

Records Retention / Disposition Authorization - Functional

Fiscal and Accounting Records

City of Milwaukee- 041251

GLOBAL RECORD SCHEDULES

Program Description:

This Global Record Schedule is intended to cover fiscal and accounting records in use by all departments, offices, and organizational units of the city of Milwaukee. These records track the receipt, handling, tracking, and disbursement of payments to and from the City of Milwaukee. Providing uniform retention and disposition guidelines for these records reduces duplication of scheduling, duplication in recordkeeping, and updates existing departmental records practices to reflect modern systems and workflows.

Fiscal/Accounting Systems for the City of Milwaukee are largely, though not entirely, centrally managed through the Office of the Comptroller, and so this schedule will, to a large degree, track and supersede existing schedules created or influenced by that office. Payroll Records, which are also managed by the Office of the Comptroller, will be scheduled in a subsequent global schedule.

Laws & Requirements:

The primary statutory basis for retention of most records in this Global schedule is Wis. Stat. §19.21(4)(b). Under Wis. Stat. §16.61(3)(e), the Public Records Board may approve shorter retention periods for public records of municipalities where appropriate; see individual schedules for additional information.

Electronic Systems:

Most City of Milwaukee financial records are managed via Milwaukee's Financial Management Information System (FMIS). FMIS is built on PeopleSoft Internet Architecture, which allows most of the records of original entry to be housed on the application server. Records outside of the system are primarily source documents and reports based on General Ledger data. Many of these documents, including invoices and control group reports, are housed in the Milwaukee City Records Center's E-vault system, which is not directly connected to FMIS other than for metadata purposes.

Although most of these schedules are written with FMIS in mind, some City departments do maintain their financial records outside of the main system. The schedules should be applied identically to any original records being kept outside of FMIS.

Official Records & Copies:

- **Official Record:** A complete, final, and authorized version of a record, often containing an original signature or seal.
- **Working Copies:** Staff may generally destroy rough draft materials that are subsequently finalized and maintained as part of the official record. However, staff should retain significant drafts when needed to document the decision-making process within the official record.
- **Reference or Convenience Copies:** Staff may maintain duplicate or working copies of records described in this schedule for reference and/or convenience purposes. Copies may be retained for as long as needed, but they should not be kept longer than the time specified in the approved RDA for the official record in this schedule. Do not maintain **unnecessary** duplicate copies. When retained for convenience or reference only, copies are considered non-records under Wis. Stat. § 16.61(2). Do **not** send copies to storage or retain them for longer than the retention periods specified for the official copy.

Confidentiality of Records:

Most records are not confidential and are open to public disclosure, however, there are exceptions. This retention schedule 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.

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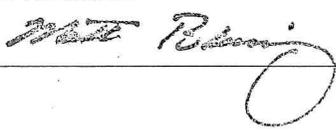
Fiscal and Accounting Records
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 GLOBAL RECORD SCHEDULE

Name of Agency Program Contact or Records Officer: (Provide Name, Telephone and Email) Brad Houston, City Records Officer, 414-286-5478 recmgr@milwaukee.gov
Additional Contact name and telephone number/email address

Approval Signatures

Agency Program Manager (City Comptroller) <i>Angela Lunn</i>	Date (mm/dd/ccyy) 02/14/2018	Agency Records Officer <i>Bob A. Hankin</i>	Date (mm/dd/ccyy) 3/16/18
Additional Signature (City Clerk, On Behalf of CIMC) 	Additional Signature		

PUBLIC RECORDS BOARD APPROVAL: Authorization is contingent on restrictions to record destruction contained in Wis. Stat. § 19.35(5), Open Records Law, and that no records are destroyed if litigation or audit involving these records has commenced or is anticipated.

State Archivist 	Date (mm/dd/ccyy) JUN 11 2018	PRB Executive Secretary <i>Linda Forth</i>	Date (mm/dd/ccyy) 6/25/18
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Approval subject to 10-year sunset per Wis. Stat. § 16.61(4)(c). Action required before: June 2028

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1. RDA # /Status	2. Record Series Title and Description	3. Record Series Year of Creation	4. Medium for Record Storage	5. PII	6. Registry Exempt	7. Confidential/ Access Restricted	8. Essential (opt.)	9. Official Record Location (opt.)	10. Minimum Retention/ Disposition/ Event
11. Fiscal and Accounting Records									
18-0002 New	<p>Fiscal Policies, Procedures, and Manuals New RDA to standardize citywide retention and disposition practices.</p> <p>All written policies and procedures, either City-wide or department wide, pertaining to fiscal administration. These records may take the form of memoranda, rules, orders directives, procedural instructions, regulations, bulletins, notices, and any other instructions issued for managing financial records. Examples of records in this series include FMIS system documentation, the Financials Overview Manual, the City Chart of Accounts, and any department-specific procedures manuals.</p>	1846	Paper or Electronic	No		No	No	Comptroller's Office or Department Admin	<p>EVT + 1 Yr. and Transfer to City Archives for Screening</p> <p>EVT= Superseded</p>
18-0003 New	<p>Routine Status and Activity Reports New RDA to standardize citywide retention and disposition practices.</p> <p>Internal statistical and narrative reports created by a department on the routine operations and functions of a fiscal office, including weekly, monthly and quarterly reports for operations, management analysis and planning. Examples include control group reports, purchasing cross-reference reports, custom process scheduler reports, query printouts, and all other data summaries saved or separated from FMIS.</p>	1846	Paper or Electronic	No		No	No	Department Admin	<p>EVT + 1 Yr. and Destroy</p> <p>EVT= Administrative Value Expires</p>

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11. Fiscal and Accounting Records									
73-0298 Renewal	<p>Audit Reports—Final and Department Response</p> <p>Audit reports are used to inform auditee (Departments, including non-city agencies, where a financial relationship exists, etc.) of its financial and operational activities. Attention is directed to findings with recommendations for correction. Some audit reports are strictly informational to the Common Council such as status updates and Fraud Hotline reports.</p> <p>These records are considered archival by the City of Milwaukee and subject to City Ordinance Ch. 305-32.</p>	1973	Paper or Electronic	No		No	No	Comptroller's Office or Department Admin	<p>CR + 10 Yrs. and Transfer to City Archives at the Legislative Reference Bureau</p> <p>Department Copies: Destroy when no longer needed</p>
18-0004 New	<p>Audit Work Papers and Supporting Documentation</p> <p>New RDA to standardize citywide retention and disposition practices.</p> <p>The records maintained under this schedule are audit work papers and all required documentation per Yellowbook standards, which are detailed information and data upon which audit reports, the annual audit plan, and the fraud hotline report is based. Required documentation includes audit file workpapers, continuing education required certificates, and any other required documentation for compliance with Generally Accepted Government Auditing Standards.</p>	1846	Paper or Electronic	No		No	No	Comptroller's Office-Audit Division	CR + 7 Yrs. and Destroy

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11. Fiscal and Accounting Records									
18-0005 New	<p>Reconciliation Working Documents New RDA to standardize citywide retention and disposition practices.</p> <p>Intermediate fiscal records of receipts and disbursements used to reconcile accounts, including spread sheets, proof sheets or trial balance work sheets, abstracts of receipts, disbursements, or claims, and other supporting documents related to voucher or procard transactions.</p>	1846	Paper or Electronic	No		No	No	Comptroller's Office/FMIS	CR + 7 Yrs. and Destroy
85-0157 Amend	<p>Comprehensive Annual Financial Report</p> <p>Annual statement of revenues and expenditures for the City of Milwaukee, as well as independent examination of the financial status of the City. The CAFR covers the actual financial activity of the year to which it pertains, vs. the prospective spending and revenues of the following year represented in the City Budget.</p>	1985	Electronic	No		No	No	Comptroller's Office	CR + 3 Yrs. and Transfer to City Archives at the Legislative Reference Bureau <i>Department Copies: Destroy when no longer needed</i>

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11. Fiscal and Accounting Records									
18-0006 New	<p>City Budget (Final and Proposed) New RDA to standardize citywide retention and disposition practices.</p> <p>Executive Budget for the City of Milwaukee, comprising a description of the total anticipated revenues for the upcoming fiscal year and a breakdown of the appropriation of those funds by department and line-item. The full budget includes a budget forecast for Milwaukee; detailed narrative descriptions of each department's mission, services, outcome measures and related activities; and a summary of appropriations by expenditure category.</p> <p>For each fiscal year, a budget packet is produced consisting of the line-item budget proposed by the mayor, the department descriptions and allocation summaries, and the adopted budget following amendments from Common Council. Some years also include a summary of the capital improvement plan to be adopted by the City over the next 5-6 years. All of these iterations have historic value and should be retained permanently.</p>	1846	Electronic	No		No	No	Budget Management Office	CR + 3 Yrs. and Transfer to the City Archives at the Legislative Reference Bureau <i>Department Copies: Destroy when no longer needed</i>
93-0004 Amend	<p>Department Budget Review Summaries</p> <p>Summaries, prepared for Common Council Review, of the major activities and budget requests for the upcoming fiscal year. These summaries consist of both the slide deck for the formal presentation made to the Finance and Personnel Committee by the department itself and of the Legislative Reference Bureau Staff Analysis of each year's proposed executive budget. The summaries and analyses provide a record of the impact of the mayor's budget proposal.</p> <p>NOTE: Versions of these presentations and analyses are also attached to the Common Council legislative file for the related budget.</p>	1993	Paper or Electronic	No		No	No	Legislative Reference Bureau, Budget Management Office, and Departmental Admin	EVT + 4 Yrs. and Transfer to the City Archives at the Legislative Reference Bureau EVT= Conclusion of budget process <i>Department Copies: FIS + 2 Yrs. and Destroy</i>

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11. Fiscal and Accounting Records									
18-0007 New	<p>Departmental Budget and Appropriation Requests New RDA to standardize citywide retention and disposition practices.</p> <p>Requests from individual departments for appropriations from the master city budget for the upcoming fiscal year, along with justifications and program descriptions. These requests are submitted as standard forms (BMD-2 and BMD-2a) maintained by the office of Budget and Management, and used in the preparation of allocations in the proposed budget presented to Common Council. Also included in this series are non-required forms for special funding requests or circumstances, such as Special Purpose Account Requests, Grant and Aid budget requests, Carryover fund requests, and Capital Request Forms.</p> <p>Approved elements are included in the text of the budget document, but it may be useful for departments to retain the appropriation requests for appeal/amendment purposes.</p>	1846	Electronic	No		No	No	Budget Management Office, Comptroller's Office and Department Admin	<p>Comptroller & Budget Office: EVT + 7 Yrs. and Destroy</p> <p>EVT= Conclusion of the Budget Process</p> <p><i>Department Copies: FIS + 2 Yrs. and Destroy</i></p>
02-0016 Amend	<p>Accounts Payable</p> <p>Records related to the purchase of goods or services. May include approved claims, procurement record checklists, purchase orders, and other payment history records, invoice requests, merchandise receipts, vendor invoices, agency vouchers, service reports, and other supporting documentation. Also includes records used by accounts payable to track and monitor the claims and payment process on a daily basis, including manual and automated logs, registers, listings and related records.</p> <p>This record series includes Control Group Reports generated from the FMIS system along with accompanying invoices received by all city departments. This</p>	1846	Paper or Electronic	No		No	No	Comptroller's Office and Department Admin These records may be stored on E-Vault in the City Records Center for part or all of their lifecycle	<p>Comptroller: FIS + 8 Yrs. and Destroy</p> <p>Departments: EVT (documents submitted to Comptroller) + 6 Months</p>

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11. Fiscal and Accounting Records									
	includes the records for Procard Payments and Petty Cash, for purchases under \$5,000 and \$100, respectively.								
18-0008 New	<p>Accounts Receivable New RDA to standardize citywide retention and disposition practices.</p> <p>Records related to the receipt of funds for goods or services provided. These may include, but are not limited to, 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, and other accounts receivable documentation.</p>	1846	Paper or Electronic	No		No	No	Department Admin	FIS + 8 Yrs. and Destroy
02-0017 Amend	<p>Interdepartmental Requisitions and Invoices (IRIs)</p> <p>IRIs are issued from one City department to another for collection of payment for goods and services. The IRI includes accounting information, transaction charges, department info, and supporting documents related to transactions. IRIs are received by a department, prepared for payment and forwarded to the Comptroller's Office for processing. The completed IRIs are scanned and maintained in E-Vault for the length of their retention period.</p>	1846	Paper or Electronic	No		No	No	Comptroller's Office and Departmental Admin These records may be stored on E-Vault in the City Records Center for part or all of their lifecycle	<p>Comptroller: FIS + 7 years and Destroy</p> <p>Departments: FIS + 1 Yr. and Destroy</p>

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11. Fiscal and Accounting Records									
18-0009 New	<p>Credit Card Receipts and Other Information Received From Sales New RDA to standardize citywide retention and disposition practices.</p> <p>Credit Card receipts and related documentation associated with credit card transactions. These records should be encrypted or otherwise protected to comply with PCI privacy standards.</p>	1846	Paper or Electronic	No		No	No	Departmental Admin	EVT + 3 Yrs. and Destroy Event: Date of Transaction
18-0010 New	<p>Cash Management Administrative Records New RDA to standardize citywide retention and disposition practices.</p> <p>Records used to track ongoing cash inflow and outflow, including daily deposit records, cash receipts, reports on cash received by the Treasurer's Office and other departments, bank statements, cash books, daily cash register receipts and reconciliation, and related documentation. Also included in this series are records related to investment portfolio management of all City units. This series also includes correspondence and other administrative supporting documentation not otherwise scheduled.</p> <p>Records in this series may be scanned and maintained in financial management systems, including FMIS and department-specific systems. Paper records scanned in this manner should be retained for 3 months after scanning for quality control purposes, then destroyed.</p>	1846	Electronic	No		No	No	Comptroller/ FMIS and Departmental Admin	<p>Comptroller: FIS + 7 Yrs. and Destroy</p> <p>Departments: FIS + 3 Yrs. and Destroy</p>

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11. Fiscal and Accounting Records									
18-0011 New	<p>Checks (Cancelled) New RDA to standardize citywide retention and disposition practices.</p> <p>Images of checks issued and paid by the Treasurer's Office, provided by the City of Milwaukee's working bank and retained as proof of payment and to provide copies as needed.</p>	1846	Electronic	Yes	No	No	No	Treasurer's Office/ Contractor Secure Server	FIS + 7 Yrs. and Destroy Confidential
18-0012 New	<p>Checks (Received) New RDA to standardize citywide retention and disposition practices.</p> <p>Checks received & cashed by city departments in exchange for services rendered or bills issued, including tax bills. Once cashed, these checks are scanned and maintained electronically by the City of Milwaukee's working bank and retained for 2 weeks for quality control purposes before destroying confidentially.</p>	1846	Paper or Electronic	Yes	No	No	No	Departmental Admin/ Treasurer/ Contractor Secure Server	CR + 3 Yrs. and Destroy Confidential
18-0013 New	<p>Request to Transfer Funds New RDA to standardize citywide retention and disposition practices.</p> <p>Forms and related documentation to transfer allocated funds between accounts, usually within divisions. When the transfer is approved, the city financial system will update each account based on the final form.</p>	1846	Paper or Electronic	No		No	No	Comptroller /FMIS	FIS + 3 Yrs. and Destroy

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11. Fiscal and Accounting Records									
18-0014 New	<p>Journal Entries New RDA to standardize citywide retention and disposition practices.</p> <p>Financial vehicle used to track revenue and expenditures of City departments, including both receipt and voucher/order entries. These entries are posted to the general ledger once the transactions they describe have completed. Records may include, but are not limited to, internal transfers (chargebacks), payment transfers, revenue transfers, budget transfers, and budget entries for projects. Also included is documentation supporting the allocation of procard expenditures, as well as supporting documentation for project budgets.</p>	1846	Paper or Electronic	No		No	No	Comptroller / FMIS or individual dept. financial systems	FIS + 15 Yrs. and Destroy
18-0015 New	<p>General Ledger New RDA to standardize citywide retention and disposition practices.</p> <p>The general ledger summarizes the transactions from the Journal entries to provide information on the status of City financial transactions against the adopted/approved budget. This information is currently maintained in its official form within the Financial Management Information System, under legal custody of the Comptroller and physical custody of Information Technology. Some departments, such as the Department of City Development or Milwaukee Water Works, may also maintain ledgers of funds managed by quasi-city agencies such as the Milwaukee Housing Authority.</p>	1846	Electronic	No		No	Yes	Comptroller /FMIS or individual dept. financial systems	FIS + 1 Yr. and Transfer to City Archives at City Records Center (E-vault)

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11. Fiscal and Accounting Records									
18-0016 New	<p>Capital and Non-Capital Equipment Inventories New RDA to standardize citywide retention and disposition practices.</p> <p>Records include running inventories of capital equipment such as motor vehicles, audio-visual equipment, computers, printing and mailing equipment, production copiers, tools lab equipment, furniture, etc., that describe each piece of property, denote its location, and provide totals of each type of equipment owned by City Departments.</p> <p>Also included are the same types of inventories for non-capital equipment such as office supplies, computers, commodities, parts, and materials.</p>	1846	Paper or Electronic	No		No	No	Department Admin	FIS + 4 Yrs. and Destroy
18-0017 New	<p>Request for Disposal of Scrap, Surplus, or Obsolete Material New RDA to standardize citywide retention and disposition practices.</p> <p>Records that identify surplus property and track the disposition of property. These records include requests for disposal of surplus property, receipts, copies of reporting forms and supporting documentation that describes the property and the proposed method of disposition. The records might also include acquisition information, depreciation schedules and other reports related to the property/asset being disposed.</p>	1846	Paper or Electronic	No		No	No	Department Admin	FIS + 4 Yrs. and Destroy

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11. Fiscal and Accounting Records									
18-0018 New	<p>Trial Balance and Transaction Reports New RDA to standardize citywide retention and disposition practices.</p> <p>Report generated from FMIS or other accounting system, run at the end of each biweekly period and the end of each fiscal year to verify that the total of all debits in the general ledger equals the total of all credits. The report is used to correct errors from fund mismatches or other mathematical errors to bring the fund balances in line with Generally Accepted Accounting Principles.</p> <p>The end-of-year adjusted trial balance is critical for an accurate accounting of city cash flow and is used extensively in audits of fiscal bookkeeping. As such, they should be retained permanently with the General Ledger to which they pertain.</p>	1846	Electronic	No		No	No	Comptroller / FMIS and Department Admin	<p>Comptroller: FIS + 1 Yr. and Transfer to City Archives at City Records Center (E-vault)</p> <p>Departments: CR + 1 Yr. and Destroy</p>

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Related Records Series or Statewide General Records Schedules (GRS) Follow the retention provisions specified in applicable approved agency specific retention schedules and Statewide General Records Schedules. <i>Note: information only</i>		
RDA Number	Record Series Title and Description	Notes/Comments

Closed/Superseded Series <i>Note: information only</i>			
RDA Number	Record Series Title	Status	Notes/Comments

Instructions for the Records Retention Schedule

Header

Program Title (r)¹

Identify the title of the program that creates and/or is responsible for the records.

Agency Name (r)

Identify the entity that has legal custody of the records, using correct names. Do not use acronyms or abbreviations.

Agency # (r)

- **State Agency:** Use the three-digit agency appropriation code assigned by Wis. Stat. § 20.005.
- **University of Wisconsin:** Use the three-digit statutory code (285) together with the alphabetical code assigned to the institution.
- **Local Units of Government, Other Entities:** Please contact PRB Staff.
- **Board/Commission:** The Records Officer may assign an additional alphabetical character to autonomous entities that are attached to an agency.

Division name (r)

Identify the division that creates and receives the records. Do not use acronyms or abbreviations

Subdivision/Bureau/Program/Office (o)

Identify the subdivision, bureau, program, or office that creates and receives the records. Do not use acronyms or abbreviations

Unit number (o)

- Indicate the business unit # which has ownership and financial responsibility for records in this series if applicable.
- University of Wisconsin: Use the 6-digit UDDS # that the UW uses for accounting and budgetary purposes.

Program Description (r):

Give an overall summary and describe the who, what, and why of the program. It may also be helpful to include information about the program history and organization.

Laws and Requirements (o):

List Federal, State, Local laws, and/or Administrative Rules, including titles, that pertain to the program as a whole; include section/code number and title, if none, enter N/A. If applicable, record series specific laws should be included within individual RDA.

Electronic Systems (r)

Briefly describe computer program(s)/applications used within the program area. If not applicable, enter N/A. Note, it is not necessary to describe the basic MS Office programs in use.

For additional information and assistance implementing this retention schedule, contact (r):

Provide the name, telephone number and email address for the agency's statutorily-designated Records Officer or other program contact, who may be contacted for further information regarding the record series.

Approval Signatures (r):

The Agency Records Officer, and at least one other agency official, such as the Agency Program Manager, Risk Manager, Legal Counsel, and/or the Legal Custodian of Records, must review, approve, and sign the RDA before submitting it to the PRB for approval. Prior to implementation, PRB approval and signature by the State Archivist are both required.

Functional Schedule Table:

1. RDA # / Status (r)

- a. **Retention/Disposition Authorization (RDA) # & Status:**

Prior to submission to the Public Records Board (PRB) for approval, every RDA must have a unique, sequential number. Agency Records Officers assign this number which is subject to PRB approval.

 - The Records Officer must review past RDAs and then assign a number to new RDAs which has never been used.
 - A suffix is not used for most records series. It is an optional alphabetical character that may be added to the end of the RDA number when used to indicate different retention periods, media, or dispositions for all or portions of the same records series.
- b. **RDA Status: Indicate if the RDA is:**
 - NEW: Request for approval of an RDA with a number that has never been submitted to the PRB. In the description, provide the reason for the creation of the RDA, for example: program re-organization, records identified during agency review, or brand new records being created.
 - AMENDED: Request for approval of a change to an RDA that previously was approved by the PRB. Any revision to an RDA triggers amended status. Use existing RDA number.
 - RENEWAL: The RDA has sunset and is being renewed without amendments. RDA's automatically sunset every 10 years, per Wis. Stat. § 16.61(4)(c). Use existing RDA number.

2. RDA Title / Description (r)

- a. **Records Series Title:**
 - Assign a descriptive title to the records series. Be certain that agency employees will be able to accurately identify the records series from its title. Do not use abbreviations or acronyms.
- b. **Records Series Description:**
 - The description is the most important section of the RDA. It informs the PRB, and others who are unfamiliar with the records series, what information is contained in the series, the business purpose for the information, and the reasons why the series was created and/or received by the agency.
 - May include relevant statutory, rule citations, or other legal authority in order to clarify the content of the records and the authorization to

¹ Optional fields are marked with an (o); required fields are marked with an (r).

Instructions for the Records Retention Schedule

create them. Additional information may be included as needed for employees to manage the records, such as providing guidance regarding who is custodian of the records within the series or conditions that must be met prior to disposition, as well as the relationship to any other record series.

- If requesting approval of a new RDA, provide the reason for the creation of the RDA. For example: program re-organization, records identified during agency review, or brand new records being created.
- "Record series" is defined by Wis. Stat. § 16.61(2)(c).

3. **Records Series Year of Creation (r)**

This is the year the agency first began creating or receiving records in this series. If the precise year is unknown, then provide an estimate.

4. **Medium for Records Storage (r)**

Indicate all the media on which the records are stored such as paper, electronic/digital, microform, or other, e.g. audio, film, or video.

5. **Records Contain Personally Identifiable Information (r)**

- Enter Y (Yes) or N (No)
Wisconsin law requires authorities to specifically identify records series that contain personally identifiable information (PII). PII is defined in Wis. Stat. §19.62(5) as information that can be associated with a particular individual through one or more identifiers or other information or circumstances. Examples of PII include, but are not limited to, a person's name plus social security number or driver's license number. If the records associated with this RDA must be destroyed confidentially due to PII content, indicate yes even if some, but not all, of the records included in the RDA contain PII. If YES, complete #6. If NO, do not complete #6.

6. **Personally Identifiable Registry (r)**

- Enter Y (Yes) or N (No)
Pursuant to Wis. Stat. §16.61(3)(u), the Public Records Board shall create a registry describing records that contain PII. The law specifies that records containing the following information shall not be included in the Registry:

- a. Any records series that contains the results of a matching program, as defined in Wis. Stat. §19.62 (3), if the state agency using the records series destroys the records series within one year after the records series was created;
- b. Mailing lists;
- c. Telephone directories;
- d. Records series pertaining exclusively to employees of a state agency;
- e. Records series specified by the board that contain personally identifiable information incidental to the primary purpose for which

the records series was created, such as the name of a salesperson or a vendor in a records series of purchase orders; and,

- f. Records series relating to procurement or budgeting by a state agency.

If the records associated with this RDA are derived from any of the information stated immediately above in a. through f., indicate YES. Note: When this column is marked YES, the information in this RDA will be excluded from the PII Registry. When marked NO, the information in this RDA will be included in the PII Registry.

7. **Records Series is Confidential or Access is Limited (r)**

- Enter Y (Yes) or N (No)
- Indicate "yes" only if a specific statute, administrative rule, or other legal authority requires that all, or some, information in the record series be kept confidential or protected from public access. If "yes" is checked, identify the relevant statute, code, or other legal authority.
- Some, but not all, personally identifiable information (PII) is confidential. At the same time, records that do not contain PII may be required by law to be kept confidential or have limited access.
- For purposes of record retention and destruction, Wisconsin's Public Records Law and related statutes govern public access to records including certain confidentiality provisions.

8. **Essential (o)**

- Enter Y (Yes) or N (No)
Records needed for the Continuity of Operations (COOP) during and following an emergency. These are records an agency must have to perform one or more of the following critical functions: operate during an emergency; resume or continue business after an emergency; re-establish the legal, financial, and/or functional status of the agency; rebuild the community after the crisis passes.

9. **Official Record Location (o)**

Every agency has to decide which document is their official record and subsequently which one must be managed by the RDA. How a record is generated and whether or not it is a copy (photocopied, imaged, in a certain media) is not as important as being able to authenticate its originality. Indicate the location of the official record.

10. **Retention / Disposition (r)**

a. **Retention Time Period:** SPECIFY AN ACTUAL TIME-PERIOD. Enter the number of years, months, weeks, or "Permanent" to indicate period of time for retaining the records. "Permanent" means that the records need to be maintained permanently by the creating agency. See the

Instructions for the Records Retention Schedule

Guidelines for the Permanent Retention of Records.

- In the description provide specific justification to the PRB for the proposed retention time-period. Examples of appropriate justification include, but are not limited to: citation of controlling statutes or administrative rules, consistency with related retention schedules, audit or fiscal requirements, or end of business need.
 - If a retention time-period is required by law, cite the relevant statute, administrative rule, or other legal authority in the description.
- b. **Event:** Indicate the specific event that must occur in order to initiate the retention time-period. Identify this event using one of the following terms:
- **CR:** If creation of the record initiates the retention time-period.
 - **FIS:** The retention time-period is initiated by the end of a fiscal year, these records must be kept through the end of the Fiscal Year.
 - **Other:** If a specific event other than "CR" or "FIS" initiates the retention time-period, use "other". You must also state the event. You may provide a detailed description of the event within the Records Series Description if more space is needed.
- c. **Disposition:** Indicate the disposition of the records after the retention time-period has expired. Only one disposition may be listed. Dispositions are:
- Destroy
 - Destroy confidential
 - Transfer to State Archives (WHS)
 - Transfer to Other Location (Specify)
 - Transfer to UW Archives
- Indicate "Destroy Confidential" if the record series contains personally identifiable information (PII, see # 5), of the record's access is restricted by law (see # 7). If a record series is marked as "destroy Confidential," then the record destruction shall comply with all relevant legal requirements.

11. **Program area (o)**

A descriptive name for the functional grouping of records.

Reference Information:

Related Records Series or Statewide General Records Schedules (GRS) (o)

List any agency records schedules or statewide General Records Schedules (GRS) that relate to the program.

Closed/Superseded Series (o)

List closed/superseded series that relate to the program described in the functional schedule. These series are

included for agency reference purposes only. To close or supersede a schedule, complete form [DOA-3806](#).

Revision History (o)

List any revisions to the schedule; include the RDA number that was revised, the series title, and the action taken.

Contact information: for records management training and assistance, please contact the Wisconsin Department of Administration, Records Management Section, by telephone at: (608) 266-2995. Many records management resources are available at the Public Records Board website: <http://publicrecordsboard.wi.gov>

Here are three helpful documents:

- a. [Statewide General Records Schedules](#)
- b. [Wis. Admin. Code ch. Admin 12](#)
- c. [Records Management Fact Sheets](#)