected bids for property, liability, and Worker's Compensation coverage. Successful proposals for insurance coverage would then produce insurance contracts, which would be handled as underlined under RDAs RISK0025 and RISK0035. Agencies that receive authorization from DOA's BSRM may secure coverage for specific business purposes on their own.	Date Bid is Closed	Event + 7 Years Destroy	No	No	Example: Owner Controlled Insurance Program (OCIP). Insurance services for these projects are placed by private negotiation and competitive bid. Official File: Agency handling the request for bid/proposal.	
RISK0003	Risk Management Conferences Materials	DOA's Annual Risk Management Conference publications and materials. Records series may include comprehensive, original materials documenting planning for Risk Management conferences as well as original conference hand-outs.	Date of Risk Management Conference	Event + 5 Years and Destroy	No	No	Copies of these materials kept by conference attendees are not considered records but reference materials.	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
WORKER'S COMPENSATION RELATED RECORDS								
RISK0010	Worker's Compensation Claims Case Files	Worker's compensation claims filed by state and UW System employees. These claims can be categorized as: Medical Claims (No Lost Time): A claim where an injured employee obtains medical treatment but does not lose more than three (3) days from work as a result of the injury. Lost Time Claims: A claim where an injured employee requires four (4) or more days off from work. Typically, claims include the same records as in medical claims files, as well as lost time documentation and disability payment material. Hazardous Duties Employment Claims: A claim presented by certain occupational classes and of hazardous nature as defined in §230.36, Wis. Stats. Hazardous duties employment claims include the same records as those in medical claims, as well as those stated in §230.36, Wis. Stats., (hazardous employment) documentation (e.g. hazardous duties related positions). Typical records may include, but are not limited to: accident reports, medical reports, employee exposure records, certifications, payment information, medical invoices, investigation materials, subrogation files, workers compensation claims fact sheet, medical information authorization, labor market availability restriction statement, vocational rehabilitation information, related correspondence and other related forms. This information is also entered into the Department of Administration's Risk Management Information System (RMIS). This system is managed by DOA's Bureau of State Risk Management. The information	Date Claim is Closed	Event+ 30 Years and Destroy Confidential	Yes	Yes §102.33 Wis. Stats. (Worker's Compensation Records)		90300 Workers Compensation Claims Case Files 90304 WCCS Worker's Compensation Claims Files

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
		entered in the system originates from the official paper files related to medical claims (no lost time), lost time claims, and hazardous employment claims and includes: claim number, name, address, social security number, date of birth, type of claim, agency identification code, location of claim, cause of claim, result of injury, payment histories, etc. All agencies and UW-System have access to this database. This record series covers the electronic data in the RMIS and the paper files kept at the agencies and the UW-System.						
See Occupational Safety and Health Section	Incident Reports (Incidents only, no lost time)	See RDA RISK0045 in the Occupational Safety and Health Records Section of this schedule for retention and disposition of these records.						90302 Incident Reports - No Claims
See Occupational Safety and Health Section	Near-Miss Reports	See RDA RISK0046 in the Occupational Safety and Health Records Section of this schedule for retention and disposition of these records.						90303 Near Miss Reports
RISK0011	State Government Workers Compensation Guidelines, Procedures, Policies and Other Related Records	Records include Workers Compensation program guidelines, procedures, policies and other related records for managing workers compensation claims per Chapter 102 Wis. Stats.	Superseded	Event + 7 Years and Destroy	No	No	Note: Procedures under this RDA have typically gone through a vetting process and are intended to support the agency's policies in a direct manner. This RDA does not necessarily include worker instructions which may be viewed as task-specific directions used to ensure compliance with policies and procedures.	90309 Statewide WC Policies 90310 WC Procedures and Procedural Correspondence

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
PROPERTY AND LIABILITY RELATED RECORDS								
RISK0015	Property and Liability General Correspondence	General correspondence relating to ongoing administration/management of state self-funded property and liability programs is generated under §16.865, §20.865 (f) (fm) (dm) Wis. Stats. Records may include letters and memos relating to all aspects of state risk management property and liability programs. Examples include Van Driver Training records and applications; Driver Abstract reviews and findings shared with agency staff.	Closure of Specific Issue Addressed by the Correspondence	Event + 5 Years and Destroy	No	No	Note: Files contained in this records series represent materials that are not contained in the Property and/or Liability Claim Files RDAs: RISK0026 & RISK0036.	
RISK0016	State Government Property & Liability Guidelines, Procedures, Policies and Other Related Records	Records include property and liability program guidelines, procedures, policies and other related records for managing property and liability claims per §16.865, 20.865, and 895.46 Wis. Stats.	Superseded	Event + 7 Years and Destroy	No	No	Examples: delegation agreements, Property and Liability Manual. Note: Procedures under this RDA have typically gone through a vetting process and are intended to support the agency's policies in a direct manner. This RDA does not necessarily include worker instructions which may be viewed as task-specific directions used to ensure compliance with policies and procedures.	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0017	Statewide Premium Process & Documentation	Annually, the Bureau of State Risk Management under authority of §16.865, and §20.865 (1) (f) Wis. Stats., develops fiscal year premium documents which support the State Risk Management Program. This process reviews both the exposure and the experience of state agencies and incorporates this information into the development of state agency premiums. The premiums generated pay liability, worker's compensation and property claims and maintain the administrative functions of the program. This record series may include documents comprised of building values and content inventories. It also includes RMIS reports generated to support the agency's related experience over time, written documentation explaining the purpose and process of the premium function. Official copy is at DOA. All state agencies maintain background information.	Date of Document Creation	Event + 20 Years and Destroy Confidential	Yes	Yes	Wisbuild inventory reports, RMIS reports, agency summary documents Note: Museums records risk insurance is covered under this RDA. Works of art valuation and inventory lists are kept by the agencies that have these records.	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
PROPERTY PROGRAM RELATED RECORDS								
RISK0025	Property Insurance Policies (General & Excess)	Pursuant to §16.865(5) Wis. Stats., the Department of Administration Bureau of State Risk Management (BSRM) is responsible to arrange appropriate insurance contracts for the transfer of risk of loss on the part of the state or its employees to the extent such loss cannot reasonably be assumed by individual agencies or self-funded programs. Agencies that receive authorization from BSRM may secure coverage for specific business purposes on their own. This file may include the original copy of the policy, endorsements to the policy, list of carriers, coverage limits and premiums.	Policy Effective Date	Event + 30 Years and Destroy	No	No	Official record is kept at the originating agency	
RISK0026	Property Claim Files	§16.865 Wis. Stats., mandates responsibility for statewide risk management coordination including managing the statewide self-funded property program. Claim files may include accident/property loss reports, investigative reports, evidential documents such as photographs, payment vouchers and any related correspondence. These records represent the official property claim files.	Date Claim is Closed	Event + 5 Years and Destroy Confidential	Yes	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0027	Precedent-Setting Property Claims	This records series pertains to property claims which have precedent-setting impact on the State of Wisconsin and the State Risk Management program. Claim files to be retained include those that are catastrophic in nature and/or breach one million dollars. Additionally, large losses that have multiple locations, such as the June 2008 flooding, or claims that may have large subrogation actions would also be included. Files may contain complete property investigations and supporting documentation.	Date Claim is Closed	Event + 25 Years and Transfer to WHS	Yes	No		
RISK0028	Property Incident and Denial Reports – No Claim Filed	Incident and denial files may include accident reports, damage reports, repair orders, estimates, adjuster claim reports and other investigative materials. No claim was generated and no payment was made.	Date of Incident	Event + 5 Years and Destroy Confidential	Yes	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
LIABILITY PROGRAM RELATED RECORDS								
RISK0035	Liability Insurance Policies (General, and Excess)	Pursuant to §16.865(5) Wis. Stats., the Department of Administration Bureau of State Risk Management (BSRM) is responsible to arrange appropriate insurance contracts for the transfer of risk of loss on the part of the state or its employees to the extent such loss cannot reasonably be assumed by individual agencies or self-funded programs. Agencies that receive authorization from BSRM may secure coverage for specific business purposes on their own. This file may include the original copy of the policy, endorsements to the policy, list of carriers, coverage limits and premiums.	Policy Effective Date	Event + 75 Years and Destroy	No	No	Copies may be kept at the agency or at DOA BSRM	
RISK0036	Liability Claim Files	§16.865 Wis. Stats., mandates responsibility for statewide risk management coordination including managing the statewide self-funded liability program. Claim files may include normal liability claims and claims involving a minor or a structured settlement. In cases where a minor is involved, records must be retained for 11 years after the minor reaches age 18. For structured settlements, records must be kept for 11 years after the structure is paid off. Documents include accident reports, damage reports, repair orders, estimates, adjuster claim reports and release of all claims. Payment letters and photocopies of checks are also included.	Date Claim is Closed (For Normal Liability Claims) OR Date Minor Turns 18 (Claims Involving a Minor) OR Date Structured Settlement is Paid Off (Structured Settlement Claims)	Event + 11 Years and Destroy Confidential	Yes	Yes §146.82 Wis. Stats. (Medical Records) §51.30 Wis. Stats. (Mental Health Care & Treatment Records)		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0037	Precedent-Setting Liability Claims	This records series pertains to liability claims which have precedent-setting impact on the State of Wisconsin and the State Risk Management program. Claim files to be retained include those that are catastrophic in nature and/or breach one million dollars. Files may contain complete liability investigations and supporting documentation.	Date Claim is Closed	Event + 25 Years and Transfer to WHS	Yes	Yes §146.82 Wis. Stats. (Medical Records) §51.30 Wis. Stats. (Mental Health Care & Treatment Records)		
RISK0038	Liability Incident and Denial Documentation – No Claim Filed	Incident and denial files may include accident reports, damage reports, repair orders, estimates, adjuster claim reports and other investigative materials. No claim was generated and no payment was made.	Date of Incident	Event + 11 Years and Destroy Confidential	Yes	Yes §146.82 Wis. Stats. (Medical Records)	Note: There is a potential that a claim may be filed many years later.	
RISK0039	Volunteer Health Care Program (VHCP)	The Volunteer Health Care Program was originally enacted in 1989 as a pilot program in Brown & Racine Counties. It has since spread state wide to address health care needs of the uninsured, underinsured and those on different state run medical programs. Documentation related to the approval of all volunteer health care applicants for this statewide program. Document examples include completed applications, approval letters, Department of Safety and Professional Services (DSPS) information on licensure for each applicant, policy decisions and program expansion correspondence. Claims generated from this program are handled by the liability program and the files are covered within RDA RISK0036.	Date BSRM Approves or Denies the Application	Event + 25 Years and Destroy Confidential	Yes	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
<u>OCCUPATIONAL SAFETY AND HEALTH RECORDS</u>								
RISK0045	Incident Reports (Incidents Only, No Lost Time)	This records series covers incident reports for which no expenses have been incurred. Incidents only, no medical expenses incurred and no lost time. Information on incidents is documented in the accident report, supervisory analysis, safety officer analysis and related correspondence. See RDA RISK0049 for the retention of the occupational exposure incidents records.	Date of Incident	Event + 12 Years and Destroy Confidential	Yes	Yes §146.82 Wis. Stats. (Medical Records)		90302 Incident Reports – No Claim
RISK0046	Near-Miss Reports	These records are documentation on accident analysis forms describing hazardous working conditions that could lead to worker's compensation claims. Data from these forms are gleaned to study trends and to improve a safe working environment.	Date of Incident	Event + 5 Years and Destroy Confidential	Yes	Yes §146.82 Wis. Stats. (Medical Records)		90303 Near-Miss Reports
RISK0047	Safety and Health Program	State agency's written safety programs, annual plans, policies, procedures, guidelines, components, monitoring data and reports for programs such as Confined Space, Ergonomics, Hazard Communication, Bloodborne Pathogens, Fall Protection, Hot Work, Lockout/Tagout, Hazard Communication, Hearing Conservation, Respiratory Protection, Powered Industrial Trucks, Personal Protective Equipment and other similar safety programs. Also includes agency Emergency Action Plans and Employee Summary Guides (i.e. agencies' evacuation and safe sheltering plans and procedures for employee safety during emergency conditions, evacuation routes, etc. It also includes agency fire and tornado drill reports).	Superseded	Event + 7 Years and Destroy	No	No	See Administrative Records GRS RDA ADM00008 for agencies' official copy and work papers of the COOP/COG plan.	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0048	Safety Data Sheets (SDS)	Per OSHA each workplace is required to keep SDSs provided by manufacturers and importers of hazardous chemicals.	SDS is Superseded OR Use of Chemical is Discontinued	If SDS is superseded, destroy previous SDS and keep the most current one OR If use of chemical is discontinued retain SDS for 30 years and destroy	No	No	This RDA is no longer part of the Facilities GRS. The series title has been renamed to Safety Data Sheets (SDS) which is the new name assigned by OSHA.	FAC00067 Material Safety Data Sheets (MSDS)
RISK0049	Exposure Records	Includes the specifics of the incident and any agency related form, report or record. It also includes records of personal exposures required to be maintained by the agency that has conducted or contracted for the monitoring. In most cases records includes documents such as personal exposure samples for chemicals, ionizing radiation, asbestos, lead, and noise; wipe samples to determine surface contamination; bulk samples to analyze for asbestos content; and reports or inspections or surveys of activities related to actual or potential occupational exposures.	Date of Exposure	Event +75 Years and Destroy Confidential	Yes	Yes §146.82 Wis. Stats. (Medical Records)	Example: Noise exposure records OSHA 29 CFR 1910, 1910.120 and 1926; also Chapter SPS 332 Wis. Stats.	
RISK0050	Internal Workplace Safety Inspections	Includes safety inspections, audits, surveys or reviews of the workplace initiated or contracted by the resident state agency.	Date of Report	Event + 7 Years and Destroy	No	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0051	Compliance Workplace Safety Inspections	Safety inspections, audits, department orders, section violations, corrective action orders and surveys or reviews of the workplace performed by an outside compliance agency such as OSHA or the Department of Safety and Professional Services. Includes citations and notifications of penalties, results of investigations, Modification Abatement Plan requests, and final Abatement Plan documentation.	Date of Resolution or Compliance Plan	Event + 7 Years and Destroy	No	No		
RISK0052	Job Hazard Analysis	Job safety surveys and analysis of a specific job or task. Includes documents used to identify, analyze and record the steps involved in performing a specific job, existing or potential safety and health hazards associated with each step and the recommended action(s)/procedure(s) that will eliminate or reduce the hazards and the risk of a workplace injury or illness.	Superseded or Task Eliminated	Event + 7 Years and Destroy	No	No		
RISK0053	Ergonomics Assessments and Related Material	Includes individual and workstation evaluations, pre-evaluation questionnaires, potential procurement documents, follow-ups and all related materials.	Date of Assessment	Event + 7 Years and Destroy Confidential	Yes	No		
RISK0054	OSHA Logs	Includes OSHA Form 300- Log of Work Related Injuries and Illnesses, Form 301 – Injury & Illness Incident Report and other equivalent forms.	Date of Log	Event + 7 Years and Destroy Confidential	Yes	No		
RISK0055	Industrial Hygiene Supporting Documents and Reports	Includes control measures that protect employees from chemical, physical and/or biological stressors, such as noise, chemical exposures, excessive temperatures, dusts, mists, and vapors, and air quality evaluations/results. Included among these records are indoor air quality surveys, noise and hearing conservation, respiratory protection, compliance exposure monitoring, baseline noise surveys, and other similar industrial hygiene surveys, assessments and reports.	Date of Report	Event + 30 Years and Destroy	No	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0056	General Safety Reports, Issues, Complaints and Inquiries Received/Generated by Safety Staff	Included in the file are responses to all inquiries and noted follow-up steps, if any, to correct any noted deficiencies. Also includes periodic reports concerning agency safety activities, including minutes of monthly safety meetings, accident data analysis, safety and health program assessments, trend or accident analysis reports, chemical inventory lists, SCBA (Self-Contained Breathing Apparatus) inspections and other similar or related reports.	Date of Resolution	Event + 2 Years and Destroy	No	No	Records not included in specific program RDAs. May include Safety Committee inquiries.	
RISK0057	Safety Permits	Approved plan of work for specific job safety action. Examples include permits for Confined Space Entry, Lockout/Tagout, Hot Works and other related permits.	Expiration of Permit	Event + 1 Year and Destroy	No	No		
RISK0058	Hoists, Cranes and Personnel Lifts Inspections	Includes inspection reports for hoists, slings and chains, gantry cranes, man-lifts, scissor lifts, and other and similar records.	Date of Inspection	Event+5 Years and Destroy	No	No		
RISK0059	Safety Training <u>Not</u> Required by Law	Any safety related training <u>not</u> required by law whether provided internally by safety staff or contracted out. Includes materials created or used by state agencies and/or the Bureau of State Risk Management to promote training or train state employees. Includes training schedules, course materials, evaluations, study guides, questionnaires, registration, sign-in sheets and tracking.	Superseded	Event+5 Years and Destroy	No	No	Training for slips, trips and falls, safe lifting, ergonomics, ladders and similar programs	
RISK0060	Safety Training Required by Law	Any safety related training required by law whether provided internally by safety staff or contracted out. Includes materials created or used by state agencies and/or the Bureau of State Risk Management to promote training or train state employees. Includes training schedules, course materials, evaluations, study guides, questionnaires, registration, sign-in sheets and tracking.	Date of Training	Event+ 30 Years and Destroy	No	No	Note: These records must be kept post employment to verify employees received the necessary training.	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
ENVIRONMENTAL MANAGEMENT, PERMITTING AND COMPLIANCE RELATED RECORDS (These rdas apply only to records of the regulated agencies. Regulatory agencies must create their own rdas.)								
RISK0070	Air Compliance Records	Records documenting compliance with air permits and area source regulations. May include permit documents, measurements and performance tests, monitoring data, calibration checks, emission test results, annual reports and supporting documents and data and other documents relating to air programs.	Superseded by the Revised Documents	Event + 7 Years and Destroy	No	No		
RISK0071	Waste Disposal Site Records	Records series includes documents related to potential liability associated with sending waste for disposal. Includes uniform hazardous waste and non-hazardous special waste manifests, land disposal restriction forms, medical waste manifests, non-hazardous manifests, non-hazardous bills-of-lading, and certificates of receipt/destruction, waste site audits and other related records supporting potential site liability issues for disposal sites.		Permanent	No	No	Example: Superfund (CERCLA) documents	
RISK0072	Emergency Planning & Community Right to Know (EPCRA)	Records documenting compliance with Emergency Planning and Community Right-to-Know Act (EPCRA) and Chapter 323 Wis. Stats. Includes emergency planning notification records section 302, emergency plans, emergency release notifications section 304, hazardous chemical reporting documentation (Tier II) reports section 311 and documentation, Toxics Release Inventory (TRI) reporting section 313.	Date Submitted	Event + 7 Years and Destroy	No	No	A potential security issue may exist with the release of this information. Seek authorization from agency legal counsel before releasing any information.	
RISK0073	Infectious Waste Records	Records documenting compliance with NR 526, Medical Waste Management. Records of the amount of infectious waste sent off-site for treatment, records that certify infectious waste was treated, copies of annual reports and similar records.	Date Waste was Shipped	Event + 7 Years and Destroy	No	No		

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0074	Medical Waste Reduction Documents	Records documenting compliance with NR 526, Subchapter III Medical Waste Reduction. May include records of the amount of infectious waste sent off-site for treatment, medical waste audits and medical waste reduction plans.	Superseded	Event + 7 Years and Destroy	No	No		
RISK0075	PCB (Polychlorinated Biphenyl) Records	Includes PCB annual logs, PCB concentration logs, annual records, on-site storage locations, inventory lists, test reports, analytical reports, one year exception reports, spill cleanup records, equipment inspection logs and other similar records. See RDA# RISK0071 "Waste Disposal Site Records" for retention and disposition of PCB manifests and Certificates of Disposal retention.	Date of Document Creation	Event + 7 Years and Destroy	No	No		
RISK0076	RCRA (Resource Conservation and Recovery Act) Compliance	RCRA regulates how waste is disposed. Includes records documenting procedural compliance with NR 600 – 679. May include annual reports, inspection logs, waste analysis/profile documents, exception reports, and other related records. See RDA# RISK0071 "Waste Disposal Site Records" for retention and disposition of PCB manifests and Certificates of Disposal retention.	Date of Document Creation	Event + 7 Years and Destroy	No	No		
RISK0077	RCRA compliance - Large Quantity Generator Contingency Plan	Records documenting compliance with NR 665 Subchapter D: Contingency Plan and Emergency Procedures. Description of the actions facility personnel will take in response to fires, explosions or any unplanned sudden or non-sudden release of hazardous waste or hazardous waste constituents to air, soil or surface water at the facility. Keep copies of all revisions of the plan until facility closes per NR 665.0054.	Date of Facility Closure	Event + 7 Years and Destroy	No	No	See also NR 665.0053	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0078	RCRA compliance - Large Quantity Generator Training Records	Records documenting compliance with NR 665.0016(5), personnel training: job title, employee name, written position description, type and amount of training to be provided, documentation that training has been provided and completed.	Date Employee Last Worked in the Facility	Event + 7 Years and Destroy	No	No	Per NR 665.0016(5)	
RISK0079	Clean Water Act Compliance Records	Records documenting compliance with Clean Water Act and other water regulations. Includes records related to Spill Prevention Control and Countermeasure (SPCC), Wisconsin Pollution Discharge Elimination System (WPDES), stormwater management and other records relating to environmental compliance with water regulations.	Date Document was Superseded	Event + 7 Years and Destroy	No	No		
RISK0080	Safe Drinking Water Act Compliance Records	Records documenting compliance with Safe Water Drinking Act 40 CFR 141 and related programs. Microbiological analyses and turbidity analyses, records of chemical analyses, action taken by the system to correct violations of primary drinking water regulations, written reports, summaries or communications relating to sanitary surveys of the system.	Date of Document Creation	Event + 10 Years and Destroy	No	No	Per 40 CFR 141.33 (EPA)	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
HAZARDOUS MATERIALS TRANSPORTATION RECORDS								
RISK0085	Hazardous Materials Regulations Training Records	Records documenting compliance with training of hazmat employees in accordance with 49 CFR 172.704 (USDOT). The training record must include the employee's name, the most recent training completion date of the employee's training, a description, copy, or the location of the training materials used to meet the requirements, the name and address of the person providing the training and certification that the hazmat employee has been trained and tested as required. Per 49 CFR 172.704 (USDOT): A record of current training, inclusive of the preceding three years shall be created and retained for each hazmat employee.	Employee Current Certification Date	Event + 7 Years and Destroy	No	No		
RISK0086	Hazardous Materials Shipping Papers	Records documenting compliance with shipping papers used to offer hazardous materials other than waste in accordance with 49 CFR 172.201(e) (USDOT). See RDA# RISK0071 "Waste Disposal Site Records" for retention and disposition of hazardous waste and PCB manifests and Certificates of Disposal retention. 49 CFR 172.201(e). Retention and Recordkeeping. Each person who provides a shipping paper must retain a copy of the shipping paper required by 49 CFR 172.200(a), or an electronic image thereof, that is accessible at or through its principal place of business and must make the shipping paper available, upon request, to an authorized official of a Federal, State, or local government agency at reasonable times and locations.	Date Material was Accepted by Initial Carrier	Event + 3 Years and Destroy	No	No	For hazardous waste shipping papers see RISK0071 .	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RADIOACTIVE MATERIALS/RADIATION RECORDS								
RISK0090	Radioactive materials/radiation – supporting documents	Includes documents and related records that support radioactive materials and or radiation management program that may be disposed prior to the termination of the license or program requiring the record. Includes audits/reviews, area/package surveys, leak test results, tests on entry control devices, irradiator use 157.73(22); industrial radiography devices DHS 157.45; medical use records DHS 157.71; records relating to x-rays devices: diagnostic DHS 157.75, veterinary DHS 157.79; CT DHS 157.80 and dental DHS 157.77, DHS 157.78 .	Date of Document Creation	Event + 7 Years and Destroy	No	No	Retention requirements as specified by DHS 157.31.	
RISK0091	Radioactive Materials / Radiation – License Documents	Includes documents and related records that support radioactive materials and or radiation management program that may not be disposed prior to the termination of the license or program requiring the record. Provisions of the program, surveys, measurements, calculations used to determine dose. Measurement and calculations used to determine release of radioactive effluent, doses to members of the general public DHS 157.31; irradiator use 157.73(22); industrial radiography devices DHS 157.45; medical use records DHS 157.71.	Termination of License or Registration of the Device	Event and Destroy	No	No	Retention requirements as specified by DHS 157.31	

RDA No.	Records Series Title	Series Description	Retention Event	Minimum Retention & Disposition	PII	Confidential	Use Case / Notes	Old RDA No. (If Applicable)
RISK0092	Radioactive Materials/Radiation – Individual Monitoring Records	Records of doses for those whom monitoring is required under DHS 157.25 (2), planned special exposures, accidents, emergencies. Records include whole body deep dose equivalent, lens dose equivalent, skin, extremity dose; estimated intake of radionuclides, total effective dose equivalent DHS 157.31.		Permanent DHS 157.31(7)(f)	Yes DHS 157.31(7)(g)	Yes Contain SSN DHS 157.31(7)(g)	(DHS 157.31(7) (f) and (g) requires the permanent retention of these records. Section (g) prohibits the disclosure of these records.	
RISK0093	Radioactive Materials/ Radiation – Records Related to Decommissioning	Information related to decommissioning of a facility in an identified location. Records include Spill records, list, drawings and modifications of restricted areas, waste-burial areas, funding for decommissioning DHS 157.15(7)	Date site is approved by DHS for unrestricted use	Event and Destroy	No	No		
RISK0094	Radioactive Materials/ Radiation device Receipt and Disposition Records	Licensee or registrant’s records showing the receipt, transfer and disposal of all sources of radiation per DHS 157.06(1) DHS 157.06(1) RECORDS. A licensee or registrant shall maintain records showing the receipt, transfer and disposal of all sources of radiation until the department terminates the license or registration authorizing possession of the device or material, and for 3 years following transfer or disposal of the device or material.	Date of Termination of the License / Registration Authorizing Possession of the Materials or Radiation Device	Event + 3 Years and Destroy	No	No	A potential security issue may exist with the release of this information. Seek authorization from agency legal counsel before releasing any information.	

WORKER'S COMPENSATION & RELATED RECORDS GRS SUPERSEDED AND CLOSED RDAS

RDA No. (WC GRS)	Series Title	Action Taken	Comments
90300	Workers Compensation Claims Case Files	Renumbered/superseded by RISK0010	Renumbered and superseded by RDA RISK0010- Workers Compensation Claims Case Files of the Risk Management GRS.
90300A	Workers Compensation Claims Case Files – Agency WC Coordinator Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90300B	Workers Compensation Claims Case Files – Supervisor or Unit Working Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90301	Do Not Use - Per Workers Compensation 1997 GRS	Deleted.	RDA was part of the 1997 Workers Compensation GRS. Instructions were given not to use this rda in this schedule. RDA is NOT part of the Risk Management Schedule.
90301A	Do Not Use - Per Workers Compensation 1997 GRS	Deleted	RDA was part of the 1997 Workers Compensation GRS. Instructions were given not to use this rda in this schedule. RDA is NOT part of the Risk Management Schedule.
90301B	Do Not Use - Per Workers Compensation 1997 GRS	Deleted	RDA was part of the 1997 Workers Compensation GRS. Instructions were given not to use this rda in this schedule. RDA is NOT part of the Risk Management Schedule.
90302	Incidents Reports – No Claims	Renumbered/superseded by RISK0045	Renumbered and superseded by RDA RISK0045 – Incident Reports (Incidents Only, No Lost Time) of the Risk Management GRS.
90302A	Incidents Reports – No Claims – Agency Safety Officer	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90302B	Incidents Reports – No Claims – Management, Safety Committee, and WC Coordinator Working Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90303	Near-Miss Reports	Renumbered/superseded by RISK0046	Renumbered and superseded by RDA RISK0046- Near-Miss Reports of the Risk Management GRS.
90303A	Incidents Reports – No Claims – Agency Safety Officer	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.

WORKER'S COMPENSATION & RELATED RECORDS GRS SUPERSEDED AND CLOSED RDAS

RDA No. (WC GRS)	Series Title	Action Taken	Comments
90304	WCCS Worker's Compensation Claims Files (Electronic Data)	Closed/Deleted. Now included in RDA RISK0010	This rda covered the workers compensations records contained in DOA's RMIS workers compensation database. These records are now covered under RDA RISK0010- Workers Compensation Claims Case Files . This new rda covers records in all formats.
90305	Do Not Use - Per Workers Compensation 1997 GRS	Deleted	RDA was part of the 1997 Workers Compensation GRS. Instructions were given not to use this rda in this schedule. RDA is NOT part of the Risk Management Schedule.
90306	WCCS Incident Reports (Incidents only, no claims, no lost time) – Electronic Data	Closed/Deleted	This rda covered the workers compensations records contained in DOA's RMIS workers compensation database. These records are now covered under RDA RISK0045 – Incident Reports (Incidents Only, No Lost Time) . This new rda covers records in all formats.
90307	WCCS Near-Miss Data Files – Electronic Data	Closed/Deleted	This rda covered the workers compensations records contained in DOA's RMIS workers compensation database. These records are now covered under RDA RISK0046- Near-Miss Reports . This new rda covers records in all formats.
90308	WCCS Output Reports	Renumbered/superseded by RISK0001	Renumbered and superseded by RDA RISK0001- RMIS Output Reports of the Risk Management GRS.
90308A	WCCS Output Reports – Agency WC Coordinator Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90308B	WCCS Output Reports – Supervisor or Unit Working Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90309	Statewide WC Policies	Renumbered/superseded by RISK0011	Renumbered and superseded by RDA RISK0011 – State Government Workers Compensation Guidelines, Procedures, Policies and Other Related Records of the Risk Management GRS.
90309A	WCCS Output Reports – Agency WC Coordinator Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90310	WC Procedures and Procedural Correspondence	Superseded by RISK0011	Superseded by RDA RISK0011 – State Government Workers Compensation Guidelines, Procedures, Policies and Other Related Records of the Risk Management GRS.

WORKER'S COMPENSATION & RELATED RECORDS GRS SUPERSEDED AND CLOSED RDAS

RDA No. (WC GRS)	Series Title	Action Taken	Comments
90310A	WC Procedures and Procedural Correspondence – Agency WC Coordinator Copy	Closed	Any copies of these records are now covered under the main rda for this records series. Duplicates or copies are not considered records and can be disposed of when no longer needed unless otherwise specified in the current rda.
90311	WC Committee Meeting Minutes	Closed – Series Obsolete	
90311A	WC Committee Meeting Minutes – Committee Member Copy	Closed – Series Obsolete	

Revision History

A listing of changes to this GRS.

Revision Date	RDA Number	Record Series Title	Revision Made
Monday, 8-24-2015	RISK0011	State Government Workers Compensation Guidelines, Procedures, Policies and Other Related Records	Clarifying note regarding procedures added to Use Case/Examples.
Monday, 8-24-2015	RISK0016	State Government Property & Liability Guidelines, Procedures, Policies and Other Related Records	Clarifying note regarding procedures added to Use Case/Examples.



Report to the
Protection and Policy Committee
of the City of Green Bay

MEETING DATE

September 23, 2019

PREPARED BY

AGENDA ITEM # D.4.

Consideration with possible action on General Ordinance No. 21-19, an ordinance to repeal section 15.54 and to create section 15.83(1)(a) of the Green Bay Municipal Code, relating to building code.

BACKGROUND

RECOMMENDATION

FISCAL IMPACT

ATTACHMENTS

1. MEMORANDUM - Chapter 15 Revisions 9-19-19
2. DRAFT GO 21-19 - Repeal 15.54 and Create 15.83(1)(a) Relating to Buildin...



City of Green Bay
Department of Community and Economic Development

MEMORANDUM

TO: Protection and Policy Committee

FROM: Paul Van Calster, P.E. - Chief Building Official

RE: BACKGROUND & CONCLUSION INFORMATION: Regarding consideration with possible action on General Ordinance No. 21-19, an ordinance to repeal section 15.54 and to create section 15.83(1)(a) of the Green Bay Municipal Code, relating to building code

DATE: September 19, 2019

BACKGROUND AND SUPPORT SYNOPSIS

The two sections, 15.54 and 15.83 adversely affect homes and many times, because of the ordinances, results in illegal and unsafe alterations done without permits because the community knows they will not get a permit under the current municipal code. I have already spoken with my team to determine why these were incorporated and they do not recall the exact cause.

Section 15.54 the Inspection Division has legally not been enforcing because the 7'6" requirement is stricter than the adopted UDC code of 7'. Per State statute, the City code cannot be stricter than the State statutes. In conjunction with that 7'6" height, I have also talked with the fire department to see if that was added at their request and to their knowledge they said no. When it comes to these older home, the fire department knows these older homes have lower ceilings and are prepped for that before entering that house. In order to meet the 7' ceiling height requirement, those owners who still insist and can afford to do a legal basement alteration then obtain an engineered design where they sister the floor joist with a narrower joist(s) and then trim out the taller joist to match that of the sister-ed joist(s). Although engineered and structurally sound, the fire department stated they would prefer that approach not be taken as the fire characteristics of the trimmed wood of the old joist is better than that of the new sister-ed joist (i.e. the old wood burns slower making it safer for them).

CONCLUSION

The proposed exclusion to add under Section 15.83 will result in a safer community with basements being legally done on houses that were built prior to June 1, 1980. Typically, these remodels are done to create additional bedroom(s) in the basement. With current code, the majority of the time they are done without permits and typically done without licensed professionals (because those professionals know they cannot do it under current code). Additionally, they are completed without an egress window because installation of one would draw too much attention to project and it needs to be noted that an egress window is one of the biggest, if not the biggest, life safety issues associated with these projects.

These revisions result in a win-win-win-win for the homeowner-fire department-inspection department-City overall via community safety/value.

pvc

Enclosure: General Ordinance No. 21-19

cc: Cheryl Renier-Wigg - Assistant Development Director
Kevin Vonck, Ph.D. - Development Director

GENERAL ORDINANCE NO. 21-19

**AN ORDINANCE
REPEALING SECTION 15.54
AND CREATING SECTION 15.83(1)(a),
GREEN BAY MUNICIPAL CODE,
RELATING TO BUILDING CODE**

THE COMMON COUNCIL OF THE CITY OF GREEN BAY DOES ORDAIN AS FOLLOWS:

SECTION 1. Section 15.54, Green Bay Municipal Code, is hereby repealed.

SECTION 2. Section 15.83(1)(a), Green Bay Municipal Code, is hereby created to read:

(a) *Exemption.* Any one- or two-family dwelling units built prior to the State of Wisconsin's adoption of the Uniform Dwelling Code on June 1, 1980, are exempt from the basement room height requirement in Wis. Admin. Code SPS Ch. 321.

SECTION 3. All ordinances, or parts of ordinances, in conflict herewith are hereby repealed.

SECTION 4. Effective date. This ordinance shall take effect on and after its passage and publication.

Dated at Green Bay, Wisconsin this _____ day of _____, 2019.

APPROVED:

Mayor

ATTEST:

Clerk

LJM

10/01/2019



Report to the
Protection and Policy Committee
of the City of Green Bay

MEETING DATE

September 23, 2019

PREPARED BY

AGENDA ITEM # D.5.

Consideration with possible action on an appeal by Carlos Morales at 525 Victoria St. regarding his re-inspection fees.

BACKGROUND

RECOMMENDATION

FISCAL IMPACT

ATTACHMENTS

1. sharpscans@greenbaywi.gov_20190913_093532
2. Reinspectionfee_525Victoria
3. sharpscans@greenbaywi.gov_20190919_160949



Report to the
Protection and Policy Committee
of the City of Green Bay

MEETING DATE

September 23, 2019

PREPARED BY

AGENDA ITEM # D.6.

Consideration with possible action on a request by Ald. Brian Johnson to review internal policies related to recording orders made on properties to ensure documented transfer when ownership changes.

BACKGROUND

RECOMMENDATION

FISCAL IMPACT

ATTACHMENTS

- I. Protection



PETITIONS AND COMMUNICATIONS FORM
COMMON COUNCIL
CITY OF GREEN BAY

Date of Council Meeting: 09-17-19

Request of Alderperson Brian Johnson

Refer to: Protection & Policy

Please state clearly the action requested. Requests should be turned in at the City Clerk's Office by 10:00 AM on the Thursday before a Council meeting. For late communications, present this form to the City Clerk after the request is read.

To review internal policies related to recording orders made on properties to ensure ~~transfer~~ documented transfer when ownership changes.



Report to the
Protection and Policy Committee
of the City of Green Bay

MEETING DATE

September 23, 2019

PREPARED BY

AGENDA ITEM # D.7.

Consideration with possible action on a request by Ald. Steuer to revisit our city sign ordinance as it pertains to advertising signage on city property, specifically athletic fields and venues.

BACKGROUND

RECOMMENDATION

FISCAL IMPACT

ATTACHMENTS

- I. Law



PETITIONS AND COMMUNICATIONS FORM
COMMON COUNCIL
CITY OF GREEN BAY

Date of Council Meeting: 9-17-19

Request of Alderperson STEUER

Refer to: LAW

Please state clearly the action requested. Requests should be turned in at the City Clerk's Office by 10:00 AM on the Thursday before a Council meeting. For late communications, present this form to the City Clerk after the request is read.

TO REVISIT OUR CITY SIGN ORDINANCE
AS IT PERTAINS TO ADVERTISING
SIGNAGE ON CITY PROPERTY, SPECIFICALLY
ATHLETIC FIELDS and VENUES



Report to the
Protection and Policy Committee
of the City of Green Bay

MEETING DATE

September 23, 2019

PREPARED BY

AGENDA ITEM # E.I.

The Liquor Violation report for the September 23, 2019 meeting.

BACKGROUND

RECOMMENDATION

FISCAL IMPACT

ATTACHMENTS

1. Report September 23 2019
2. 19LiqVio