

## Records Retention / Disposition Authorization - Functional

### Personnel Records

#### City of Milwaukee 041251

#### Citywide Global Schedules | 900

**Program Description:** Records related to Personnel functions for City of Milwaukee Employees, including hiring process, activity files, professional development, workers compensation and safety, medical files, discipline, and other non-payroll related records. This global schedule is intended primarily, though not exclusively, for personnel representatives working in City of Milwaukee functional departments and their records, rather than for records maintained by the Department of Employee Relations (DER). If a schedule for that department appears to be for a record series found on this document, DER personnel should use the DER-specific schedule.

**Laws & Requirements:** The type of records that are maintained in reference to City Employees are defined by numerous legal and industry requirements, notably 29 CFR Part 516 (Fair Labor Standards Act Records to be Kept By Employers) and Wisconsin Administrative Code Chapter DWD 272. The main confidentiality requirement for Personnel records is found in Wis. Stat. § 19.36(10), although notification requirements in § 19.356 may also apply in some cases. Medical-related records are additionally protected by Wis. Stat. § 146.82 and its federal equivalent, the Health Insurance Portability and Accountability Act of 1996. Some records may relate to student internships with city departments and are additionally protected by the Family Educational Rights and Privacy Act (FERPA).

**Electronic Systems:** The City of Milwaukee primarily uses Oracle PeopleSoft to maintain official records of City Employees, but departmental representatives may use a variety of other systems, including JobAps (hiring process), City Active Directory servers, and the City Records Center's E-Vault document management system.

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

#### Approval Signatures

<b>Agency Program Manager</b>	DocuSigned by: <i>Jim Owczarski</i> 0E13F3D93606452...	<b>Date (mm/dd/ccyy)</b> 5/24/2023	<b>Agency Records Office</b>	DocuSigned by: <i>Brad Houston</i> B81D2AE2C81E489...	<b>Date (mm/dd/ccyy)</b> 5/24/2023
<b>Additional Signature</b>			<b>Additional Signature</b>		

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.

<b>State Archivist</b>	<i>Aliquid Nubly</i>	<b>Date (mm/dd/ccyy)</b> JUN 13 2023	<b>PRB Executive Secretary</b>	<i>Tom Brennan</i>	<b>Date (mm/dd/ccyy)</b> 6/13/23
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Approval subject to 10-year sunset per Wis. Stat. § 16.61(4)(c). Action required before: June 2033

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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
<b>11. Personnel</b>									
11-0019 Amended	<b>ADA Discrimination Files</b>  ADA (Americans with Disabilities Act) discrimination records concern claims of discrimination on the basis of disability, and include documentation regarding reasonable accommodation requests and other materials.  See also 11-0034 Litigation Files for litigated ADA claims and 11-0036 Personnel Files- Medical. NOTE: This applies to City Departments, but not the files of the City Attorney's Office. Official Litigation Case Files are maintained under a different schedule in the Office of the City Attorney.	1990	Paper Electronic	Y	N	Yes-Wis. Stat. §19.36 (10)(a)	N	Dept. Office	EVT (Date of closure or disposition of case) + 8 yrs.  Destroy Confidential
11-0022 Renewal	<b>Classification File</b>  This record series includes departmental request for classification review of positions and reorganization requests, related documentation including justification and analysis, job descriptions, job analysis questionnaires, and organization charts, and final classification reports. Official notification of promotion after reclassification action should be kept in 11-0035 Personnel File.	2003	Paper Electronic	N		No	N	Dept. Office	EVT (Final Decision) + 10 yrs.  Destroy
11-0023 Renewal	<b>Collective Bargaining &amp; Labor Contract Case Files</b>  Records created in preparation for contract negotiations, interpretation/clarification of contract language, and other collective bargaining related records created by city departments. NOTE: This applies to City Departments, but not the files of the City Attorney's Office.	1992	Paper Electronic	N		No	N	Dept. Office	EVT (Contract is implemented) + 10 yrs.  Transfer to City Archives at

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<b>11. Personnel</b>									
	Official Litigation Case Files are maintained under a different schedule in the Office of the City Attorney.								Milwaukee Public Library
19-0003 Renewal	<p><b>Department Employee History Cards</b></p> <p>Record of an employee's history with the City of Milwaukee and constituent departments, including information about job title, date of appointment, rate of pay, unpaid time off, and termination/retirement. In addition to the City Service history card maintained by the Department of Employee Relations Schedule 09-0025, several major departments, including the Milwaukee Health Department, the Fire and Police Commission, and the Department of Public Works, also maintained these records for their employees. The departmental cards either supplemented or replaced the information on the City Service cards, and are of ongoing administrative value for pension calculations, as well as for historical reasons. Records under this schedule may be digitized; images will constitute the official record and will be maintained according to requirements in Wis. Stats §137.20 and 16.61(7).</p>	1858	Paper Electronic Microfilm	Y	N	Yes-Wis. Stat. §19.36 (10)(a)	N	Dept. Office	EVT (Separation from employment)  Transfer to City Archives at the City of Milwaukee Records Center
11-0024 Renewal	<p><b>EEO/AA Plans</b></p> <p>General city departments prepare Equal Employment Opportunity/Affirmative Action (EEO/AA) reports that include departmental workforce, utilization of women and minorities, analysis of new hires and promotions, training information, disciplinary data analysis and ADA (Americans with Disabilities Act) reasonable accommodations. All plans</p>	1965	Paper Electronic	N		No	N	Municipal Research Library  Dept. (Reference only)	FIS + 4 yrs.  Transfer to Milwaukee Municipal Research Library

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<b>11. Personnel</b>									
	are submitted to the Department of Employee Relations as well as the Milwaukee Municipal Research Library.								
11-0025 Renewal	<b>EEO/ERD Complaint Files</b>  Equal Employment Opportunity/Equal Rights Division (EEO/ERD) complaints are filed by employees alleging discrimination, retaliation, or harassment based on violations of protected classes of individuals. This schedule includes records created or summarized to respond to complaints of discrimination. NOTE: This applies to City Departments, but not the files of the City Attorney's Office. Official Litigation Case Files are maintained under a different schedule in the Office of the City Attorney.	1965	Paper Electronic	Y	N	No	N	Dept. Office	EVT (Final disposition of charge) + 7 yrs.  Destroy Confidential
19-0040 Renewal	<b>Employee Exposure Records</b>  Records of employee exposure to workplace hazards, including chemical, excessive noise, radiation, asbestos, and lead. The series includes a report on the specifics of the incident and any City-created form, report, or record that relates to the incident; also included are personal exposure samples, wipe samples, bulk samples, and reports/inspections of activities related to actual or potential exposures.  Exposure records must be kept for 30 years following the exposure and subsequent investigation, per requirements listed in OSHA 29 CFR § 1910.120. For policies and procedures related to employee exposure, use Schedule 11-0037 Safety Records. For original versions of employee medical records, use Schedule 11-0036 Personnel Files- Medical.	1971	Paper Electronic Microfilm	Y	N	Yes-- Wis. Stats. §§ 19.36 (10)(a) and 146.82	N	Dept. Office	EVT (Exposure) + 30 yrs.  Destroy Confidential

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<b>11. Personnel</b>									
11-0027 Renewal	<b>Employment Applications/Resumes- Unsolicited</b>  These records include letters and resumes from persons expressing interest in permanent, project, or limited term positions with the City of Milwaukee.	1950	Paper Electronic	Y	N	Yes--Wis. Stat. §19.36 (10)(a)	N	Dept. Office	FIS + 6 mo.  Destroy Confidential
11-0038 Renewal	<b>Employment Background Investigation Documentation- Candidates Hired</b>  Background investigation documentation for candidates who were hired include traffic records check, arrest and conviction records, consumer credit reports, as well as other background investigation information received or prepared in relation to applicants appointed or promoted.	1960	Paper Electronic	Y	N	Yes--Wis. Stat. §19.36 (10)(a)	N	Dept. Office	EVT (Results Received) + 7 yrs.  Destroy Confidential
11-0028 Renewal	<b>Exit Interview Records</b>  These records document and address issues and concerns both negative and positive of employees who are leaving the City service. Exit interviews and related records should not be included in the official personnel file.	2011	Paper Electronic	N		No	N	Dept. Office	EVT (Date of separation) + 7 yrs.  Destroy
11-0021 Renewal	<b>Grievance Arbitration Documentations- Contract Interpretation</b>  Documentation related to grievances and grievance arbitration awards dealing with contract interpretation issues establishing the terms under which departments and the City will operate under specific provisions of the contract. Original Arbitration Awards are maintained under separate	1978	Paper Electronic	N		No	N	Dept. Office	EVT (Disposition of Case) + 3 years Destroy

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<b>11. Personnel</b>									
	<p>schedules by the Department of Employee Relations Labor Relations Division and/or the City Attorney's Office, dependent upon the nature of the award.</p> <p>This series should be used for the departmental version of any contract-related grievance; the official record is maintained by the Labor Relations division under RRDA #18-0067.</p>								
11-0020 Renewal	<p><b>Grievance Arbitration Documentations- Discipline</b></p> <p>Documentation related to grievances and arbitration awards for issuance and implementation of disciplinary action under the terms of contracts. Original Arbitration Awards are maintained under separate schedules by the Department of Employee Relations Labor Relations Division and/or the City Attorney's Office, dependent upon the nature of the award.</p> <p>This series should be used for the departmental version of any discipline-related grievance; the official record is maintained by the Labor Relations division under RRDA #18-0065 and 18-0066.</p>	1978	Paper Electronic	Y	N	Yes-Wis. Stat. §19.36 (10)(a)	N	Dept. Office	EVT (Date of resolution) + 7 yrs.  Destroy Confidential
76-0117 Renewal	<p><b>Injury Reports: OSHA 300A, 301-EB-49, 300</b></p> <p>The Occupational Safety &amp; Health Administration form OSHA 300A Summary of Work Related Injuries and Illnesses; Form 301 (EB49) Injury and Illness Report; and Form 300 Log of Work Related Injuries and Illnesses are included under this series. (These forms were previously known as Injury &amp; Illness Record, OSHA-100, 102 &amp; CA-49.) This record series also includes a log, summary and incident report of work related</p>	1971	Paper Electronic Microfilm	Y	N	Yes-Wis. Stat. §19.36 (10)(a)	N	Dept. of Employee Relations  Dept. Office- Reference Only	FIS + 7 yrs.  Destroy Confidential

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<b>11. Personnel</b>									
	injuries and illnesses of City employees. The Department of Employee Relations receives the official record of these forms from each City of Milwaukee Department for compliance with state and federal agencies and workers compensation injury laws.								
19-0069 Renewal	<b>Internship Application (Unsuccessful)</b>  Application files for internships in all city departments, which are used to evaluate applicants and determine intern placements. Applications may include, but are not limited to, resumes, cover letters, writing samples, evaluation forms, and other materials relating to each application. Application materials from successful applicants are to be transferred to schedule 19-0048 Internship Files.	1960	Paper Electronic	Y	N	Yes-Wis. Stat. §19.36 (10)(a)	N	Dept. Office	EVT (Close of application process) + 2 yrs.  Destroy Confidential
19-0048 Renewal	<b>Internship Files</b>  These records pertain to interns working in City departments, paid or unpaid. Internships are typically, though not always, undertaken as part of undergraduate or graduate study. Files may include, but are not limited to, resumes, applications cover letters, writing samples, research conducted for the office as part of the internship, evaluation forms, background check records, placement records, records related to assignment of college credit, letters of recommendation, and other items related to work done.	1960	Paper Electronic	Y	N	Yes-Wis. Stat. §19.36 (10)(a)  FERPA (Family Educational Rights Privacy Act of 1974)	N	Dept. Office	EVT (End of internship) + 5 yrs.  Destroy Confidential



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<b>11. Personnel</b>									
11-0029 Amended	<b>Hiring Documentation- Not Hired</b> Records related to unsuccessful applicants for city positions evaluated by departmental hiring officers, including interview questions, notes, evaluations, resumes and/or employment applications, including solicited, but not hired; work simulation exercises, scores, reference checks, non-select letters, and any other information used in interviewing and evaluating applicants. Application materials for persons hired are to be placed in 11-0035 Personnel File.	1962	Paper Electronic	Y	N	Yes-Wis. Stat. §19.36 (10)(a)	N	Dept. Office	EVT (Date of Hire or Date of Personnel Action to which Record Relates) + 4 yrs.  Destroy Confidential
11-0030 Amended	<b>Investigation and Disciplinary Files</b> Notes, witness statements, evidence, reports, and other documentation created and maintained in connection with internal investigation involving an employee. The series also includes documents that are related to formal disciplinary action, such as suspension notices and warning letters.	1978	Paper Electronic	Y	N	Yes-Wis. Stat. §19.36 (10)(a)	N	Dept. Office	EVT (Closure of investigation) + 7 yrs.  Destroy Confidential
11-0031 Amended	<b>Recruitment and Hiring File-General</b> Records of the hiring process for a position with the City of Milwaukee, including the request to staff position, special rate letters, job announcements, classification studies and actions, active eligible lists for the position, primary versions of oral and written examinations, evaluation forms and documentation, transfer/promotion documentation (if applicable), and correspondence with applicants. Information pertaining to	1962	Paper Electronic	Y	N	Yes-Wis. Stat. §19.36 (10)(a)	N	Dept. Office	EVT (Date of hire or personnel action to which record relates) + 4 yrs.  Destroy

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<b>11. Personnel</b>									
	specific applicants or hires should be maintained with RRDA# 11-0029 (Hiring Documentation-Not Hired) or 11-0035 (Personnel File), as appropriate.								Confidential
11-0033 Renewal	<b>Layoff Plans</b> Layoff plans approved by the Civil Service Commission (CSC), and any other documentation that details or explains the layoff as it impacts specific employees or groups of employees are maintained with Civil Service Commission Meeting Minutes. Any department records related to layoff plans not formally submitted to CSC are included in this schedule.	2011	Paper Electronic	N		No	N	Milwaukee Municipal Research Library  (Dept. Office for Reference)	EVT (Date of Implementation or Cancellation) + 7 yrs  Transfer to Milwaukee Municipal Research Library
11-0034 Renewal	<b>Litigation Files</b> Record related to discrimination or other HR-related cases in which the City is party to a claim or lawsuit. These records may include statements or allegations, correspondence, investigative reports which state the decision made, appendices and other materials gathered as evidence in discrimination cases. See Also: 11-0019 ADA Discrimination Files Records (Americans with Disabilities Act) concerning claims of discrimination on the basis of disability.	2011	Paper Electronic	Y	N	Yes-Wis. Stat. §19.36 (10)(a)	N	Dept. Office	EVT (Date of closure Or final disposition of charge) + 8 yrs.  Destroy Confidential
11-0035 Amended	<b>Personnel File</b> All non-medical records related to an employee's term of employment with the city of Milwaukee.		Paper Electronic	Y	N	Yes-Wis. Stat. §19.36 (10)(a)	N	Dept. Office	EVT (Separation from service) + 8 yrs.

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<b>11. Personnel</b>									
	Records may include, but are not limited to: application and hiring documentation; job description; appointment letters and special appointment rate letters; probationary period reports and requests for extensions; transfer and promotion documentation; training and employee development-related documentation; favorable occurrences/letters of commendation, recognition & awards; resignation and reference letters; performance improvement plans; certificate of license or professional designations; relocation reimbursement requests; performance improvement plans; non-medical leave documentation, and unemployment information.								Destroy Confidential
11-0036 Amended	<b>Personnel Files- Medical</b> Records related to medical issues faced by employees during their term of employment with the city of Milwaukee. Records may include, but are not limited to: ADA (Americans with Disability Act) compliance documentation records; FMLA (Family Medical Leave Act) applications and certifications; Injury reports, application for sick leave or injury pay, fitness for duty exams & results, return to work documentation, LTD (Long-term Disability) application, sick leave control letters, and other occupational health related records.		Paper Electronic	Y	N	Yes-Wis. Stat. §§19.36 (10)(a) and 146.82	N	Dept. Office	EVT (Separation from service) + 8 yrs.  Destroy Confidential
11-0037 Renewal	<b>Safety Records</b> Safety policies and plans, and other documentation created by City departments to address worker compensation and safety concerns including records related to investigation and follow up to workplace accident investigations, accident prevention measures and other risk management initiatives. This schedule includes training records and may		Paper Electronic	N		No	N	City Archives at Milwaukee Public Library (Dept.	EVT (Superseded) Transfer to City Archives at Milwaukee Public Library

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	also include policies, practices, safety goals and objectives. NOTE: Reports of injuries or related documentation is found under schedule 76-0117- OSHA 300A, 301-EB-EB-49, 300 and 11-0036 Personnel Files-Medical.							Office of Reference)	to be screened for historic value
13-0056 Renewal	<b>USCIS Form I-9 Employment Eligibility Verification</b>  In compliance with the federal law Immigration Reform & Control Act (IRCA), the City is responsible for having all employees complete a Form I-9 to document verification of the identity and employment authorization to work in the United States of each new hire after November 6, 1986. A digital I-9 form is verified by an on-line service. The I-9 form and the documents each employee presents to verify identity and employment authorization is maintained by the hiring authority, e.g. Dept. of Employee Relations, Fire & Police Commission, Milwaukee Police Department, Milwaukee Fire Department.	1986	Paper Electronic	Y	N	Yes-Wis. Stat. §19.36 (10)(a)	N	Dept. Office	The latter of:  EVT (Date of hire) + 3 yrs. Or EVT (Employment Terminated) + 1 yr.  Destroy Confidential
22-0009 NEW	<b>Employee Training Attendance Records</b> New series to conform with State General HR RRDA# HR0000185.  Records related to employee attendance of City-provided training, including both in-person workshops/presentations and asynchronous/web-based training. These records may include information such as employee name, employee department, name and date of training, contact information, and evidence of satisfactory completion of training.	2000	Paper Electronic	Y	Y	Yes-Wis. Stat. §19.36 (10)(a)	N	DER and Dept. Office	EVT (Employment Terminated) + 5 yrs.  Destroy Confidential

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22-0010 NEW	<b>Training Evaluations</b> Written evaluations of courses presented by City Departments for the purposes of training City Employees, subcontractors, or other persons.	2000	Paper Electronic	Y	Y	No	N	Dept. Office	EVT (Completion of training course) + 1 year.  Destroy Confidential

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[Program Title]  
 [Agency Name] [Agency Number]  
 [Division Name] | [Subdivision/Bureau/Office] | [Unit Number]

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

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



## Instructions for the Records Retention Schedule

### Header

#### Program Title (r)<sup>1</sup>

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. RDAs 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

<sup>1</sup> Optional fields are marked with an (o); required fields are marked with an (r).



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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

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#### 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](#)