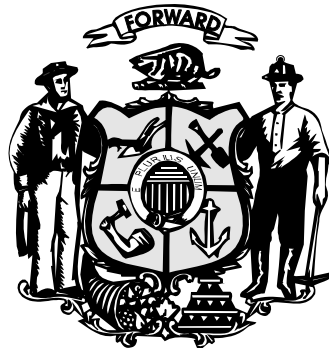


General Records Schedule

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	<p>Records include budget papers used in the preparation of the biennial budget documents under s. 16.46, Wisconsin Statutes.</p> <p>Records also include:</p> <ul style="list-style-type: none"> ○ 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 <p>See Division Biennial Requests for those Decision Items (DINs) that were requested but did not make it into the final agency biennial budget submittal.</p>	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)	<p>The purpose of this record series is to provide detailed position reports that do the full salary funding calculation under standard budget adjustments.</p> <p>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.</p>	FIS + 6 years and then destroy	No	No	
BUD00011 Both SBO and State Agencies	BUDG010	Original Source Documents used for Budget-Related Research	<p>Records include original source documents developed by budget analysts for studies, reports, surveys to compare Wisconsin with other peer states.</p> <p>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.</p>	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	<p>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.</p> <p>These materials are created each biennium to provide reference and supporting material to those reviewing the Biennial Budget.</p>	FIS + 6 years and then transfer to the Wisconsin Historical Society	No	No	<p>Agency copies are for reference only.</p> <p>Legislative Fiscal Bureau documents are reference.</p>

			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.

<p>BUD00017</p> <p>SBO only</p>	<p>BUDG021</p>	<p>November 20 Report</p>	<p>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.</p> <p>See record series titled DOR Biennial Revenue Estimates for the revenue component of the November 20th report.</p>	<p>FIS + 6 years and then transfer to the Wisconsin Historical Society</p>	<p>No</p>	<p>No</p>	
<p>BUD00018</p> <p>Both SBO and State Agencies</p>	<p>BUDG024</p>	<p>Decision Item Narrative Background Documents</p>	<p>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.</p>	<p>FIS + 6 years and then destroy</p>	<p>No</p>	<p>No</p>	
<p>BUD00019</p> <p>Both SBO and State Agencies</p>	<p>BUDG025</p>	<p>Decision Item Narratives - (DINs) All Types</p>	<p>These records present succinct summaries of the need, options, and proposed solution beginning with a brief one or two sentence summary.</p> <p>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.</p> <p>DINs are also developed for proposed statutory language changes without fiscal consequences.</p> <p>Records include worksheets, spreadsheets, schedules, and any other information pertaining to the</p>	<p>FIS + 6 years and then destroy</p>	<p>No</p>	<p>No</p>	<p>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.</p>

			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 15 th 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: <ul style="list-style-type: none"> ○ 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

							<ul style="list-style-type: none"> ○ 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
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Other Budget and Control Related Records Series

BUD00040	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.
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BUD00041	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.
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			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	<p>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.</p> <p>Records include the final version of the:</p> <ul style="list-style-type: none"> ○ Scope statement ○ Economic Impact Analysis ○ Proposed Rule <p>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.</p> <p>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.</p>	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	<p>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.</p> <p>See the series for operating budget (BUD030) which contains the travel authorization internal to an agency.</p> <p>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.</p>	FIS + 6 years and then destroy	No	No Exception: For certain law enforcement staff, this might be confidential – destroy confidential	<p>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.</p> <p>From the individual's perspective, the records are covered in the Administrative GRS under HR000181, retention of creation + 1 year.</p>

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. <i>Note:</i> 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	<p>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.</p> <p>Records include the Joint Finance Committee language/decisions as to various programs including gaming, information technology programs, etc.</p> <p>Note: See page 9: "Wisconsin Biennial Budget Cycle Background" for additional information.</p>	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	<p>This series is covered under the series titled Policies and procedures related to Budgeting.</p> <p>This record functions to describe the details of the major budget policies that will take effect in the next biennium.</p> <p>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).</p> <p>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.</p> <p><i>Note:</i> See page 9: "Wisconsin Biennial Budget Cycle Background" for additional information.</p>	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.