

515-EMPLOYEE TRUST FUNDS

Dept #: 700/ Department Name: ETF DEPARTMENT RECORDS

RDA # RDA Title Retention Disposition PII

0009A00. **ICI / LTDI VENDOR MONTHLY PERFORMANCE AND PAYMENT REPORTS** **EVT+4** **DEST** **Y**

ELECTRONIC MONTHLY REPORTS SUBMITTED TO ETF BY THE ICI AND LTDI VENDOR RESPONSIBLE FOR PLAN ADMINISTRATION. THE ELECTRONIC CLAIMS REPORTS LISTS PAYMENTS AND REPAYMENTS OF ICI AND LTDI OVERPAYMENTS, AND VOIDED ICI AND LTDI CHECKS. THE LISTINGS IN TH FILE ARE IN PLAN ORDER (ICI-STATE, ICI-LOCAL, LTDI) AND ALPHABETICAL OR SS# TERMINAL DIGIT ORDER WITHIN EACH PLAN. EACH MONTHLY REPORT CONTAINS SS# AND NAME OF PARTICIPANT, GROSS ICI AND LTDI BENEFIT PAYMENT, FICA DEDUCTIONS, NET ICI AND LTDI BENEFIT PAYMENT, NUMBER OF DAYS PAYABLE FOR, CHECK NUMBER, DATE OF CHECK, DIAGNOSTIC CODE, COVERAGE TYPE (SHORT OR LONG TERM DISABILITY), DATE DISABILITY COMMENCED, AND CLAIM NUMBER. THESE REPORTS ARE REFERRED TO IN CHECKING FOR PAYMNETS OF OLD ICI AND LTDI OVERPAYMENTS.

OTHER PERFORMANCE AND RELATED REPORTS REQUIRED BY RFP INCLUDE, BUT ARE NOT LIMITED TO:

- A) STATISTICAL REPORTS
- B) CLAIM LOGS
- C) EOI
- D) PASS THRU AND SUPPORTING DOCUMENTS
- E) MONTHLY CLAIMS COUNTS
- F) MEDICAL RECERTIFICATIONS
- G) SPECIAL SERVICES
- H) QUARTERLY RECONSIDERATIONS
- I) CUSTOMER SATISFACTION
- J) CUSTOMER SERVICE
- K) PHONE STATS
- L) OPEN & CLOSED CLAIMS
- M) W2 & LETTER OF RIGHTS
- N) STATE DATED CHECKS
- O) DEDUCTIONS
- P) ANNUAL EARNINGS STATEMENTS BY PLAN
- Q) REFUNDS
- R) REPORTS SUBMITTED TO THE GIB (GROUP INSURANCE BOARD)

RETAINED 4 YEARS AFTER CLOSE OF CONTRACT AND DESTROYED CONFIDENTIAL

RESPONSIBLE DIVISION: INSURANCE SERVICES

00029000. **BIDS, PROPOSALS, CONTRACTS & RELATED CORRESPONDENCE - HEALTH** **EVT+10** **DEST** **N**

BIDS, PROPOSALS, CONTRACTS AND RELATED CORRESPONDENCE FROM VARIOUS COMPANIES FOR CONTRACTS TO PROVIDE HEALTH AND DENTAL INSURANCE TO EMPLOYEES COVERED BY THE STATE AND LOCAL EMPLOYEE HEALTH PROGRAMS. STANDARD HEALTH PLANS ARE RE-BID EVERY 3 YEARS AND NEW HMO'S MAY BE ADDED OR CHANGED EACH YEAR.

SERIES MAY INCLUDE: A) OFFICIAL COPY OF AWARDED BID/PROPOSAL AND SPECIFICATIONS; B) STATE PROCUREMENT CONTRACT; C) COPY OF RFB/RFP; D) CONTRACT (SIGNED AND UNSIGNED COPIES); E) AMENDMENTS; F) PERFORMANCE BONDS/LETTERS OF CREDIT; AND G) OTHER RELATED CORRESPONDENCE. COPIES OF MATERIALS ARE KEPT IN PAPER AND ELECTRONIC FORM.

SOME DOCUMENTS MAY BE OF HISTORICAL VALUE AS THEY WERE USED TO START UP AND ESTABLISH THE PROGRAM AND ARE THE COPIES AVAILABLE FOR REFERENCE. DOCUMENTS ALSO HAVE LEGAL AND AUDIT VALUE BEYOND THE CLOSE OF THE CONTRACT.

RETENTION - RETAIN 10 YEARS AFTER CONTRACT IS CLOSED

RESPONSIBLE AREA/RECORD OWNER - INSURANCE SERVICES DIVISION/OFFICE OF BUDGET, TRUST & FINANCE

EVENT = CLOSED/TERMINATED/DEATH

00031000. **AUDIT WORKPAPERS & REFERENCE MATERIALS - ETF INTERNAL AUDIT** **EVT+10** **DEST** **Y**

RECORD SERIES CONSISTS OF VARIOUS AUDIT TOOLS, WORKPAPERS AND OTHE AUDIT MATERIALS COLLECTED DURING ALL ETF AUDIT PROJECTS. THESE ARE THE INTERNAL AUDIT REPORTS AND WORKPAPERS ASSOCIATED WITH ETF INTERNAL AUDITS CONDUCTED BY ETF INTERNAL AUDIT STAFF FOR PROGRAM AND SYSTEM COMPLIANCE. MANY OF THESE AUDITS INCLUDE INFORMATION ON MEMBER ACCOUNTS AND BENEFIT COMPLIANCE. THIS SERIES ALSO INCLUDES THE FINAL AUDIT REPORTS. THESE MATERIALS ARE BOTH IN PAPER AND ELECTRONIC FORMAT.

RETENTION: RETAINED 10 YEARS AFTER CLOSE OF AUDIT AND DESTROYED CONFIDENTIAL. MANY AUDITS CONTAIN PARTICIPANT NAMES AND SOCIAL SECURITY NUMBERS AND THUS

00037000. **LIFE / ICI / ERA REMITTANCE REPORTS AND TRANSMITTALS** **EVT+7** **DEST** **Y**

Wisconsin Retirement System employer monthly remittance reports for transmittal of coverage data funds for the Life Insurance and Income Continuation Insurance (ICI) programs. Also includes Employee Reimbursement Account (ERA) state agency transmittals which summarize the amount of deductions withheld from employee payroll checks which were reported to contract administrator (currently Total Administrative Services Corporation (TASC)) for future claims payment. These records are filed by payroll center in chronological order of date of payroll.

In the near future, the intent is to have all of these reports become an output from STAR.

Reports and transmittals are retained by the Trust Finance Division for 7 years after reconciled and audited and are then destroyed confidential.

Confidential or Limited Access: Wis. Stat. § 40.07

EVENT = Reconciled and audited

<u>00052A00.</u>	<u>ETF EMPLOYER CONTRIBUTION RATE HISTORY</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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A MICROFILM COPY OF THE LISTING BY YEAR OF EMPLOYEE TRUST FUNDS RETIREMENT CONTRIBUTION RATES BY PARTICIPATING EMPLOYER NAME. INFORMATION CONTAINED CONSISTS OF:

- 1) EFFECTIVE DATE OF RATE;
- 2) PRIOR SERVICE RATES FOR PAST YEARS OF SERVICE;
- 3) CURRENT SERVICE RATES;
- 4) DUTY DISABILITY RATES FOR PROTECTIVE OCCUPATIONS; AND
- 5) TOTAL RATES

THE ORIGINAL MICROFILM COPY WAS SENT TO THE STATE RECORDS CENTER FOR OFFSITE BACKUP AND THE NEGATIVE MICROFILM WAS SENT TO THE WISCONSIN HISTORICAL SOCIETY FOR PERMANENT PRESERVATION. THERE ARE FOUR ADDITIONAL SETS OF MICROFILM RETAINED IN ETF FOR STAFF USE. THIS DATA IS STILL NEEDED TODAY IN THE EVENT AN OLDER ACCOUNT NEEDS CORRECTION AND IS NOT AVAILABLE ANYWHERE ELSE.

RESPONSIBLE DIVISION: RETIREMENT SERVICES/EMPLOYER SERVICES SECTION

RETENTION: PERMANENT

<u>00053000.</u>	<u>ETF GOVERNING BOARDS' MEETING MATERIALS - OPEN AND CLOSED SES:</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Original electronic records of the proceedings of the Board meetings held by the various governing boards of the Department of Employee Trust Funds (DETF). Current boards include: Employee Trust Funds (ETF) Board, Wisconsin Retirement (WR) Board, Teachers Retirement (TR) Board, Group Insurance Board, Deferred Compensation (DC) Board, and the Joint Meeting (JM) of the Boards. Current Committees of the ETF Board include: Executive Committee, Audit Committee and Budget and Operations Committee. Records include, but are not limited to: agendas, minutes, discussion memos/materials, committee reports, actuarial reports, operational update memos, statistical reports, educational topics/handouts, audit reports and benefit lists.

Electronic versions of Board materials are being declared the "official" record and since 2001 are stored on the ETF LAN by Board and then by date. PDF records of the Board materials from 1911 through 2000 are stored in ETF's Knowledge Management System and DVD sets are at the Wisconsin Historical Society.

Paper versions were previously maintained permanently but it is ETF's intention to only keep the electronic version and destroy the paper. This is the same for the microfiche for the 1911-1981 records previously scheduled in RDA#00053B. Closed session materials were mixed with regular session meeting materials during this timeframe and thus these years will be designated as confidential.

Retention Justification: Electronic records are kept permanently as the Governing Boards set all program policies and these materials are the history of the Wisconsin Retirement System and Benefit Programs offered to State and Local government employees and are frequently referenced by current Boards in making or changing policies.

EVENT = Permanent

<u>00053A00.</u>	<u>ETF GOVERNING BOARD'S MEETING MATERIALS - OPEN SESSIONS, ELECT</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Original electronic records of the proceedings of the Board meetings held by the various governing boards of the Department of Employee Trust Funds (DETF). Current boards include: Employee Trust Funds (ETF) Board, Wisconsin Retirement (WR) Board, Teachers Retirement (TR) Board, Group Insurance Board, Deferred Compensation (DC) Board, and the Joint Meeting (JM) of the Boards. Current Committees of the ETF Board include: Executive Committee, Audit Committee and Budget and Operations Committee. Records include, but are not limited to: agendas, minutes, discussion memos/materials, committee reports, actuarial reports, operational update memos, statistical reports, educational topics/handouts, audit reports & benefit lists.

Electronic and paper records of Board meeting materials from 2001 through 2015. All meeting materials will be reviewed to ensure the electronic record is complete and in the future this will be amended to designate the electronic versions as the official permanent record and the paper records will be destroyed. These meeting materials are available on ETF's website and do not contain any personally identifiable or confidential information.

Original Board materials are maintained by the Board Liaison and after four or five years the paper reference set is sent to the department library.

Retention Justification: All materials are kept permanently as the Governing Boards set all program policies and these materials are the history of the Wisconsin Retirement System and Benefit Programs offered to State and Local government employees and are frequently referenced by current Boards in making or changing policies.

Note: The electronic records for these years are being reviewed to ensure they are complete before destroying the paper and the RDA will be amended at that time.

EVENT = Permanent

<u>00053B00.</u>	<u>ETF GOVERNING BOARDS' MEETING MATERIALS - OPEN SESSIONS, ELECT</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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Original electronic records of the proceedings of the Board meetings held by the various governing boards of the Department of Employee Trust Funds (ETF). Current boards include: Employee Trust Funds (ETF) Board, Wisconsin Retirement (WR) Board, Teachers Retirement (TR) Board, Group Insurance Board, Deferred Compensation (DC) Board, and the Joint Meeting (JM) of the Boards. Current Committees of the ETF Board include: Executive Committee, Audit Committee and Budget and Operations Committee. Records include, but are not limited to: agendas, minutes, discussion memos/materials, committee reports, actuarial reports, operational update memos, statistical reports, educational topics/handouts, audit reports & benefit lists.

Original Board materials are maintained by the Board Liaison and after four or five years the paper reference set will be destroyed.

Paper versions were previously maintained permanently but it is ETF's intention to only keep the electronic version permanently going forward and destroy the paper after it has been kept by the Board Liaison as noted above.

Electronic records are kept permanently as the Governing Boards set all program policies and these materials are the history of the Wisconsin Retirement System and Benefit Programs offered to State and Local government employees and are frequently referenced by current Boards in making or changing policies.

EVENT = Permanent

<u>00053C00.</u>	<u>ETF GOVERNING BOARDS' MEETING MATERIALS - CLOSED SESSIONS - ELE</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Original electronic versions of the closed session proceedings of the various Board meetings held by the various governing boards of the Department of Employee Trust Funds (ETF). Current boards include: Employee Trust Funds (ETF) Board, Wisconsin Retirement (WR) Board, Teachers Retirement (TR) Board, Group Insurance Board, and the Deferred Compensation (DC) Board. Current Committees of the ETF Board include: Executive Committee, Audit Committee and Budget and Operations Committee. Records include, but are not limited to: agendas, minutes, discussion memos/materials, committee reports, and appeals. Electronic versions since 2002 are stored on the ETF LAN by board and then by date.

Closed sessions are only held for the following reasons: quasi-judicial deliberations; to discuss employment, promotion compensation or performance evaluation data of any public employee over which the governmental body has jurisdiction or exercises responsibility; to deliberate or negotiate the investing of public funds; or to conduct other specified public business, whenever competitive or bargaining reasons require a closed session or to confer with legal counsel for the governmental body concerning strategy to be adopted with respect to litigation in which it is or is likely to become involved. Some of these records are also kept in other records within the agency covered by other RDAs. For example, appeals are covered by RDA00102; personnel transactions are kept by HR and are covered by the HR GRS (General Records Schedule); and procurement documents are kept by the Budget Office and are covered by the Purchasing GRS.

Original materials of all closed sessions materials are maintained by the Board Liaison for approximately four years and then are sent to the State Records Center. The closed session materials are confidential.

Paper versions were previously maintained permanently but it is ETF's intention to only keep the electronic version permanently going forward and destroy the paper after it has been kept by the Board Liaison as noted above.

Electronic records are kept permanently as the Governing Boards set all program policies and these materials are the history of the Wisconsin Retirement System and Benefit Programs offered to State and Local government employees and are frequently referenced by current Boards in making or changing policies.

RETENTION = PERMANENT

<u>00053D00.</u>	<u>ETF GOVERNING BOARDS' MEETING MATERIALS - CLOSED SESSIONS, ELE</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Electronic and paper records of Board meeting materials from 2001 through 2015. All meeting materials will be reviewed to ensure the electronic record is complete and in the future this will be amended to designate the electronic versions as the official permanent record and the paper records will be destroyed.

Original Board materials are maintained by the Board Liaison and after four or five years the paper reference set will be destroyed. Closed sessions are held for quasi-judicial deliberations; to discuss employment, promotion compensation or performance evaluation data of any public employee over which the governmental body has jurisdiction or exercises responsibility; to deliberate or negotiate the investing of public funds or to conduct other specified public business, whenever competitive or bargaining reasons require a closed session or to confer with legal counsel for the governmental body concerning strategy to be adopted with respect to litigation in which it

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is or is likely to become involved. All of these records are also kept in other records within the agency covered by other RDAs. For example, appeals are covered by RDA00102; personnel transactions are kept by HR and are covered by the HR GRS (General Records Schedule); and procurement documents are kept by the Budget Office and are covered by the Purchasing GRS.

Original materials of all closed sessions materials are maintained by the Board Liaison for approximately four years and then are sent to the State Records Center. The closed session materials are confidential.

The electronic records are being reviewed to ensure they are complete before destroying the paper and the RDA will be amended at that time.

Electronic records are kept permanently as the Governing Boards set all program policies and these materials are the history of the Wisconsin Retirement System and Benefit Programs offered to State and Local government employees and are frequently referenced by current Boards in making or changing policies.

EVENT = Permanent

<u>00053E00.</u>	<u>BOARD ELECTION BALLOTS & REPORTS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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The Department of Employee Trust Funds (DETF) conducts elections to select representatives on two governing boards: The Employee Trust Funds (ETF) Board and the Teachers Retirement (TR) Board per ETF Wis. Admin. Code 10.10. DETF uses an outside vendor to receive, authenticate, and process cast votes. The vendor also tabulates final results and issues a final report to the Department of Employee Trust Funds (DETF). Also included are paper files with candidate information and nomination forms.

Retention: All paper and electronic materials are retained or one year in the event of an appeal or request for recount and in accordance with ETF Wis. Admin. Code 10.10 (15).

EVENT: Retain 1 year after results are processed and validated.

<u>00053F00.</u>	<u>BOARD MEMBER FILES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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Record series includes materials received for Board members serving on any of the Boards associated with Department of Employee Trust Funds (DETF) that are responsible for setting policy and reviewing the overall administration of benefit programs, primarily those provided to state and local government employees. Current boards include: Employee Trust Funds (ETF) Board, Wisconsin Retirement (WR) Board, Teachers Retirement (TR) Board Group Insurance Board, and the Deferred Compensation (DC) Board. Documents are filed by Board member name and can include, but are not limited to: resumes or CV, duplicate payroll and travel submissions, personal information sheets (with home address, phone, e mail, etc.), correspondence (to/from the Board member), and letters of appointment.

Records do contain personally identifiable information.

EVENT: Retain 2 years after closed (last day individual is a board member)

<u>00053G00.</u>	<u>BOARD POLICIES</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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Original electronic records of the proceedings of the various Board meetings held by the various governing boards of the Department of Employee Trust Funds (DETF). Current boards include: Employee Trust Funds (ETF) Board, Wisconsin Retirement (WR) Board, Teachers Retirement (TR) Board, Group Insurance Board, Deferred Compensation (DC) Board, and the Joint Meeting (JM) of the Boards. Records include, but are not limited to: Policies and Procedures adopted by one or more of the governing boards.

Original Board Policies are maintained permanently by the Board Liaison and will only be kept in electronic record. Electronic versions are stored on the ETF LAN at H:\Governing Board Policy then by board.

Electronic records are kept permanently as the Governing Boards set all program policies and these materials are the history of the Wisconsin Retirement System and Benefit Programs offered to State and Local government employees and are frequently referenced by current Boards when making or changing policies.

EVENT = Permanent

<u>00064000.</u>	<u>DEPARTMENT WORKER INSTRUCTIONS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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THIS RECORDS SERIES INCLUDES ALL UNIT/SECTION/DIVISION WORKER INSTRUCTIONS. THESE ARE TASK SPECIFIC DIRECTIONS USED TO ENSURE COMPLIANCE WITH POLICIES AND PROCEDURES. THE ORIGINAL ELECTRONIC FILE FOR EACH WORKER INSTRUCTION IS MAINTAINED ON THE LAN AND IS ACCESSIBLE TO ALL STAFF VIA THE INTERNAL STAFF WEBSITE. BACKUP AND DISASTER RECOVERY COPIES ARE AVAILABLE VIA THE NIGHTLY AND WEEKLY LAN BACKUPS.

ALL WORKER INSTRUCTIONS ARE RETAINED UNTIL SUPERSEDED. ALL DIVISION AND OFFICES ARE RESPONSIBLE FOR THEIR WORKER INSTRUCTIONS.

RETENTION: EVENT(SUPERSEDED) AND DESTROY

<u>00072000.</u>	<u>EMPLOYEE REIMBURSEMENT ACCOUNT (ERA) PROCESSING APPLICATION</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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Computer application containing data on employee reduction amounts for medical expenses and dependent care by payroll processing center. The data in this application is used to perform a reconciliation of amounts applied to employee accounts by the contractor

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compared to the amount of dollars deposited and to produce reports for use by departmental managers.

This application contains administrative fee amounts paid by month by employer and monthly totals submitted by the Employee Reimbursement Account contractor showing amounts applied to employee accounts by payroll center as well as any adjustments to previous amounts applied. This application is also used to produce a monthly report with year to date totals.

The data is kept by the Trust Finance Division for 4 years after reconciled and destroyed confidential.

Confidential or Limited Access: Wis. Stat. § 40.07

EVENT = Reconciled

00074000. **ERA (EMPLOYEE REIMBURSEMENT ACCOUNT) ALLOCATION AND DOCUME** **FIS+7** **DEST** **N**

REMITTANCE DOCUMENTS RESULTING FROM THE DEPOSITING OF STATE AGENCY EMPLOYEE REIMBURSEMENT ACCOUNT (ERA) PAYMENTS MAINTAINED BY MONTH.

FORMS COMMONLY FOUND IN THIS FILE: ET-1516 ERA REMITTANCE REPORT; PRINTOUT OF SPREADSHEET ALLOCATING REMITTANCES TO THE APPROPRIATE ACCOUNTING CODE; AND RELATED MEMOS/ATTACHMENTS FROM EMPLOYERS.

RETENTION - RETAINED IN HOUSE ONE OR TWO YEARS AND SENT TO THE STATE RECORDS CENTER FOR THE REMAINDER OF THE RETENTION AND DESTROY.

RESPONSIBLE OFFICE: OFFICE OF BUDGET AND TRUST FINANCE

FIS + 7 YEARS AND DESTROY.

00075000. **LOCAL GOVERNMENT INSURANCE ALLOCATION AND DOCUMENTATION** **FIS+7** **DEST** **N**

REMITTANCE DOCUMENTS SHOWING ALLOCATION OF CONTRIBUTIONS BY FUND/APPROPRIATION RESULTING FROM THE DEPOSITING OF LOCAL EMPLOYER ICI PREMIUMS. THESE ARE MAINTAINED BY MONTH.

FORMS COMMONLY FOUND IN THIS FILE: ET-1629 MONTHLY PREMIUM REPORT GROUP ICI AND RELATED PREMIUM ALLOCATION SPREADSHEET.

RETENTION - RETAIN IN HOUSE FOR ONE TO TWO YEARS AND SENT TO STATE RECORDS CENTER FOR REMAINDER OF RETENTION AND DESTROY.

RESPONSIBLE OFFICE: OFFICE OF BUDGET AND TRUST FINANCE

00076000. **STATE AGENCY INSURANCE PROGRAMS ALLOCATION AND DOCUMENTATI** **FIS+7** **DEST** **N**

REMITTANCE DOCUMENTS SHOWING ALLOCATION OF CONTRIBUTIONS BY FUND/APPROPRIATION RESULTING FROM THE DEPOSITING OF STATE AGENCY LIFE AND ICI PREMIUMS. THESE ARE MAINTAINED BY MONTH.

FORMS COMMONLY FOUND IN THIS FILE: ET-1610 GROUP LIFE INSURANCE COLLECTION REPORT; ET-161 MONTHLY PREMIUM REPORT; GROUP ICI AND RELATED PREMIUM ALLOCATION SPREADSHEET.

RETENTION - RETAIN IN HOUSE ONE OR TWO YEARS AND SEND TO THE STATE RECORDS CENTER FOR THE REMAINDER OF THE RETENTION AND DESTROY.

RESPONSIBLE OFFICE: OFFICE OF BUDGET AND TRUST FINANCE.

FIS + 7 YEARS AND DESTROY.

00082000. **WRS ANNUAL TRANSMITTAL - PENSION FEDERAL TAX WITHHOLDING REPC** **FIS+6** **DEST** **Y**

ANNUAL TRANSMITTAL REPORT FOR FEDERAL INCOME TAX WITHHOLDING FROM WRS PAYMENTS (IRS FORM 945 & 945A) SENT TO THE INTERNAL REVENUE SERVICE COVERING BOTH MONTHLY ANNUITY AND WEEKLY LUMP SUM BENEFIT PAYMENTS. RECORD SERIES ALSO INCLUDES SUPPORTING PAYROLL DOCUMENTATION.

NOTE: IN ADDITION TO THE ANNUAL REPORT, WEEKLY ELECTRONIC FEDERAL TAX PAYMENT SYSTEM FORMS, DOA-6598, ARE SENT TO DOA TO DOCUMENT THE DEPOSITS OF FEDERAL INCOME TAX WITHHOLDING MADE THROUGH THE MANUAL WARRANT PROCESS FOR THE ABOVE WRS PAYMENTS. THESE ARE RETAINED WITH WISMART DOCUMENTS UNDER RDA #90000091.

FOR STATE WITHHOLDING: THE MONTHLY ANNUITANT PAYROLL STATE INCOME TAX WITHHOLDING INFORMATION IS TRANSMITTED TO DOR VIA DOA BY EFT'S PAYROLL OFFICE. HR PREPARES WT-6, WITHHOLDING TAX DEPOSIT REPORT, AND SUBMITS THE REPORT QUARTERLY TO MATCH THE DEPOSITS THAT ARE BEING MADE THROUGH THE MANUAL WARRANT PROCESS FOR THE ANNUITANTS AND EFT STAFF THROUGH CENTRAL PAYROLL. ANNUITANT STATE TAX WITHHOLDING IS BEING COMBINED WITH EFT STAFF PAYROLL STATE TAX WITHHOLDING. ANNUALLY, HR ALSO SUBMITS WT-7, EMPLOYER'S ANNUAL RECONCILIATION OF WISCONSIN INCOME TAX WITHHELD FROM WAGES, WHICH REPORTS IN TOTAL THE WITHHOLDING FOR THE YEAR AND THE NUMBER OF TAX STATEMENTS ISSUED. AS WITH THE WT-6, THE INFORMATION ON THIS REPORT INCLUDES BOTH ANNUITANT AND EFT STAFF PAYROLL DATA. THE PAYROLL AND

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BENEFIT SPECIALIST RETAINS THE INFORMATION FOR THE CURRENT AND 2 PREVIOUS YEARS. INFORMATION OLDER THAN THAT IS SENT TO THE STATE RECORDS CENTER UNDER RDA#90216.

RETENTION: A COPY OF THE FEDERAL FORM AND DOCUMENTATION IS RETAINED IN ETF FOR 2 YEARS AND SENT TO THE SRC FOR CONFIDENTIAL DESTRUCTION. FIS + 6

RESPONSIBLE DIVISIONS: RETIREMENT SERVICES AND TRUST, FINANCE AND EMPLOYER SERVICES.

<u>00085000.</u>	<u>ADMINISTRATIVE EXPENSE ALLOCATIONS</u>	<u>FIS+4</u>	<u>DEST</u>	<u>N</u>
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Worksheets and reports used to allocate the Department's administrative expenses to the various benefit plans plus worksheets used to distribute investment earnings to the various group insurance accounts administered by the Department. Contains charges and billings to the various benefit plan programs and respective insurers. Arranged in chronological order by fiscal year.

Retained by the Trust Finance Division for the current fiscal year + 4 years.

Confidential or Limited Access: Wis. Stat. § 40.07

EVENT = Fiscal

<u>00086000.</u>	<u>WEBS - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE DATASETS INCLUDE INFORMATION THAT IS KEYED INTO OR UPLOADED FROM DB2 DATABASE TABLES, REPORT INFORMATION, PROGRAM EXTRACT INFORMATION, AND DATA ENTERED. THESE CAN CHANGE OVER TIME BUT THE DATA COLLECTED REMAINS PERMANENTLY IN THE SYSTEM UNTIL ONE OF THE RETENTION CRITERIA ARE MET.

THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF:

1. PARTICIPANT/DEMOGRAPHIC INFORMATION (SSN, PLAN TYPE, PLAN OCCURRENCE)
2. SERVICE AND EARNINGS
3. TRANSACTION HISTORY
4. ACCOUNT BALANCES
5. EMPLOYER
6. EMPLOYEE/EMPLOYER DETAIL
7. QDRO ALTERNATE PAYEE
8. RETIREMENT PLAN
9. RETIREMENT APPLICATION/FINAL BENEFIT
10. TAX WITHHOLDING
11. ACCOUNTS RECEIVABLE
12. RECONCILIATION
13. VARIABLE PARTICIPATION
14. HEALTH INSURANCE PARTICIPATION
15. LIFE INSURANCE PARTICIPATION
16. ICI PARTICIPATION

RETENTION: RETAIN INFORMATION UNTIL SUPERSEDED OR AT THE TIME A RETIREMENT, SEPARATION OR DEATH BENEFIT IS APPLIED FOR AND ACCOUNT IS MOVED TO BENEFIT PAYMENT SYSTEM (BPS) OR LUMP SUM BENEFIT SYSTEM(LSPS) AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745

STEFANIE.PAULS@ETF.WI.GOV AND RORY MCGARRY 608-261-8921 RORY.MCGARRY@ETF.WI.GOV

<u>00086A00.</u>	<u>WEBS - GENERATION DATA GROUPS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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LISTED BELOW ARE THE GENERATION DATA GROUPS (GDGS) RELATED TO WEBS. THE RETENTION OF THESE DATASETS IS DETERMINED BY THE NUMBER OF GENERATIONS DEFINED FOR THE GDG, AND ALSO BY THE MANAGEMENT CLASS ASSIGNED BY THE JOB THAT CREATES THE FILE. (IF THE GDG HAS A MAXIMUM OF 10 GENERATIONS, THEN ONLY 10 WILL BE SAVED. IF THE JOB CREATES THE FILE WITH A MANAGEMENT CLASS OF THREE MONTHS, THEN THE FILE WILL BE KEPT FOR ONLY THREE MONTHS, EVEN THOUGH THE MAXIMUM NUMBER OF GENERATIONS HAS NOT BEEN REACHED.) BELOW ARE THE DATASETS WITH THE NUMBER OF GENERATIONS KEPT AND THE APPROXIMATE TIMEFRAME EACH IS KEPT.

SEE HARD COPY FOR COMPLETE CHART.

THERE ARE ALSO SOME NON-GDG DATSETS RELATED TO WEBS:

1. WHENEVER A 1099R FILE (FOR ANNUITANTS OR FOR LUMP SUM PAYMENTS) IS SENT TO THE IRS, A COPY OF THE FILE IS DOWNLOADED AND SAVED IN H:\ADB\PRODUCTION SUPPORT\TAX FILES SENT. THE RETENTION FOR THESE FILES WILL BE NOTED IN THE BENEFIT PAYMENT AND LUMP SUM BENEFIT SYSTEM SCHEDULES.
2. EVERY YEAR, JOBS ARE RUN TO PRODUCT YEAR-END STATISTICS FILES AND ACTUARIAL FILES FOR THE CONTROLLER'S OFFICE. THESE FILES ARE DOWNLOADED AS PC FILES AND SAVED BY THE CONTROLLER'S OFFICE. THE RETENTION FOR THE ACTIVE LIVES ACTUARY FILE IS COVERED BY RDA00061.

PROGRAM CONTACT: STEFANIE PAULS, 267-0745

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RETAINED FOR NUMBER OF GENERATIONS LISTED AND DESTROYED CONFIDENTIAL.				
<u>00086B00.</u>	<u>WEBS INPUT, UPDATE, AND INQUIRY SCREENS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
INCLUDES INPUT, UPDATE, & INQUIRY SCREENS. EXAMPLES INCLUDE: S01 EMPLOYER MENU S02 PARTICIPANT MENU S03 BENEFITS MENU S04 TRANSACTION CONTROL MENU S05 REQUESTABLE PROGRAMS S09 ADJUSTMENT PROCESSOR MENU S10 RECONCILIATION/CONTROL MENU S11 MANAGEMENT TOOLS MENU S99 ASSOCIATED ACCOUNTS INQUIRY				
A TOTAL INVENTORY OF THESE SCREENS IS NOT INCLUDED IN THIS RDA, BECAUSE THE FOCUS OF THE RDA IS ON THE MEMBER DATA FILES THAT ARE KEPT (AND HOW LONG THEY ARE KEPT), NOT ON THE SCREENS WHERE DATA IS ENTERED WHICH WOULD CREATE FILES OR RECORDS.				
RETENTION: RETAINED UNTIL OBSOLETE OR MODIFIED AND PURGE CONFIDENTIAL.				
PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745 STEFANIE.PAULS@ETF.WI.GOV				
<u>00086C00.</u>	<u>WEBS - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
ALL PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES - RETENTION VARIES FROM 10 TO 100 GENERATIONS AND ARE THEN DELETED. RETAINED TEMPORARILY IN CASE THERE IS A NEED TO RERUN THE PRINT JOB.				
PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745 STEFANIE.PAULS@ETF.WI.GOV				
RETAIN FOR A MINIMUM OF 10 GENERATIONS AND DESTROY CONFIDENTIAL				
<u>00086D00.</u>	<u>WEBS - STATEMENT OF BENEFIT EXTRACT</u>	<u>CR+40</u>	<u>DEST</u>	<u>Y</u>
WHEN THE ANNUAL STATEMENT OF BENEFIT EXTRACT IS RUN, THE FILE IS DOWNLOADED TO DVD AND SAVED FOR 40 YEARS BY THE ETF DOIT'S COMPUTER SCIENCE BUREAU. DVD'S ARE RE-COPIED EVERY 3 TO 5 YEARS TO ENSURE READABILITY, ACCURACY, AND RETENTION.				
DATA IS REQUIRED FOR UP TO 7 YEARS AFTER A MEMBER RETIRES IN THE EVENT OF APPEALS OR CORRECTIONS NEEDED IN SERVICE AND EARNINGS REPORTED.				
RETENTION: RETAIN 40 YEARS AND DESTROY CONFIDENTIAL				
PROGRAM CONTACT: STEFANIE.PAULS, 608-267-0745 STEFANIE.PAULS@ETF.WI.GOV				
<u>00086E00.</u>	<u>WEBS LATE REPORTED EARNINGS REPORTS</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
CONTAINS LATE REPORTED EARNING LOADED AND REPORTED ON REPORT ID'S SUCH AS:				
EE012 LRE#_ RC#_ CODE 29'S				
THESE REPORTS ARE RETAINED FOR 10 YEARS AFTER GENERATED IN THE EVENT OF ANY APPEALS RELATED TO THE AMOUNT OF LATE REPORTED EARNINGS REPORTED.				
RETENTION: RETAIN 10 YEARS AND DESTROY CONFIDENTIAL				
PROGRAM CONTACT: RORY MCGARRY 608-261-8921 RORY.MCGARRY@ETF.WI.GOV				
<u>00086F00.</u>	<u>WEBS CHANGE ACTIVITY REPORTS</u>	<u>CR+7</u>	<u>DEST</u>	<u>Y</u>
CONTAINS CHANGE AND ACTIVITY REPORTS SUCH AS REPORT ID: EE042, EE044 THESE REPORTS ARE GENERATED EVERY TIME A CHNAGE IS MADE TO A MEMBER ACCOUNT AND SHOWS THE BEFORE AND AFTER PICTURE OF THE CHANGE.				
RETENTION: RETAIN 7 YEARS AND DESTROY CONFIDENTIAL				
PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745 STEFANIE.PAULS@ETF.WI.GOV				

Dept #: 700/

Department Name: ETF DEPARTMENT RECORDS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>00086G00.</u>	<u>WEBS RECONCILIATION, INTEREST CREDITING, ADJUSTMENT PROCESSOR</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
	CONTAINS REPORTS GENERATED DURING ENROLLMENT AND ANNUAL RECONCILIATION; INTEREST CREDITING, ADJUSTMENTS, JOURNAL ENTRY, AUDIT TRAILS AND BENEFIT BRIDGE LOADS SUCH AS THE FOLLOWING REPORT ID'S OR TITLES: SEE HARD COPY FOR FULL LIST RETENTION: RETAIN 10 YEARS AND DESTROY CONFIDENTIAL THESE REPORTS ARE RETAINED FOR F01 YEARS AFTER GENERATED IN THE EVENT OF ANY APPEALS RELATED TO THE AMOUNT OF REPORTED EARNINGS, INTEREST, ETC. PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745 STEFANIE.PAULS@ETF.WI.GOV			
<u>00086H00.</u>	<u>WEBS SUSPENDED AND REJECTED TRANSACTION REPORTS</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
	CONTAINS REPORTS FOR SUSPENDED OR REJECTED TRANSACTIONS SUCH AS REPORT ID'S: EE009, EE010, EE011, NEE33 REPORTS SHOW BY MEMBER ANY SUSPENDED OR REJECTED TRANSACTIONS SUBMITTED BY THEIR EMPLOYER REGARDING THEIR EARNINGS AND CONTRIBUTIONS FOR ANY GIVEN TIMEFRAME BEING REPORTED (I.E. ANNUAL, TERMINATION, ETC.) THESE REPORTS ARE RETAINED FOR 10 YEARS AFTER GENERATED IN THE EVENT OF ANY APPEALS RELATED TO ANY SUSPENDED OR REJECTED TRANSACTIONS REGARDING A MEMBER ACCOUNT. RETENTION: RETAIN 10 YEARS AND DESTROY CONFIDENTIAL PROGRAM CONTACT: RORY MCGARRY 608-261-8921 RORY.MCGARRY@ETF.WI.GOV			
<u>00086I00.</u>	<u>WEBS TRANSACTION CONTROL REPORTS</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
	CONTAINS REPORTS GENERATED FROM THE TRANSACTION CONTROL SYSTEM WHICH INCLUDES UNIT BACKLOG REPORTS, ASSIGNED BACKLOG REPORTS, CRITICAL TRANSACTION REPORTS, WORKER PRODUCTIVITY REPORTS, PENDING BY WORKER REPORTS, ETC. RETAIN 1 YEAR AND DESTROY CONFIDENTIAL. PROGRAM CONTACT: RORY MCGARRY 608-261-8921 RORY.MCGARRY@ETF.WI.GOV			
<u>00086J00.</u>	<u>STATEMENT OF BENEFIT (SOB) RECORD DUMPS</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
	THESE ARE REPORTS AND LISTINGS OF STATEMENT OF BENEFIT COUNTS CREATED PRIOR TO RUNNING THE STATEMENTS FOR PRINTING AND MAILING. ALSO, INCLUDES OUTPUT FROM THE EMPLOYER SORT OPTION FILES ALONG WITH EMPLOYEE ADDRESSES ETC. AFTER RUN THROUGH OUR PROGRAM WHICH SHOWS THE ERRORS AND EDITS THAT WERE CORRECTED PRIOR TO PRINTING OF THE STATEMENTS. ONLY KEPT FOR ONE YEAR AFTER STATEMENT OF BENEFIT PROCESS IS COMPLETED. USED FOR RECONCILIATION PURPOSE AFTER THE PROCESS IS COMPLETE TO ENSURE ALL SOB'S WERE GENERATED. RETAIN 1 YEAR AND DESTROY CONFIDENTIAL. PROGRAM CONTACT: STEFANIE.PAULS@ETF.WI.GOV			
<u>00086K00.</u>	<u>WEBS RELATED TEST DATA</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	TEST DATA FOR SYSTEM LOADS, NEW PROGRAMS, CHANGES TO PROGRAMS, ETC. EXAMPLE: STATEMENT OF BENEFIT (SOB) TEST DATA EMPLOYER IVR TEST (TR161P04) WEBS TEST CASES RETAIN UNTIL NO LONGER NEEDED FOR BUSINESS USE OR AS DETERMINED BY PROGRAM LEAD AND DESTROY CONFIDENTIAL PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745 STEFANIE.PAULS@ETF.WI.GOV			
<u>00086L00.</u>	<u>WEBS - EMPLOYER TRANSACTION DATA</u>	<u>EVT+40</u>	<u>DEST</u>	<u>Y</u>

TRANSACTION COVERAGE REPORTS SUBMITTED TO ETF FROM EMPLOYERS NOT UTILIZING THE ONE SYSTEM FOR REPORTING PARTICIPANT EARNINGS, CONTRIBUTIONS, SERVICE, ETC. THESE ARE PAPER REPORTS SHOWING CONTRIBUTION INFORMATION REMITTED ON ANY OF THE FOLLOWING REPORTS: ET-2533 EMPLOYEE TRANSACTION REPORT, WHICH ARE SUBMITTED MONTHLY AND YEARLY (YEARLY FOR FULL DETAIL); ET-2535 ADDITIONAL CONTRIBUTIONS REPORT; AND ET-1515 MONTHLY PAYMENT RETENTION.

REPORTS ARE RETAINED IN HOUSE FOR ONE TO TWO YEARS AND SENT TO THE STATE RECORDS CENTER FOR THE REMAINING OF THE 40 YEAR RETENTION AND THEN DESTROYED CONFIDENTIAL. THE RETENTION IS BASED ON THE CONCEPT OF A MEMBER'S CAREER BEING UP TO 40 YEARS. IN ADDITION, IN THE BENSON CASE (SETTLED IN 1997), THE JUDGE RULED THAT THE "CLOCK" FOR THE 7 YEAR STATUTE ON CORRECTIONS (WIS. STATS. 40.08(10)) BEGINS WHEN THE ANNUITY OF LUMP SUM PAYMENT IS FINALIZED. THEREFORE, THE WINDOW FOR CORRECTIONS WAS SIGNIFICANTLY INCREASED AND THIS TIMEFRAME IS NEEDED IN ORDER TO MEET THE REQUIREMENT.

RETENTION: RETAIN 40 YEARS AFTER RECONCILED AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: RORY MCGARRY 608-261-8921
RORY.MCGARRY@ETF.WI.GOV

<u>00086M00.</u>	<u>WEBS - YEAR END PROCESSING</u>	<u>EVT+40</u>	<u>DEST</u>	<u>Y</u>
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DATA PROCESSING REPORTS CREATED AND USED TO RECONCILE PROGRAMS TO REFLECT CURRENT YEAR DEPOSITS AND/OR BENEFITS PAID PLUS INTEREST/EARNINGS. ALSO, INCLUDES MATERIAL USED TO CORRECT ERRORS AND/OR OTHER PROBLEMS TO BALANCE OUT THE YEARS REPORTING. REPORTS INCLUDE WEBS (WISCONSIN EMPLOYEE BENEFIT SYSTEM) SYSTEM RECONCILIATION, ANNUAL RECONCILIATION, YEAR END BENEFITS BRIDGE, ANNUAL TRANSACTIONS, ANNUAL ANNUITY AND APPLICATION APPROVALS, ANNUAL VARIABLE ELECTIONS AND TRANSFERS, AND WEBS ANNUAL RESERVE.

REPORTS ARE RETAINED IN HOUSE FOR ONE TO TWO YEARS AND SENT TO THE STATE RECORDS CENTER FOR THE REMAINING OF THE 40 YEAR RETENTION AND THEN DESTROYED CONFIDENTIAL. THE RETENTION IS BASED ON THE CONCEPT OF A MEMBER'S CAREER BEING UP TO 40 YEARS. IN ADDITION, IN THE BENSON CASE (SETTLED IN 1997), THE JUDGE RULED THAT THE "CLOCK" FOR THE 7 YEAR STATUTE ON CORRECTIONS (WIS. STATS. 40.08(10)) BEGINS WHEN THE ANNUITY OR LUMP SUM PAYMENT IS FINALIZED. THEREFORE, THE WINDOW FOR CORRECTIONS WAS SIGNIFICANTLY INCREASED AND THIS TIMEFRAME IS NEEDED IN ORDER TO MEET THIS REQUIREMENT.

RETENTION: RETAIN 40 YEARS AFTER CLOSED AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: STEAFNIE PAULS, 608-267-0745
STEFANIE.PAULS@ETF.WI.GOV AND RORY MCGARRY 608-261-8921 RORY.MCGARRY@ETF.WI.GOV

<u>00086N00.</u>	<u>ACTIVE LIVE ACTUARY FILE - ACTIVE/CLOSED/QDRO</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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THIS ACTIVE LIVES ACTUARIAL COMPUTER FILE IS AN EXTRACT FROM THE WEBS PARTICIPANT FILE WHICH IS USED BY A CONSULTING ACTUARY TO CONDUCT AN ACTUARIAL VALUATION OF THE WISCONSIN RETIREMENT SYSTEM. THIS ACTUARIAL VALUATION IS THE BASIS FOR DETERMINING THE CONTRIBUTION RATES PAID BY ALL PARTICIPATING EMPLOYERS AND EMPLOYEES IN THE WRS. THE ANNUAL ACTIVE LIVES ACTUARIAL FILE IS THE PRIMARY HISTORICAL RECORD OF THE DATA UPON WHICH THE STATUTORILY REQUIRED ACTUARIAL VALUATION IS BASED.

EACH ANNUAL FILE IS RETAINED FOR 10 YEARS AND DESTROY CONFIDENTIAL.

RETENTION: RETAIN FOR 10 YEARS AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745
STEFANIE.PAULS@ETF.WI.GOV

<u>00086O00.</u>	<u>SERVICE PURCHASE AND BUYBACK PROCESSING</u>	<u>EVT+40</u>	<u>DEST</u>	<u>Y</u>
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THE QUALIFIED/FORFEITED SERVICE BUYBACK PROCESSING IS AN ELECTRONIC MS-ACCESS FILE CONTAINING BUYBACK INFORMATION (BUYBACK IS A PROCESS RUN WHEN MEMBERS CHOOSE TO PURCHASE PRIOR SERVICE THEY HAD TAKEN AS A SEPARATION BENEFIT WHERE THEY LOST THE SERVICE YEARS ASSOCIATED WITH THAT BENEFIT AND THEY NOW WANT TO PURCHASE IT BACK). THIS SYSTEM IS USED TO COMPILER THE INFORMATION ON ALL SERVICE PURCHASES AND THE RECORDS ARE MAINTAINED IN THIS SYTEM). THE SYSTEM IS USED TO ENTER BUYBACKS OF SERVICE BY TYPE OF BUYBACK AND PAYMENT METHOD AND TO PRODUCE REPORTS FOR LOADING TO THE WISCONSIN EMPLOYEE BENEFIT SYSTEM (WEBS). IT IS ALSO USED TO PRODUCE REPORTS ON A MONTHLY AND ANNUAL BASIS FOR RECONCILING PERIODIC LOADS OF THIS DATA TO WEBS.

THIS FILE IS RETAINED AND BACKED UP ON THE LAN FOR 40 YEARS AND DESTROYED CONFIDENTIAL. RETENTION IS BASED ON THE CONCEPT OF A MEMBER'S CAREER BEING UP TO 40 YEARS. IN ADDITION, IN THE BENSON CASE (SETTLED IN 1997), THE JUDGE RULED THAT THE "CLOCK" FOR THE 7 YEAR STATUTE ON CORRECTIONS [WIS. STAT. 40.08(10)] BEGINS WHEN THE ANNUITY OR LUMP SUM PAYMENT IS FINALIZED. THEREFORE, THE WINDOW FOR CORRECTIONS WAS SIGNIFICANTLY INCREASED AND THIS TIMEFRAME IS NEEDED IN ORDER TO MEET THAT REQUIREMENT.

RETENTION: RETAIN 40 YEARS AFTER CLOSED AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745
STEFANIE.PAULS@ETF.WI.GOV

00087000.	WRS PARTICIPANT AND EMPLOYER NON-SOCIAL SECURITY RELATED REC	EVT+2	DEST	Y
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*** PARTICIPANT RECORDS ***

THIS RECORD SERIES CONSISTS OF DOCUMENTS IMAGED INTO THE SYSTEM FOR EACH MEMBER WHO BELONGS TO THE WISCONSIN RETIREMENT SYSTEM (WRS) AND PARTICIPATES IN THE BENEFIT PROGRAMS ADMINISTERED BY THE DEPARTMENT OF EMPLOYEE TRUST FUNDS (ETF). THE TYPES OF DOCUMENTS RECEIVED INCLUDES, BUT IS NOT LIMITED TO, THE FOLLOWING:

A. EMPLOYER SUBMITTED FORMS RELATING TO ENROLLMENT AND PARTICIPATION IN THE WRS INCLUDING BEGIN DATES, EMPLOYMENT CATEGORY(S), CREDITABLE SERVICE/EARNINGS, MILITARY SERVICE, PURCHASED SERVICE, ADDITIONAL CONTRIBUTIONS, IMPACT REPORTS, AND GENERAL PARTICIPATION RELATED DOCUMENTS.

B. INSURANCE FORMS INCLUDING THOSE FROM ETF THIRD PARTY ADMINISTRATORS (TPAS) RELATING TO INSURANCE COVERAGE AND CLAIMS IN WHICH THE MEMBER HAS ENROLLED IN. INCLUDES, BUT IS NOT LIMITED TO, LIFE, HEALTH, INCOME CONTINUATION, LONG TERM DISABILITY, AND REHIRED ANNUITANT COVERAGE.

C. BENEFICIARY DESIGNATION FORMS FILED BY THE MEMBER, INCLUDING THOSE ON TEACHER AFFIDAVITS.

D. LEGAL CORRESPONDENCE AND DOCUMENTS TO AND FROM COURTS, LEGAL COUNSEL, FEDERAL AND STATE GOVERNMENT, AND THE MEMBER RELATING TO APPEALS, GUARDIANSHIP PAPERS, COURT ORDERS, POWER OR ATTORNEY PAPERS, TAX LEVIES, AUTHORIZATIONS, AND DEPARTMENTAL DETERMINATIONS.

E. QUALIFIED DOMESTIC RELATION ORDERS (QDRO) FILED WITH ETF ON ETF AND/OR COURT FORMS FOR DIVIDING RETIREMENT ACCOUNTS AS PART OF A DIVORCE ACTION. INCLUDES FORMS USED TO SET UP SEPARATE ACCOUNT RECORDS FOR THE ALTERNATE PAYEE, REJECTION NOTICES, QDRO ANNUITY INITIATION NOTICES, STATEMENT OF ACCOUNT AFTER DIVISION; ETC.

F. MEMBER'S BENEFIT PROCESS RELATED RECORDS INCLUDING ESTIMATES, RETIREMENT, DISABILITY, OR SEPARATION APPLICATIONS, DEATH BENEFIT APPLICATIONS FROM BENEFICIARIES, LONG TERM DISABILITY INSURANCE APPLICATION, FINAL COMPUTATIONS, ESTIMATED PAYROLLS, APPLICATION CANCELLATIONS, AND DEATH BENEFIT WAIVER(S).

G. MISCELLANEOUS CORRESPONDENCE, DOCUMENTS, AND/OR FORMS THAT DO NOT RELATE TO THE OTHER CATEGORIES IDENTIFIED WHICH COULD INCLUDE BUT ARE NOT LIMITED TO, ACCOUNT OR BENEFIT INQUIRIES AND RESPONSES; RESPONSES TO LETTERS OR MEMORS RELATING TO EMPLOYEE REIMBURSEMENT ACCOUNTS (ERA), DEFERRED COMPENSATION PROGRAM, OR OTHER MISCELLANEOUS SUBJECTS.

H. NUMEROUS FORMS AND DOCUMENTS RELATING TO UPDATING OR CHANGING PAYMENTS TO MEMBERS WHICH INCLUDES, BUT IS NOT LIMITED TO, TAX WITHHOLDING CHANGES; AND ANNUITANT INCOME CHANGES AND REQUESTS.

I. BENEFIT TERMINATION RECORDS WHICH MAY INCLUDE FORMS AND CORRESPONDENCE WHICH ARE GENERATED DUE TO RE-ESTABLISHED ACCOUNTS, ACCOUNTS RECEIVABLES, STOP PAYMENTS, DISABILITY TERMINATION/SUSPENSIONS, ANNUITY TERMINATIONS, BENEFITS PAID IN ERROR, AND WAIVER OF BENEFITS (OTHER THAN DEATH).

J. INDICATIVE DATA RELATED RECORDS WHICH MAY INCLUDE, BUT IS NOT LIMITED TO: AUTOMATED CLEARING HOUSE (ACH) ENROLLMENT/CHANGES FOR BENEFIT CHECKS; ADDRESS CHANGES; EMPLOYEE ID CHANGES AND COPIES OF CARDS FOR SUCH CHANGES AS NAME, SOCIAL SECURITY NUMBER; DATE OF BIRTH CORRECTIONS AND/OR COPIES OF BIRTH CERTIFICATES FILED BY THE MEMBER OR EMPLOYER TO UPDATE THEIR ACCOUNT(S).

THESE RECORDS ARE MAINTAINED PER WIS. STATS. AND ARE REQUIRED FOR DOCUMENTING MEMBER ENROLLMENT, ELIGIBILITY AND BENEFIT PAYMENT RIGHTS TO VARIOUS PROGRAMS ADMINISTERED BY THE DEPARTMENT.

*** EMPLOYER RECORDS ***

THIS RECORDS SERIES CONSISTS OF DOCUMENTS IMAGED INTO THE SYSTEM FOR EACH EMPLOYER WHO PARTICIPATES IN THE WISCONSIN RETIREMENT SYSTEM (WRS) AND MAY ALSO PARTICIPATE IN THE BENEFIT PROGRAMS ADMINISTERED BY THE DEPARTMENT OF EMPLOYEE TRUST FUNDS (ETF). THE TYPES OF DOCUMENTS RECEIVED INCLUDES, BUT IS NOT LIMITED TO, THE FOLLOWING:

- RESOLUTIONS TO JOIN THE WRS
- RESOLUTIONS TO JOIN ANY OF THE OTHER ETF PROGRAMS
- AGENT DESIGNATION FORMS
- VARIOUS FORMS FOR PROGRAM CHANGES OR TERMINATIONS
- INTEREST DUE NOTICES
- CORRESPONDENCE

RETENTION: RETAIN 2 YEARS AFTER SCANNED AND DESTROY CONFIDENTIAL. (THE PAPER IS RETAINED ONSITE FOR 3 MONTHS AFTER COMPLETION OF IMAGING, QA PROCESS AND COMMITMENT TO PERMANENT STORAGE, THEN IT IS SENT TO STATE RECORD CENTER FOR THE REMAINING 21 MONTHS)

Dept #: 700/

Department Name: ETF DEPARTMENT RECORDS

RDA # RDA Title Retention Disposition PII

PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578, DIANE.VULTAGGIO@ETF.WI.GOV

00087B00. WRS IMAGING SYSTEM PARTICIPANT AND EMPLOYER RECORDS - MAGNET EVT DEST Y

RETENTION: (TEMPORARY STORAGE) ALL IMAGES ARE INITIALLY STORED ON ETF'S LOCAL NETWORK FILE SYSTEM UPON THE COMPLETION OF THE INDEXING FUNCTION. SINCE WE ONLY EXPORT IMAGES ONCE A DAY STARTING AFTER 5:00PM, EVEN IMAGES ASSIGNED TO A VALID SSN, PLAN TYPE, AND PLAN OCCURRENCE ARE STORED HERE WAITING FOR THE NIGHTLY EXPORT TO COMPLETE. THE NIGHTLY EXPORT WILL TAKE A COPY OF THE IMAGES THAT HAVE A VALID SSN, PLAN TYPE, PLAN OCCURRENCE FROM THE LOCAL FILE SYSTEM AND STORE THEM TO THE PERMANENT STORAGE (SEE RDA 00087C) LOCATION. THE FOLLOWING MORNING AFTER RECONCILIATION HAS BEEN COMPLETED, (7:00AM) ANY IMAGES THAT WERE SUCCESSFULLY STORED TO THE PERMANENT LOCATION ARE REMOVED FROM THE TEMPORARY STORAGE. IMAGES THAT HAVE NOT BEEN ASSIGNED TO A VALID SSN, PLAN TYPE, AND PLAN OCCURRENCE (I.E. STEP2000 RESEARCH JOBS) WILL REMAIN ON THE LOCAL NETWORK FILE SYSTEM UNTIL THE IMAGE CAN BE ASSIGNED A VALID SSN, PLAN TYPE, AND PLAN OCCURRENCE OR UNTIL THE IMAGE IS DELETED THROUGH THE RESEARCH SCREEN AND THE PAPER IS PULLED FOR MANUAL PROCESSING.

RETENTION: RETAINED FOR 24-72 HOURS AND MOVED TO PERMANENT STORAGE AND RETAINED PER RDA#00087C AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578, DIANE.VULTAGGIO.ETF.WI.GOV

00087C00. WRS IMAGING SYSTEM PARTICIPANT AND EMPLOYER RECORDS - PERMANENT P PERM Y

THIS RECORD SERIES CONSISTS OF THE IMAGE IN THE RECORD FOR EACH MEMBER WHO BELONGS TO THE WISCONSIN RETIREMENT SYSTEM (WRS) AND PARTICIPATES IN THE BENEFIT PROGRAMS ADMINISTERED BY THE DEPARTMENT OF EMPLOYEE TRUST FUNDS (ETF). SEE DESCRIPTION IN 00087 FOR ADDITIONAL INFORMATION.

THESE RECORDS ARE MAINTAINED PER WIS. STATS. AND ARE REQUIRED FOR DOCUMENTING MEMBER ENROLLMENT, ELIGIBILITY AND BENEFIT PAYMENT RIGHTS TO VARIOUS PROGRAMS ADMINISTERED BY THE DEPARTMENT.

IMAGES AND METADATA ARE RETAINED PERMANENTLY ON PRODUCTION SYSTEM.

IMAGES ASSIGNED TO A VALID SSN, PLAN TYPE, AND PLAN OCCURRENCE ARE EXPORTED EACH NIGHT FOR PERMANENT STORAGE TO THE CONTENT MANAGEMENT (CM) SYSTEM ON THE MAINFRAME AT DOA.

RETENTION: RETAINED PERMANENTLY IN SYSTEM UNLESS REJECTED OR DELETED AS NON-WRS RELATED DOCUMENTS.

PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578,
DIANE.VULTAGGIO@ETF.WI.GOV

00087D00. IMAGING & WORKFLOW BUSINESS DATASETS EVT DEST Y

THE DATASETS INCLUDE INFORMATION THAT WAS KEYED INTO OR UPLOADED FROM THE INPUTACCEL SCAN SUBSYSTEM.

THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF:

- SOCIAL SECURITY NUMBER
- PLAN TYPE
- PLAN OCCURRENCE
- DOCUMENT NUMBER
- SUBFOLDER CODE
- SCAN DATE/TIMESTAMP
- RECEIVED DATE
- BATCH NUMBER
- BOX NUMBER
- STAPLE COUNT
- SCAN OPERATOR
- DOCUMENT STATUS
- FOLDER TAG(S)

EACH OF THESE ITEMS IS DESCRIBED UNDER PROCESSING ABOVE.

RETENTION: RETAINED UNTIL SUPERSEDED, OBSOLETE OR MOVED TO A NEW SYSTEM AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578, DIANE.VULTAGGIO@ETF.WI.GOV

00087E00. APPLICATION INPUTS, UPDATE AND INQUIRY SCREENS EVT DEST Y

INCLUDES ALL APPLICATION INPUT, UPDATE, & INQUIRY SCREENS. EXAMPLES INCLUDE:

- LOGIN
- MAIN MENU
- FOLDER CONTENTS
- DOCUMENT SEARCH

RDA #	RDA Title	Retention	Disposition	PII
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- STAPLE DOCUMENT
- DOCUMENT REINDEX (SELECT STAFF ONLY)
- STATISTICAL REPORTS
- REJECT/DELETE REPORTS (RECORDS MGT. ONLY)
- DELETE DOCUMENT (RECORDS MGT. ONLY)
- JOB WORKBASKET
- WORKFLOW STATUS
- WORKER REASSIGN

A TOTAL INVENTORY OF THESE APPLICATIONS IS NOT INCLUDED IN THIS RDA, BECAUSE THE FOCUS OF THE RDA IS ON THE FILES THAT ARE KEPT (AND HOW LONG THEY ARE KEPT).

RETENTION: RETAINED UNTIL SUPERSEDED OR OBSOLETE AND DESTROY.

PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578
DIANE.VULTAGGIO@ETF.WI.GOV

<u>00087F00.</u>	<u>IMAGING & WORKFLOW SYSTEM - PRINT PROGRAM INPUT/OUTPUT TEMPO</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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ALL PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES. RETENTION VARIES FROM 10 TO 100 GENERATIONS AND THEY ARE THEN DELETED.

RETENTION: RETAIN FOR A MINIMUM OF 10 GENERATIONS AND DELETE.

PROGRAM CONTACT: DIANE.VULTAGGIO, 608-266-5578, DIANE.VULTAGGIO@ETF.WI.GOV

<u>00087G00.</u>	<u>STP TABLE - DROPFILE</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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THIS TABLE HOLDS ROWS OF INFORMATION ON WORKFLOW DOCUMENTS AS THEY GO THROUGH EACH STEP OF A WORKFLOW. THERE ARE TWO WORKFLOW TYPES - FIRST UNIT ROUTE DAILY MAIL AND DROP FILED DOCUMENTS. FOR DROPFILE DOCUMENTS THERE IS NO WORKFLOW JOB CREATED. THESE TABLE ROWS HOLD SYSTEM INFORMATION ON WHEN THE DOCUMENT WAS STORED TO CONTENT MANAGER, WHICH IS STILL AVAILABLE ON THE SCANDOCS TABLE IF NEEDED. THESE ROWS ARE PURGED IN THE THIRD QUARTER FOR THE PREVIOUS YEAR.

RETENTION: RETAIN FOR ONE YEAR, PURGE IN THIRD QUARTER OF EACH YEAR FOR THE PREVIOUS YEAR'S DATA, AND DESTROY CONFIDENTIAL

<u>00087H00.</u>	<u>TBL_WF_ACTIVITY_LOG</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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THIS WORKFLOW TABLE HOLDS THE STATISTICAL INFORMATION FOR THE INDEXING FUNCTION AND IS USED EXCLUSIVELY FOR INDEXING MANAGEMENT REPORTS. THIS DATA WILL NOW BE KEPT FOR THREE YEARS AND THEN PURGED. THIS WILL ALLOW ETF TO CONTINUE TO GET STATISTICAL DATA AS NEEDED FOR THREE YEARS BEFORE IT IS PURGED.

RETENTION: RETAIN 3 YEARS, PURGE AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: DIANE.VULTAGGIO, 608-266-5578, DIANE.VULTAGGIO@ETF.WI.GOV

<u>00087I00.</u>	<u>EMPLOYER DOCUMENTS (NON SOCIAL SECURITY RELATED) - BACKFILE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF PAPER DOCUMENTS IMAGED INTO THE RECORD FOR EACH EMPLOYER WHO PARTICIPATES IN THE WISCONSIN RETIREMENT SYSTEM (WRS) INCLUDING THE BENEFIT PROGRAMS ADMINISTERED BY THE DEPARTMENT OF EMPLOYEE TRUST FUNDS (ETF). THE TYPES OF DOCUMENTS RECEIVED INCLUDES, BUT IS NOT LIMITED TO, THE FOLLOWING:

- CORRESPONDENCE
- DESIGNATION OF AGENT
- RESOLUTION OF INCLUSION FORMS FOR THE WRS AND EACH OF THE BENEFIT PLANS
- EMPLOYER OPTIONS FOR INCREASING RETIREMENT FORMS
- INITIAL ENROLLMENT INTO THE WRS OR BENEFIT PLANS LETTERS
- NEW EMPLOYER MAILING CHECKLISTS
- RESOLUTIONS TO WITHDRAW FROM THE BENEFIT PLANS
- PRIOR SERVICE COST STUDIES
- EMPLOYER INVOICES
- INTEREST DUE NOTICES
- WRS ELIGIBILITY DETERMINATION FORMS
- EMPLOYEE PRIOR SERVICE STATEMENTS
- EMPLOYER TRANSACTION AUDITS
- REJECTED TRANSACTIONS
- ELECTRONIC REPORTER TRANSMITTAL
- UNFUNDED LIABILITY BALANCE

RETENTION: RETAIN 3 YEARS AFTER ENTERED INTO SYSTEM AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578, DIANE.VULTAGGIO@ETF.WI.GOV

RDA #	RDA Title	Retention	Disposition	PII
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<u>00087J00.</u>	<u>EMPLOYER DOCUMENTS (SOCIAL SECURITY RELATED AND WRS RESOLUT P</u>		<u>PERM</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF PAPER DOCUMENTS IMAGED INTO THE RECORD FOR EACH EMPLOYER WHO PARTICIPATES IN SOCIAL SECURITY VIA SECTION 218 AGREEMENTS. ETF SERVES AS THE SOCIAL SECURITY ADMINISTRATOR FOR ALL GOVERNMENTAL AGENCIES IN THE STATE OF WISCONSIN. THE TYPES OF DOCUMENTS RECEIVED INCLUDES, BUT IS NOT LIMITED TO, THE FOLLOWING:

- CORRESPONDENCE RELATED TO COVERED POSITIONS AND REPORTING
- LETTERS SPECIFIC TO POSITIONS COVERED AND COOPERATING TEACHING SERVICES
- FORM LETTERS TO THE NEW OASDHI AGENT
- REQUESTS FOR CORRECTED DATA AND REPORTS
- SOCIAL SECURITY INTERNAL WORKSHEETS
- REFUND OF EXCESS PAYMENT ON OAR-S3 QUARTERLY REPORTS
- CHANGE IN REPORTING AGENT OR ADDRESS OF AGENT
- SOCIAL SECURITY RECONCILIATION OF WAGES PAID
- QUARTERLY COVERAGE DETAIL LEDGERS
- QUARTERLY COVERAGE REPORT SUMMARY

THE SOCIAL SECURITY ADMINISTRATION RELATED DOCUMENTS MUST BE KEPT PERMANENTLY PER:

SL10001.130(4.) MAINTAIN SECTION 218 RELATED RECORDS
IT IS THE RESPONSIBILITY OF THE STATE ADMINISTRATOR TO MAINTAIN SECTION 218 RECORDS PERMANENTLY AND SECURELY. DESTRUCTION OF ORIGINAL RECORDS IS NOT AUTHORIZED. IN ORDER TO MEET THE RECORDS RETENTION REQUIREMENTS, THE STATE ADMINISTRATOR SHALL: *MAINTAIN THE STATE'S ORIGINAL HARDCOPY FILE OF ALL SECTION 218 RELATED COVERAGE INFORMATION, INCLUDING THE STATE'S SECTION 218 AGREEMENT, MODIFICATIONS, DISSOLUTIONS, INTRASTATE AGREEMENTS, AND ALL ASSOCIATED CORRESPONDENCE IN A SECURE ENVIRONMENT THAT SHOULD BE BOTH WATERPROOF AND FIREPROOF, *CONSIDER IMPLEMENTING A REDUNDANT SYSTEM TO BACKUP HARDCOPY FILES (EXAMPLE, AN ELECTRONIC DATABASE OF SCANNED FILES); * ROUTINE BACK UP ELECTRONIC FILES, AND THE BACKUP FILES SHOULD BE STORED IN A SEPARATE AND SECURE LOCATION AWAY FROM THE ORIGINALS; AND *ROUTINELY EVALUATE ELECTRONIC AND HARDCOPY FILES TO INSURE THE INTEGRITY OF THE DOCUMENTS.
[HTTPS://SECURE.SSA.GOV/APPS10/POMS.NSF/LRX/1910001130](https://secure.ssa.gov/apps10/poms.nsf/lrx/1910001130)

FOR THE WRS RESOLUTIONS - THE PAPER COPIES ARE BEING KEPT PERMANENTLY IN THE EVENT EMPLOYERS CHALLENGE ETF ON WHETHER OR NOT THEY ARE BOUND TO REMAIN IN THE WRS.

RETENTION: PERMANENT

PROGRAM CONTACT: DIANA FELSMANN, (608) 261-8944 DIANA.FELSMANN@ETF.WI.GOV

<u>00087K00.</u>	<u>IMAGING AND WORKFLOW REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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SEVERAL TYPES OF REPORTS ARE AVAILABLE TO RECORDS STAFF (SUCH AS SCANNING BY OPERATOR; SCANNING SUMMARY; INDEXING BY EMPLOYEE; INDEXING SUMMARY; RESEARCH WORKBASKET SUMMARY, ETC.) AND PRORAM UNITS (SUCH AS WORKBASKET SUMMARIES; BACKLOG SUMMARIES; RESEARCH WORKBASKET SUMMARY; ETC.). THESE REPORTS ARE UTILIZED AS NEEDED, MANY TIMES ARE NOT PRINTED AND ARE ONLY RETAINED AS LONG AS NEEDED.

RETENTION: RETAIN UNTIL NO LONGER NEEDED AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: DIANE.VULTAGGIO, 608-266-5578, DIANE.VULTAGGIO@ETF.WI.GOV

<u>00087L00.</u>	<u>REJECT/DELETE REPORTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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RECORDS MANAGEMENT STAFF HAVE ACCESS TO A REJECT/DELETE REPORT THAT IS PRINTED DAILY TO FACILITATE PULLING DOCUMENTS OUT OF BATCHES THAT HAVE BEEN REJECTED OR DELETED BY THE BUSINESS UNITS FOR VARIOUS REASONS. ONCE THE DOCUMENTS ARE PULLED THE ORIGINAL DOCUMENTS ARE ROUTED TO THE BUSINESS STAFF PERSON WHO PERFORMED THE ACTION TO BE RETURNED TO THE SENDER. THE STATUS ON THE WORKFLOW GRAPHICAL SCREEN IS USED AS REFERENCE ON WHAT HAPPENED TO THE ORIGINAL. THE PAPER REPORT IS RETAINED IN RECORDS MGT. FOR 3 YEARS AFTER DOCUMENTS ARE PULLED AND THE ASSOCIATED BATCHES HAVE BEEN DESTROYED PER RDA'S 00087 AND 00087M.

RETENTION: RETAIN 3 YEARS AFTER DOCUMENTS ARE PULLED AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578, DIANE.VULTAGGIO@ETF.WI.GOV

<u>00087M00.</u>	<u>ADDRESS CHANGE REQUESTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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ETF RECEIVES ADDRESS CHANGES IN PAPER FORM FROM WISCONSIN RETIREMENT SYSTEM (WRS) PARTICIPANTS, ANNUITANTS, INACTIVE PARTICIPANTS, BENEFICIARIES, AND EMPLOYERS. THESE ADDRESS CHANGES ARE KEYED INTO ETF SYSTEMS, WHICH INCLUDES BUT IS NOT LIMITED TO, WEBS, ANNUITY SYSTEM, BPS, IVR, ETC. THIS SERIES ALSO INCLUDES THE ADDRESS CHANGE REQUEST REPORT ID EE051, PROGRAM TR673P00 GENERATED FROM THE IVR SYSTEM (SEE RDA #00149). ADDRESS CHANGES CONTAIN PERSONAL INFORMATION SUCH AS NAME, SOCIAL SECURITY NUMBER, OLD ADDRESS AND NEW ADDRESS. PROCESSED REQUESTS ARE IMAGED EITHER AS WORKFLOW OR AFTER PROCESSED AND ARE BOXED AND SENT TO THE STATE RECORD CENTER SEPARATELY FROM OTHER IMAGED MEMBER

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DOCUMENTS.

RETENTION: RETAIN 3 YEARS AFTER ENTERED INTO SYSTEM AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: MATT STOHR, (608) 266-1210
MATT.STOHR@ETF.WI.GOV

<u>00087N00.</u>	<u>WRS PARTICIPANT RECORDS IMAGING SYSTEM DOCUMENTATION</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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ELECTRONIC AND PAPER DOCUMENTS WHICH DESCRIBE OR DEFINE PROCEDURES AND IMPLEMENTATION COMPONENTS OR MODIFICATION OF THE IMAGING INFORMATION SYSTEM FOR RETIREMENT AND BENEFIT PROGRAM ACCOUNT RECORDS. THIS INCLUDES SYSTEM DEVELOPMENT AND MAINTENANCE DOCUMENTS, PROGRAM LANGUAGE, USER GUIDES OR MANUALS, DATA LIBRARIES AND DICTIONARIES, SYSTEM UPDATE DOCUMENTS AND MODIFICATION RECORDS, CONTEXT DIAGRAMS, ENTITY RELATIONSHIP DIAGRAMS, WORKFLOWE DIAGRAMS, AND DETAIL DESIGN SUMMARIES.

SYSTEM DOCUMENTATION IS RETAINED TO ENSURE THAT INFORMATION CAN BE READ, ACCESSED AND VALIDATED FOR ANY DATA CREATED FOR THE ENTIRE LIFE OF THE SYSTEM.

RETENTION: RETAIN UNTIL SUPERSED AND DESTROY.

PROGRAM CONTACT: KURT LUDEKING, (608) 264-6636
KURT.LUDEKING@ETF.WI.GOV

<u>00087O00.</u>	<u>IMAGING / BACKFILE CONVERSION CD FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
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RECORDS SERIES INCLUDES CD ROM COPIES OF IMAGES, ELECTRONIC FILES FROM THE CONVERSION VENDOR, AND CRITICAL DIRECTORIES USED AS PART OF THE IMAGING PROJECT. FILES MAY CONTAIN PARTICIPANT NAMES AND SOCIAL SECURITY NUMBERS, SO THEY ARE CONFIDENTIAL.

SAMPLE FILES INCLUDED ON THE CD ROM'S INCLUDES, BUT IS NOT LIMITED TO:

1. ATI (BACKFILE CONVERSION VENDOR) E-FILES
2. DOIT DIRECTORY BACKUP/ADB DIRECTORY BACKUP - INCLUDES DATABASES USED TO ASSIST WITH POPULATING THE FOLDER STATUS TABLE, MIA'S, NEW ENROLLMENTS, DECEASED ANNUITANTS, ETC.

THESE CD'S WILL BE RETAINED 20 YEARS FOR AUDIT PURPOSES, FINAL PROJECT RECONCILIATION, RESEARCH, AND THE ORIGINAL IMAGES FOR HISTORICAL BACKGROUND UNTIL CONVERSION TO A NEW SYSTEM. ONE COPY WILL BE MAINTAINED AT ETF AND ONE COPY AT THE STATE RECORDS CENTER.

RETENTION: RETAIN FOR 20 YEARS AFTER CONVERSION IS COMPLETE AND DESTROY CONFIDENTIAL. THE CDS WILL BE CHECKED FOR READABILITY/VIABILITY AND RECOPIED AS NECESSARY DURING THIS TIMEFRAME (PER ADMIN 12).

<u>00087P00.</u>	<u>STP TABLE - FIRST UNIT ROUTE</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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THIS TABLE HOLDS INFORMATION ON WORKFLOW DOCUMENTS AS THEY GO THROUGH EACH STEP OF A WORKFLOW. THERE ARE TWO WORKFLOW TYPES - FIRST UNIT ROUTE DAILY MAIL AND DROP FILED (SEE 00087G ABOVE) DOCUMENTS. THESE ROWS ARE FOR DOCUMENTS A WORKFLOW JOB IS CREATED. THESE TABLE ROWS HOLD SYSTEM INFORMATION ON WHICH WORKBASKET THE DOCUMENT WENT TO, WHO PROCESSED THE JOB OR ROUTED IT IF APPLICABLE, INCLUDING WHEN THE DOCUMENT WAS STORED TO CONTENT MANAGER. THESE ROWS WILL BE RETAINED FOR THREE FULL YEARS AND THEN PURGED.

RETENTION: RETAIN FOR 3 YEARS AND PURGE/DESTROY CONFIDENTIAL.

PROGRAM CONTACT: KURT LUDEKING, (608) 264-6636
KURT.LUDEKING@ETF.WI.GOV

<u>00087Q00.</u>	<u>DAILY EXPORT LOGS</u>	<u>CR+2</u>	<u>DEST</u>	<u>N</u>
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A DAILY EXPORT LOG IS GENERATED/PRINTED EACH DAY TO RECONCILE THAT DAY'S EXPORT OF IMAGES. THESE ARE FILED IN BINDERS AND KEPT IN THE RECORDS MANAGEMENT SECTION FOR TWO YEARS AND THEN DESTROYED.

RETENTION: RETAIN 2 YEARS AND DESTROY.

PROGRAM CONTACT: KURT LUDEKING, (608) 264-6636
KURT.LUDEKING@ETF.WI.GOV

<u>00089000.</u>	<u>BIDS, PROPOSALS, AND CORRESPONDENCE - INCOME CONTINUATION INS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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RECORD SERIES INCLUDES BIDS, PROPOSALS, CONTRACTS AND RELATED CORRESPONDENCE FOR THE INCOME CONTINUATION INSURANCE (ICI) PROGRAM AND THE THIRD PARTY ADMINISTRATOR TO PROVIDE ICI COVERAGE FOR STATE AND LOCAL GOVERNMENT EMPLOYEES. DOCUMENTS HAVE LEGAL AND AUDIT VALUE BEYOND THE CLOSE OF

RDA #	RDA Title	Retention	Disposition	PII
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THE CONTRACT.

SERIES MAY INCLUDE: A) OFFICIAL COPY OF AWARDED BID / PROPOSAL AND SPECIFICATIONS; B) STATE PROCUREMENT CONTRACT; C) COPY OF RFB/RFP; D) CONTRACT (SIGNED AND / OR UNSIGNED COPIES); E) AMENDMENTS; F) PERFORMANCE BONDS / LETTERS OF CREDIT; AND G) RELATED CORRESPONDENCE. COPIES OF MATERIALS ARE KEPT IN PAPER AND ELECTRONIC FORM.

REQUEST FOR PROPOSALS FOR THIS PROGRAM ARE RE-BID EVERY FIVE YEARS.

RETENTION: RETAIN 10 YEARS AFTER CLOSED.

RESPONSIBLE DIVISION - INSURANCE SERVICES

<u>00091000.</u>	<u>CUSTOM FILE MAINTENANCE</u>	<u>EVT+40</u>	<u>DEST</u>	<u>Y</u>
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ORIGINAL COPIES OF CUSTOM FILE MAINTENANCE (CFM) REQUESTS WHICH ARE USED TO APPLY CHANGES TO WEBS ACCOUNTS, THE WORKFLOW SYSTEM, OR OTHER AGENCY BUSINESS APPLICATIONS AND ARE SUBMITTED TO THE COMPUTER SCIENCE BUREAU BY AGENCY BUSINESS UNITS. REQUESTS COME ON PAPER FORMS, ET-8454, CUSTOM FILE MAINTENANCE REQUEST, ALONG WITH OTHER SUPPORTING DOCUMENTATION, IF APPLICABLE. ONCE THE CFM IS COMPLETED, THE BEFORE AND AFTER OUTPUTS ARE GENERATED ELECTRONICALLY AND PLACED IN THEIR APPROPRIATE FOLDER ON THE FILESERVER AND/OR MAY BE PRINTED. ONCE THE CHANGES HAVE BEEN APPROVED AND SIGNED OFF BY THE BUSINESS UNIT, THE PAPER CFM FORM IS RETAINED ALONG WITH THE ORIGINAL REQUEST.

CUSTOM FILE MAINTENANCE REQUESTS ARE RETAINED AND ORGANIZED BY YEAR AND THE CONTROL NUMBER.

RETENTION: PAPER DOCUMENTATION IS KEPT IN-HOUSE FOR 1 YEAR AFTER COMPLETED AND THEN SENT TO THE STATE RECORDS CENTER FOR THE REMAINING 39 YEARS. ELECTRONIC COPIES OF THE BEFORE AND AFTER OUTPUTS ARE RETAINED ON THE FILESERVER IN FOLDERS MAINTAINED BY THE YEAR AND THE SAME CONTROL NUMBER AS THE ORIGINAL PAPER REQUEST. AT THIS TIME THEY WILL BE STORED ON THE FILESERVER FOR THE 40 YEARS SO THEY CONTINUE TO BE BACKED UP FOR DISASTER RECOVERY PURPOSES. IN THE FUTURE, WE WILL ASSESS ARCHIVING THEM TO ANOTHER MEDIA. DESTROY CONFIDENTIAL.

RESPONSIBLE DIVISION/BUREAU: MANAGEMENT SERVICES/COMPUTER SCIENCES BUREAU

EVENT = ENTERED INTO DATA SYSTEM + 40 YEARS AND DESTROY CONFIDENTIAL

<u>00092000.</u>	<u>BIDS, PROPOSALS, AND CONTRACTS-EMPLOYEE REIMBURSEMENT ACCO</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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RECORD SERIES INCLUDES BIDS, PROPOSALS, CONTRACTS AND RELATED CORRESPONDENCE FOR THE EMPLOYEE REIMBURSEMENT ACCOUNT PROGRAM AND THE THIRD PARTY ADMINISTRATOR. DOCUMENTS HAVE LEGAL AND AUDIT VALUE BEYOND THE CLOSE OF THE CONTRACT.

SERIES MAY INCLUDE: A) OFFICIAL COPY OF AWARDED BID /PROPOSAL AND SPECIFICATIONS; B) STATE PROCUREMENT CONTRACT; C) COPY OF RFB / RFP; D) CONTRACT (SIGNED AND / OR UNSIGNED COPIES); E) AMEDNMENTS; F) PERFORMANCE BONDS / LETTERS OF CREDIT; AND G) RELATED CORRESPONDENCE. COPIES OF MATERIALS ARE KEPT IN PAPER AND ELECTRONIC FORM.

REQUEST FOR BID PROPOSALS FOR THIS PROGRAM ARE RE-BID EVERY THREE TO FOVE YEARS.

RETENTION: RETAIN 10 YEARS AFTER CLOSED.

RESPONSIBLE DIVISION: INSURANCE DIVISION

<u>00099000.</u>	<u>SECRETARY'S OFFICE CORRESPONDENCE</u>	<u>CR+5</u>	<u>SHSW</u>	<u>Y</u>
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Records series includes correspondence received in the Secretary's Office and responses relating to Department administration, policies, procedures, and benefit programs administered by the Department. Correspondence is from the Secretary, Deputy Secretary, Assistant Deputy Secretary, Division Administrators, Assistant Division Administrators, Legal Counsel, Policy Initiatives Advisor, Office Directors or Bureau Directors.

Any correspondence which pertains to a participant/member is also imaged and becomes part of their participant/members record.

Retention: Paper correspondence is maintained in house for three (3) years and transferred to the State Records Center for the remaining two years (up through 2015). Effective with 2016 all correspondence will be retained electronically only and after the five (5) years is up, the correspondence will be transferred to a CD and forwarded to the State Historical Society. The division responsible for managing these records is Management Services.

ETF has analyzed ADM00009 and it does not meet our business needs, which we are opting out of, and will continue to use our own.

Box 16: Wis. Stats.§ 40.07 (1) and (2)

EVENT = Creation

Dept #: 700/

Department Name: ETF DEPARTMENT RECORDS

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00100000. BIDS, PROPOSALS, AND CONTRACTS - LIFE INSURANCE PROGRAM EVT+10 DEST N

RECORDS SERIES INCLUDES BIDS, PROPOSALS, CONTRACTS AND RELATED CORRESPONDENCE FOR THE WISCONSIN PUBLIC EMPLOYERS GROUP INSURANCE PROGRAM TO PROVIDE GROUP LIFE INSURANCE COVERAGE FOR STATE AND LOCAL GOVERNMENT EMPLOYEES. DOCUMENTS HAVE LEGAL AND AUDIT VALUE BEYOND THE CLOSE OF THE CONTRACT.

SERIES MAY INCLUDE: A) OFFICIAL COPY OF AWARDED BID/PROPOSAL AND SPECIFICATIONS; B) STATE PROCUREMENT CONTRACT; C) COPY OF RFB / RFP; D) CONTRACT (SIGNED AND / OR UNSIGNED COPIES); E) AMENDMENTS; F) PERFORMANCE BONDS / LETTERS OF CREDIT; AND G) RELATED CORRESPONDENCE. COPIES OF MATERIALS ARE KEPT IN PAPER AND ELECTRONIC FORM.

REQUEST FOR PROPOSALS FOR THIS PROGRAM ARE RE-BID EVERY THREE TO FIVE YEARS.

RETENTION: RETAIN 10 YEARS AFTER CLOSED.

RESPONSIBLE DIVISION: INSURANCE SERVICES

00101000. DEFERRED COMPENSATION PROGRAM CLOSED PARTICIPANT RECORDS(P EVT+7 DEST Y

PARTICIPANT FILES ARE SET UP FOR THOSE WHO HAVE CHOSEN TO ENROLL IN THE WDC. FILES INCLUDE SOME OR ALL OF THE FOLLOWING: ENROLLMENT FORMS, BENEFICIARY DESIGNATION FORM(S), INVESTMENT OPTION CHANGES, DEFERRAL AMOUNT CHANGES, DISTRIBUTION OR PAYOUT FORM(S), CORRESPONDENCE AND FINANCIAL EMERGENCY WITHDRAWAL APPLICATION MATERIAL.

THE RESPONSIBILITY FOR MANAGING THESE DOCUMENTS IN THE PARTICIPANT FILE RESTS WITH THE THIRD PARTY ADMINISTRATOR WITH WHOM ETF CONTRACTS (WHICH IS CURRENTLY GREAT WEST FINANCIAL). THE CONTRACT ADMINISTRATOR COULD CHANGE PERIODICALLY AS A RESULT OF THE COMPETITIVE BID PROCESS, WHICH WOULD RESULT IN THE FILES BEING TRANSFERRED TO A NEW VENDOR. REGARDLESS, THE WDC RECORDS BELONG TO ETF AND MUST BE RETAINED AND DISPOSED OF ACCORDING TO ETF'S RETENTION REQUIREMENTS.

THIS CATEGORY COVERS WDC PARTICIPANT FILES THAT WERE TOTALLY MAINTAINED IN PAPER FORM PRIOR TO THE ONSET OF IMAGING WDC DOCUMENTS IN 2005 AND THE IMAGED DOCUMENTS/FILE FOR PARTICIPANTS SINCE THEN.

RETENTION: RETAIN 7 YEARS AFTER INDIVIDUAL PARTICIPANT ACCOUNT IS CLOSED (ACCOUNT BALANCE IS ZERO) AND DESTROY CONFIDENTIAL

PROGRAM CONTACT - SHELLY SCHUELLER (608) 266-6611
SHELLY.SCHUELLER@ETF.WI.GOV

00101A00. DEFERRED COMPENSATION PROGRAM PARTICIPANT INCOMING DOCUMENTS EVT+0/3 DEST Y

PARTICIPANT PAPER DOCUMENTS FOR THOSE WHO ARE ENROLLED IN THE WDC. INCOMING PAPER DOCUMENTS MAY INCLUDE SOME OR ALL OF THE FOLLOWING: ENROLLMENT FORMS, BENEFICIARY DESIGNATION FORM(S), INVESTMENT OPTION CHANGES, DEFERRAL AMOUNT CHANGES, DISTRIBUTION OR PAYOUT FORM(S), CORRESPONDENCE AND FINANCIAL EMERGENCY WITHDRAWAL APPLICATION MATERIAL.

PROGRAM CONTACT - SHELLY SCHUELLER (608) 266-6611
SHELLY.SCHUELLER@ETF.WI.GOV

RETENTION: RETAIN PAPER 90 DAYS AFTER SCANNED AND VERIFIED AND THEN DESTROY CONFIDENTIAL.

00101B00. DEFERRED COMPENSATION PROGRAM PARTICIPANT IMAGED DOCUMENTS EVT+7 DEST Y

IMAGES OF PARTICIPANT PAPER DOCUMENTS FOR THOSE ENROLLED IN THE WDC. DOCUMENTS MAY INCLUDE SOME OR ALL OF THE FOLLOWING: ENROLLMENT FORMS, BENEFICIARY DESIGNATION FORM(S), INVESTMENT OPTION CHANGES, DEFERRAL AMOUNT CHANGES, DISTRIBUTION OR PAYOUT FORM(S), CORRESPONDENCE AND FINANCIAL EMERGENCY WITHDRAWAL APPLICATION MATERIAL.

RETENTION: RETAIN 7 YEARS AFTER INDIVIDUAL PARTICIPANT ACCOUNT IS CLOSED (ACCOUNT BALANCE IS ZERO) AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT - SHELLY SCHUELLER (608) 266-6611
SHELLY.SCHUELLER@ETF.WI.GOV

00101C00. WDC GREAT-WEST FINANCIAL RECORD KEEPING SYSTEM EVT+7 DEST Y

THE GREAT-WEST FINANCIAL ONLINE SYSTEM PROVIDES DAILY ON-LINE VALUATION OF PARTICIPANTS' WDC ACCOUNTS AS WELL AS THE ABILITY FOR PARTICIPANTS TO MAKE CHANGES TO THEIR ACCOUNT INCLUDING REVISING DEFERRAL AMOUNTS, TRANSFERRING FUNDS BETWEEN INVESTMENT OPTIONS AND UPDATING THEIR CONTACT INFORMATION AND BENEFICIARY DESIGNATIONS. THE SYSTEM MAINTAINS PARTICIPANT ACCOUNT RECORDS INCLUDING DATA FOR MULTIPLE OPTIONS IN WHICH PARTICIPANTS MAY BE INVESTED.

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RETENTION: RETAIN 7 YEARS AFTER INDIVIDUAL PARTICIPANT ACCOUNT IS CLOSED (ACCOUNT BALANCE IS ZERO) AND DESTROY CONFIDENTIAL

PROGRAM CONTAC - SHELLY SCHUELLER (608) 266-6611
SHELLY.SCHUELLER@ETF.WI.GOV

<u>00101D00.</u>	<u>DEFERRED COMPENSATION PROGRAM PARTICIPANT ACCOUNT STATEMENTS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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PARTICIPANT QUARTERLY ACCOUNT STATEMENTS FOR THOSE ENROLLED IN THE WDC MAY INCLUDE SOME OR ALL OF THE FOLLOWING INFORMATION: BEGINNING AND ENDING ACCOUNT BALANCES, ALL TRANSACTIONS PROCESSED DURING THE QUARTER INCLUDING CONTRIBUTIONS AND/OR DISTRIBUTIONS, INTEREST OR CHANGE IN VALUE, FEES/CHARGES, TRANSFERS AND WITHDRAWALS FOR EACH OF THE INVESTMENT OPTIONS FOR THE QUARTER, QUARTERLY PERSONAL RATE OF RETURN ON INVESTMENTS, INDICATION OF PARTICIPATION THE SELF-DIRECTED BROKERAGE OPTION, AND CURRENT BENEFICIARY DESIGNATION(S).

RETENTION: RETAIN 7 YEARS AFTER INDIVIDUAL PARTICIPANT ACCOUNT IS CLOSED (ACCOUNT BALANCE IS ZERO) AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT - SHELLY SCHUELLER (608) 266-6611
SHELLY.SCHUELLER@ETF.WI.GOV

<u>00101E00.</u>	<u>DEFERRED COMPENSATION PROGRAM PARTICIPANT NEWSLETTER</u>	<u>CR+7</u>	<u>DEST</u>	<u>N</u>
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PARTICIPANT QUARTERLY NEWSLETTER FOR THOSE ENROLLED IN THE WDC MAY INCLUDE INFORMATION ON CHANGES IN THE WDC PLAN AND TRUST DOCUMENT, ANNOUNCEMENTS OF NEW PLAN FEATURES, UPCOMING EDUCATIONAL EVENTS (WEBINARS OR LIVE PRESENTATIONS) AND BASIC FINANCIAL LITERACY TOPICS (STOCKS, BONDS, ETC.)

RETENTION: RETAIN 7 YEARS AND DESTROY

PROGRAM CONTACT - SHELLY SCHUELLER (608) 266-6611
SHELLY.SCHUELLER@ETF.WI.GOV

<u>00101F00.</u>	<u>DEFERRED COMPENSATION PROGRAM PARTICIPANT SURVEYS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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SURVEYS SENT TO AND RETURNED FROM WDC PARTICIPANTS USED TO GATHER INPUT ON SUCH AREAS AS: PARTICIPANT SATISFACTION WITH PREPARED ILLUSTRATION OF CURRENT INVESTMENT OPTIONS; TYPES OF ADDITIONAL INVESTMENT OPTIONS DESIRED; SATISFACTION WITH CURRENT PROGRAM: I.E. PROGRAM ADMINISTRATOR, SERVICES PROVIDED, INVESTMENT OPTIONS OFFERED, ETC. SURVEY RESULTS ARE USED TO MAKE DETERMINATIONS ON WHETHER OR NOT THERE'S A NEED FOR MORE INVESTMENT OPTIONS, ASSIST IN THE PREPARATION OF A SELF-ADMINISTRATION STUDY; PARTICIPANT'S SATISFACTION WITH THE PROGRAM, ETC. RECORDS INCLUDE THE PROGRAM DETAILS AND RESULTS. SURVEYS ARE DONE PERIODICALLY AS NEEDED.

RETENTION: RETAIN 5 YEARS AFTER SURVEY IS COMPLETED AND RESULTS ARE ANALYZED AND DESTROY CONFIDENTIAL

PROGRAM CONTACT - SHELLY SCHUELLER (608) 266-6611
SHELLY.SCHUELLER@ETF.WI.GOV

<u>00101G00.</u>	<u>DEFERRED COMPENSATION PROGRAM REPORTS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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ROUTINE REPORTS FROM WDC PROGRAM ADMINISTRATION AND INVESTMENT PROVIDERS THAT DETAIL FINANCIAL AND PARTICIPATION IN THE PROGRAM. REPORTS MAY BE FOR EITHER MONTHLY, QUARTERLY, OR ANNUAL PERIODS.

INCLUDES SPREADSHEETS USED TO COMBINE AND MONITOR INFORMATION SUBMITTED BY CONTRACT ADMINISTRATOR. INFORMATION MAY ALSO BE DEPICTED IN GRAPHIC FORMAT FOR PRESENTATION TO BOARD AND OTHER INTERESTED PARTIES.

RETENTION: RETAIN 7 YEARS AFTER CLOSED AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT - SHELLY SCHUELLER (608) 266-6611
SHELLY.SCHUELLER@ETF.WI.GOV

<u>00101H00.</u>	<u>DEFERRED COMPENSATION PROGRAM BIDS, PROPOSALS, CONTRACTS AND</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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REQUESTS FOR BIDS, REQUESTS FOR PROPOSALS, SUBMITTED RESPONSES AND CONTRACTS FOR ADMINISTRATIVE SERVICES AND INVESTMENT PRODUCTS FOR THE WISCONSIN DEFERRED COMPENSATION PROGRAM. THE THIRD PARTY ADMINISTRATOR CONTRACT MAY BE COMPETITIVELY BID APPROXIMATELY EVERY FIVE TO SEVEN YEARS. INVESTMENT PRODUCTS, SUCH AS THE FDIC-INSURED BANK OPTION AND THE STABLE VALUE FUND ARE ALSO ROUTINELY RE-BID. THE BID MATERIAL FROM COMPANIES RESPONDING TO AN RFB OR RFP REQUEST MAY INCLUDE FINANCIAL STATEMENTS, SAMPLE FORMS, BROCHURES, ETC.

THESE DOCUMENTS MAY BE OF HISTORICAL VALUE AS THEY WERE USED TO START UP AND ESTABLISH, AS WELL AS

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ROUTINELY BID FOR SERVICES FOR THE WDC. THEY MAY BE THE ONLY DOCUMENTS AVAILABLE FOR REFERRAL.

RETENTION: RETAIN 10 YEARS AFTER CONTRACT IS CLOSED AND DESTROY

PRORAM CONTACT - SHELLY SCHUELLER (608) 266-6611
SHELLY.SCHUELLER@ETF.WI.GOV

<u>00102000.</u>	<u>APPEAL AND LEGAL PROCEEDING DOCUMENTS</u>	<u>EVT+25</u>	<u>DEST</u>	<u>Y</u>
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DOCUMENTS PERTAINING TO ADMINISTRATIVE APPEALS OR LEAGL PROCEEDINGS. DOCUMENTS INCLUDE DEPARTMENTAL DETERMINATIONS, APPEAL LETTERS, HEARING NOTICES, TRANSCRIPTS AND THE FINAL DECISIONS OF THE BOARDS. SELECTED DOCUMENTS (APPEAL LETTER, PROPOSED DECISION, FINAL DECISION) ARE ALSO MAINTAINED IN THE PARTICIPANT'S IMAGED FILE.

NON-IMAGED DOCUMENTS ARE KEPT BY THE APPEALS COORDINATOR WHILE THE CASE IS OPEN (PENDING). WHEN THE FINAL DECISION IS RECIEVED AND THE APPEAL IS CLOSED, THESE FILES ARE BOXED UP AND SENT TO THE STATE RECORDS CENTER.

RESPONSIBLE DIVISION(S) -- OFFICE OF THE SECRETARY, LEGAL SERVICES AND MANAGEMENT SERVICES.

RETENTION -- APPEAL DOCUMENTS ARE RETAINED IN FILES BY PARTICIPANT AND KEPT FOR 25 YEARS AFTER THE APPEAL IS CLOSED.

<u>00105000.</u>	<u>INCOME CONTINUATION INSURANCE (ICI) AND LONG TERM DISABILITY INSI</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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INDIVIDUAL FILES FOR CLAIMS PROCESSED BY THE THIRD PARTY ADMINISTRATOR (TPA) FOR THE INCOME CONTINUATION INSURANCE (ICI) AND LONG TERM DISABILITY INSURANCE (LTDI) PROGRAMS. RECORDS WILL CONTAIN CLAIM APPLICATION, MEDICAL DOCUMENTATION REQUIRED TO APPROVE CLAIM, REQUESTS FOR VOCATIONAL REHABILITATION, FIRST PAYMENT LETTER, AND ANY CORRESPONDENCE BETWEEN THE TPA, THE CLAIMANT, THE DEPARTMENT OF EMPLOYEE TRUST FUNDS, EMPLOYERS, AND MEDICAL PROVIDERS. THE RECORDS ARE BOXED IN ALPHABETICAL ORDER, BY YEAR CLOSED. THE FILES ARE USED TO MONITOR CLAIMS FOR ELIGIBILITY FROM THE FIRST APPROVAL AND ON AN ONGOING BASIS UNTIL THE CLAIM IS CLOSED.

RETENTION: FILES ARE RETAINED FOR 7 YEARS AFTER CLOSED AND DESTROYED CONFIDENTIAL.

RESPONSIBLE DIVISION: INSURANCE SERVICES.

<u>00114A00.</u>	<u>LIFE INSURANCE CLAIMS FILES (DEATH AND DISABILITY)</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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LIFE INSURANCE CLAIM FILES FOR DEATH AND DISABILITY CLAIMS ARE IMAGED AND ARE KEPT PERMANENTLY BY MINNESOTA LIFE'S HOME OFFICE (ETF'S THIRD PARTY ADMINISTRATOR) FOR THE LIFE INSURANCE PROGRAM. CLAIM FILES CONSIST OF VARIOUS FORMS AND CORRESPONDENCE USED IN PAYING OUT THE CLAIM.

THE WISCONSIN PUBLIC EMPLOYERS GROUP LIFE INSURANCE PROGRAM IS MANAGED BY ETF THROUGH A THIRD-PARTY ADMINISTRATOR, WHICH CURRENTLY IS MINNESOTA LIFE. THE RECORDS ASSOCIATED WITH THE PROGRAM BELONG TO ETF.

RETENTION - IMAGED CLAIM FILES ARE RETAINED FOR 10 YEARS AFTER THE CLAIM IS PAID AND DESTROYED CONFIDENTIAL.

RESPONSIBLE DIVISION - INSURANCE SERVICES

<u>00115000.</u>	<u>LIFE INSURANCE DEATH CLAIM FILES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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ORIGINAL LIFE INSURANCE DEATH CLAIM FILES ARE KEPT BY MINNESOTA LIFE'S MADISON BRANCH OFFICE (ETF'S THIRD PARTY ADMINISTRATOR) FOR THE LIFE INSURANCE PROGRAM IN THE MADISON BRANCH OFFICE. CLAIM FILES CONSIST OF VARIOUS FORMS AND CORRESPONDENCE USED IN PAYING OUT THE CLAIM.

THE WISCONSIN PUBLIC EMPLOYERS GROUP LIFE INSURANCE PROGRAM IS MANAGED BY ETF THROUGH A THIRD-PARTY ADMINISTRATOR, WHICH CURRENTLY IS MINNESOTA LIFE. THE RECORDS ASSOCIATED WITH THIS PROGRAM BELONG TO ETF.

RETENTION - RETAIN 2 YEARS AFTER PAID OUT AND DESTROY CONFIDENTIAL. THE HOME OFFICE ALSO RETAINS AN ELECTRONIC FILE FOR 10 YEARS AFTER THE CLAIM IS PAID (SEE RDA 114A).

RESPONSIBLE DIVISION - INSURANCE SERVICES.

<u>00116000.</u>	<u>LIFE INSURANCE CLOSED DISABILITY CLAIM FILES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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ORIGINAL LIFE INSURANCE CLAIM FILES FOR CLOSED DISABILITY CLAIMS ARE KEPT BY MINNESOTA LIFE'S MADISON BRANCH OFFICE (ETF'S THIRD PARTY ADMINISTRATOR) FOR THE LIFE INSURANCE PROGRAM. CLAIM FILES CONSIST OF VARIOUS FORMS AND CORRESPONDENCE USED IN PAYING OUT THE DISABILITLY CLAIM.

RDA #	RDA Title	Retention	Disposition	PII
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THE WISCONSIN PUBLIC EMPLOYERS GROUP LIFE INSURANCE PROGRAM IS MANAGED BY ETF THROUGH A THIRD-PARTY ADMINISTRATOR, WHICH IS CURRENTLY IS MINNESOTA LIFE. THE RECORDS ASSOCIATED WITH THIS PROGRAM BELONG TO ETF.

RETENTION - RETAIN 2 YEARS AFTER PAID OUT AND DESTROY CONFIDENTIAL. THE HOME OFFICE ALSO RETAINS AN ELECTRONIC FILE FOR 10 YEARS AFTER THE CLAIM IS PAID (SEE RDA 00114A).

RESPONSIBLE DIVISION - INSURANCE SERVICES

<u>00117A00.</u>	<u>LIFE INSURANCE UNDERWRITING FILES</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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LIFE INSURANCE UNDERWRITING FILES ARE MAINTAINED BY MINNESOTA LIFE'S HOME OFFICE GROUP UNDERWRITING DEPARTMENT (ETF'S THIRD PARTY ADMINISTRATOR) FOR THE LIFE INSURANCE PROGRAM. THEY ARE KEPT IN THEIR IMAGING SYSTEM. THESE FILES CONSIST OF CORRESPONDENCE, UNDERWRITING FORMS, MEDICAL RECORDS, ETC.

THE WISCONSIN PUBLIC EMPLOYERS GROUP LIFE INSURANCE PROGRAM IS MANAGED BY ETF THROUGH A THIRD-PARTY ADMINISTRATOR, WHICH CURRENTLY IS MINNESOTA LIFE. THE RECORDS ASSOCIATED WITH THIS PROGRAM BELONG TO ETF.

RETENTION - RETAINED FOR 10 YEARS AFTER CREATED AND DESTROYED CONFIDENTIAL.

RESPONSIBLE DIVISION - INSURANCE SERVICES.

<u>00117C00.</u>	<u>LIFE INSURANCE UNDERWRITING FILES & EVIDENCE OF INSURABILITY FIL</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
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ORIGINAL LIFE INSURANCE EVIDENCE OF INSURABILITY APPLICATIONS (ET-2305) ARE KEPT BY MINNESOTA LIFE'S MADISON BRANCH OFFICE (ETF'S THIRD PARTY ADMINISTRATOR) FOR THE LIFE INSURANCE PROGRAM.

THE WISCONSIN PUBLIC EMPLOYERS GROUP LIFE INSURANCE PROGRAM IS MANAGED BY ETF THROUGH A THIRD-PARTY ADMINISTRATOR, WHICH CURRENTLY IS MINNESOTA LIFE. THE RECORDS ASSOCIATED WITH THIS PROGRAM BELONG TO ETF.

RETENTION - RETAIN 2 YEARS AFTER CREATED AND DESTROY CONFIDENTIAL. ELECTRONIC COPIES ARE ALSO KEPT FOR 10 YEARS IN THE HOME OFFICE (SEE RDA 00117A).

RESPONSIBLE DIVISION - INSURANCE SERVICES.

<u>00124000.</u>	<u>LOGS / REPORTS - MISCELLANEOUS (EMPLOYER SERVICES SECTION)</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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PERSONAL COMPUTER FILES OF LOGS AND REPORTS MAINTAINED IN AN ACCESS DATABASE OR EXCEL SPREADSHEETS AND USED BY THE EMPLOYER SERVICES SECTION, IN THE DAY-TO-DAY PROCESSING WHICH INCLUDES, BUT IS NOT LIMITED TO:

TRANSACTION REPORTING: HEALTH INSURANCE CONTINUATION LOG - MAINTAINED ON NETWORK AND IS AN ONGOING LISTING (NOT HISTORICAL). NOTE: WILL SOON BE OBSOLETE AS DATA IS ON NOW ON HICS DATABASE.

ADDITIONAL DEPOSIT LOG - MAINTAINED ON NETWORK, 3 YEAR ARCHIVE.

FINANCIAL CONTROL:

BUYBACK AUDIT LOGS - ACCESS FILES: QUALIFIED/FORFEITED SERVICE UPLOAD PROGRAM (EFFECTIVE 05/01/99);

QUALIFIED/FORFEITED SERVICE UPLOAD PROGRAM, ACT 11 (EFFECTIVE 11/01/01).

SEVERAL ANNUAL RECONCILIATION LOGS, INCLUDING THE FOLLOWING EXCEL FILES: CONTROL LOG (1995); STATUS LOG(1995); PACKET LOG (1995); REMITTANCE LOG (1999); SS PROBLEM LIST (2000).

THESE FILES ARE MAINTAINED FOR THREE YEARS IN-HOUSE ON THE NETWORK AND THEN DESTROYED CONFIDENTIAL. BOX 16: PROTECTED PER SS. 40.07 (1) AND (2).

RESPONSIBLE DIVISION - RETIREMENT SERVICES

RETENTION: CR+3 YEARS AND DESTROY CONFIDENTIAL

<u>00129000.</u>	<u>WISCONSIN RETIREMENT SYSTEM (WRS) OVER/UNDER BALANCE PROCES!</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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THESE RECORDS ARE MAINTAINED IN AN ACCESS DATABASE ON THE NETWORK. CONTAINS THE DETAILED AND SUMMARY BREAKDOWNS FOR EACH EMPLOYER OF ANY OUTSTANDING OVER/UNDER BALANCES IN THE CONTRIBUTION SYSTEM USED TO PRODUCE BILLING DOCUMENTATION AS WELL AS REPORTS OF ALL EMPLOYERS WITH OUTSTANDING BALANCES DUE.

THIS IS A WORKING DATABASE THAT IS UPDATED ON A MONTHLY BASIS BASED ON WEBS DOWNLOADED DATA. FILE IS MAINTAINED IN NUMERIC ORDER BY EIN (EMPLOYER IDENTIFICATION NUMBER) FOR ONE YEAR AFTER CLOSED AND DESTROYED CONFIDENTIAL.

BOX 16: PROTECTED PER SS. 40.07 (1) AND (2).

RESPONSIBLE DIVISION - RETIRMENT SERVICES

Dept #: 700/

Department Name: ETF DEPARTMENT RECORDS

RDA # RDA Title Retention Disposition PII

RETENTION: EVENT(CLOSED) + 1 YEAR AND DESTROY CONFIDENTIAL

00136000. IT'S YOUR CHOICE HEALTH INSURANCE MATERIALS EVT+10 DEST Y

RECORDS CONTAIN VARIOUS PIECES RELATING TO THE IT'S YOUR CHOICE (IYC) HEALTH INSURANCE PROCESS EACH YEAR. INCLUDES ITEMS SUCH AS:

- * IYC SCHEDULE
- * IYC MAILING
- * RATES
- * EMPLOYER BULLETINS
- * IYC HEALTH FAIRS
- * KICKOFF MATERIALS
- * LOW COST PLAN
- * PLAN CONTACTS
- * LOCAL EMPLOYERS
- * STATE CONTACTS
- * LATE IYC APPLICATIONS

RETENTION - RETAIN FOR 10 YEARS AFTER ANNUAL ENROLLMENT PROCESS IS CLOSED OUT AND DESTROY CONFIDENTIAL.

RESPONSIBLE DIVISION - INSURANCE SERVICES

00138000. LIFE INSURANCE BILLING FILES CR+7 DEST Y

THESE FILES CONTAIN PAPER COPIES OF MONTHLY PREMIUM BILLINGS SUBMITTED BY LOCAL GOVERNMENT WRS EMPLOYERS KEPT BY MINNESOTA LIFE'S MADISON BRANCH OFFICE (ETF'S THIRD PARTY ADMINISTRATOR) FOR THE LIFE INSURANCE PROGRAM. AN ELECTRONIC COPY IS ALSO MAINTAINED IN THEIR HOME OFFICE (SEE RDA 00138A).

THE WISCONSIN PUBLIC EMPLOYERS GROUP LIFE INSURANCE PROGRAM IS MANAGED BY ETF THROUGH A THIRD-PARTY ADMINISTRATOR, WHICH CURRENTLY IS MINNESOTA LIFE. THE RECORDS ASSOCIATED WITH THIS PROGRAM BELONG TO ETF.

RETENTION - RETAIN PAPER COPIES 7 YEARS AFER CREATED AND DESTROY CONFIDENTIAL.

RESPONSIBLE DIVISION - INSURANCE SERVICES.

00138A00. LIFE INSURANCE BILLING FILES CR+7 DEST Y

THESE FILES ARE ELECTRONIC COPIES OF THE MONTHLY PREMIUM BILLINGS SUBMITTED BY LOCAL GOVERNMENT WRS EMPLOYERS KEPT BY MINNESOTA LIFE'S HOME OFFICE (ETF'S THIRD PARTY ADMINISTRATOR) FOR THE LIFE INSURANCE PROGRAM. PAPER COPIES ARE ALSO MAINTAINED AT THEIR MADISON BRANCH OFFICE (SEE RDA 00138).

THE WISCONSIN PUBLIC EMPLOYERS GROUP LIFE INSURANCE PROGRAM IS MANAGED BY ETF THROUGH A THIRD-PARTY ADMINISTRATOR, WHICH CURRENTLY IS MINNESOTA LIFE. THE RECORDS ASSOCIATED WITH THIS PROGRAM BELONG TO ETF.

RETENTINO - RETAIN ELECTRONIC COPIES 7 Y EARS AFTER CREATED AND DESTROY CONFIDENTIAL.

RESPONSIBLE DIVISION - INSURANCE SERVICES.

00139000. LIFE INSURANCE ANNUAL RENEWAL CENSUS FILES CR+7 DEST Y

THE MINNESOTA LIFE'S MADISON BRANCH OFFICE (ETF'S THIRD PARTY ADMINISTRATOR) MAINTAINS A PAPER COPY OF THE ANNUAL RENEWAL CENSUS SCHEDULE AND EXCEPTION REPORTS FOR THE LIFE INSURANCE PROGRAM.

THE WISCONSIN PUBLIC EMPLOYERS GROUP LIFE INSURANCE PROGRAM IS MANAGED BY ETF THROUGH A THIRD-PARTY ADMINISTRATOR, WHICH CURRENTLY IS MINNESOTA LIFE. THE RECORDS ASSOCIATED WITH THIS PROGRAM BELONG TO ETF.

RETENTION - RETAIN FOR 7 YEARS AFTER CREATED AND DESTROYED CONFIDENTIAL.

RESPONSIBLE DIVISION - INSURANCE SERVICES.

00147000. SOCIAL SECURITY ADMINISTRATION SECTION 218 AGREEMENTS / MODIFIC P PERM N

WISCONSIN RECORD OF THE SOCIAL SECURITY SECTION 218 AGREEMENT AND MODIFICATIONS BETWEEN THE FEDERAL SOCIAL SECURITY ADMINISTRATION, THE STATE OF WISCONSIN AND WISCONSIN PUBLIC EMPLOYERS. THE ORIGINALS ARE KEPT BY THE SOCIAL SECURITY ADMINISTRATION AFTER EXECUTED AND A SIGNED COPY IS SENT TO ETF (ALSO CONSIDERED AN ORIGINAL). THESE DOCUMENTS ARE A HISTORICAL RECORD OF WHEN GOVERNMENTAL EMPLOYERS WERE ENROLLED IN THE FEDERAL SOCIAL SECURITY PROGRAM. ETF SERVES AS THE SSA LIAISON WITH

RDA #	RDA Title	Retention	Disposition	PII
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OVER 2,400 PUBLIC WISCONSIN ENTITIES. AS NEW PUBLIC ENTITIES JOIN THE WRS, THEY MUST ALSO JOIN THE SOCIAL SECURITY PROGRAM FOR THEIR EMPLOYEES WHICH RESULTS IN MODIFICATIONS BEING EXECUTED TO ADD THEM TO THE PROGRAM ON AN ANNUAL BASIS.

RETENTION: THE DOCUMENTS MUST BE RETAINED PERMANENTLY. THE SSA RELATED DOCUMENTS MUST BE KEPT PERMANENTLY PER: SL10001.130 (4.) - MAINTAIN SECTION 218 RELATED RECORDS. IT IS THE RESPONSIBILITY OF THE STATE ADMINISTRATOR TO MAINTAIN SECTION 218 RECORDS PERMANENTLY AND SECURELY. DESTRUCTION OF ORIGINAL RECORDS IS NOT AUTHORIZED. IN ORDER TO MEET THE RECORDS RETENTION REQUIREMENTS, THE STATE ADMINISTRATOR SHALL: *MAINTAIN THE STATE'S ORIGINAL HARDCOPY FILE OF ALL SECTION 218 RELATED COVERAGE INFORMATION, INCLUDING THE STATE'S SECTION 218 AGREEMENT, MODIFICATIONS, DISSOLUTIONS, INTRASTATE AGREEMENTS, AND ALL ASSOCIATED CORRESPONDENCE IN A SECURE ENVIRONMENT THAT SHOULD BE BOTH WATERPROOF AND FIREPROOF; * CONSIDER IMPLEMENTING A REDUNDANT SYSTEM TO BACKUP HARDCOPY FILES (EXAMPLE, AN ELECTRONIC DATABASE OF SCANNED FILES); *ROUTINELY BAKC UP ELECTRONIC FILES, AND THE BACKUP FILES SHOULD BE STORED IN A SEPARATE AND SECURE LOCATION AWAY FROM THE ORIGINALS; AND *ROUTINELY EVALUATE ELECTRONIC AND HARDCOPY FILES TO INSURE THE INTEGRITY OF THE DOCUMENTS.
 HTTPS://SECURE.SSA.GOV/APPS10/POMS.NSF/INX/1910002230 RESPONSIBLE DIVISION - RETIREMENT SERVICES

RETENTION: PERMANENT

<u>00148000.</u>	<u>DATA/DATABASE CHANGES AND SERVICE REQUESTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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RECORD SERIES INCLUDES COPIES OF DATA AND DATABASE CHANGES AND SERVICE REQUESTS. DATA AND DATABASE CHANGES REQUEST CHANGES TO SET UP TABLES THAT CONTAIN DATA, OR MODIFY THEIR STRUCTURE. SERVICE REQUESTS COVER A MISCELLANEOUS RANGE OF TASKS THAT, FOR EXAMPLE, REQUEST CHANGING DATA IN CODE TABLES, GRANTING AUTHORITIES IN TABLES OR FILES, CHANGING PRINT PARAMETERS, PRODUCING AD HOC REPORTS, ETC.

PAPER AND ELECTRONIC DOCUMENTATION OF REQUESTS ARE KEPT IN-HOUSE FOR APPROXIMATELY 18 MONTHS AFTER COMPLETED AND THEN SENT TO THE SRC FOR THE REMAINING 8.5 YEARS.

RESPONSIBLE DIVISION = MANAGEMENT SERVICES/INFORMATION TECHNOLOGY SERVICES BUREAU

RETENTION: EVENT(ENTERED INTO DATA SYSTEM) + 10 YEARS AND DESTROY

<u>00149000.</u>	<u>INTERACTIVE VOICE RESPONSE (IVR) SYSTEM</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE IVR ALLOWS PARTICIPANTS TO LEAVE REQUESTS FOR FORMS AND BROCHURES, TO CHANGE HOME ADDRESSES FOR ANNUITANTS, AND TO CHANGE TAX WITHHOLDING ELECTIONS FOR ANNUITANTS FOR STAFF TO PROCESS. THE SOURCE OF THESE REQUESTS IS THE PARTICIPANT, EITHER BY CALLING OUR AUTOMATED TELEPHONE SYSTEM AND LEAVING THE INFORMATION REQUESTED BY PROMPTS OR BY SPEAKING WITH AN ETF STAFF PERSON. THE INFORMATION IS THEN KEYED INTO AN ACCESS DATABASE (IVR PROD) FOR FORMS AND BROCHURES REQUESTS OR INTO THE ANNUITY SYSTEM FOR ADDRESS AND TAX WITHHOLDING CHANGES. THE SYSTEM CONSISTS OF TWO PARTS - THE INTERACTIVE VOICE PHONE SYSTEM AND THE ACCESS DATABASE.

<u>00149A00.</u>	<u>INTERACTIVE VOICE RESPONSE (IVR) SYSTEM DATA</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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ALL DATA INPUT INTO THE PHONE SIDE BY THE PARTICIPANTS IS ENTERED INTO OTHER DATABASES OR SYSTEMS SO REPORTS CAN BE GENERATED TO PROCESS THE REQUESTS.

RETENTION - ONCE ENTERED INTO ANOTHER SYSTEM, THE REQUEST IS DELETED.

<u>00149B00.</u>	<u>INTERACTIVE VOICE RESPONSE (IVR) SYSTEM PROCESSING</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE DATA ENTERED INTO THE ACCESS DATABASE SITS IN THE FOLLOWING TABLES:

TBL_IVR_RQST_HDR
 TBL_IVR_RQST_DTL
 TBL_IVR_RQSTR_INFO
 TBL_IVR_TAX_WH_CHG

THE DATA IS USED TO GENERATE REPORTS FOR PROCESSING. FORMS & BROCHURE REQUESTS GO TO THE SUPPLY & MAIL SERVICES SECTION TO FILL THE REQUESTS. ADDRESS CHANGES AND TAX WITHHOLDING REPORTS GO TO BENEFIT PAYMENTS FOR ACTION.

<u>00149C00.</u>	<u>INTERACTIVE VOICE RESPONSE (IVR) SYSTEM ELECTRONIC FILE / DATA SE</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
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THE IVR SYSTEM CONSISTS OF TWO PIECES. THE FIRST IS THE INTERACTIVE VOICE RESPONSE SYSTEM WHICH CONTAINS THE PROMPTS AND CHOICES PARTICIPANTS CAN MAKE VIA THE PHONE SYSTEM. THIS INFORMATION IS SUBSEQUENTLY TRANSCRIBED BY A STAFF MEMBER INTO ANOTHER DATABASE OR SYSTEM. THE MESSAGE IS THEN DELETED.

THE ACCESS DATABASE PIECE ALLOWS A STAFF MEMBER TO ENTER THE INFORMATION FROM THE PHONE SYSTEM SO REPORTS ARE GENERATED FOR FOLLOW-UP ACTION.

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RETENTION -

- A) PHONE SYSTEM - MESSAGES ARE DELETED AFTER TRANSCRIBED AND/OR OUTPUT TO A REPORT. (0 TIME)
 B) ACCESS DATABASE - DATA IS PURGED QUARTERLY (3 MONTHS)

<u>00149D00.</u>	<u>INTERACTIVE VOICE RESPONSE (IVR) SYSTEM OUTPUTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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PAPER OUTPUTS

- 1) FORMS / BROCHURES REQUEST SUMMARY, REPORT ID EE052, PROGRAM TR643P00
 RETENTION - RETAINED ONE MONTH TO ONE YEAR AFTER REQUESTS ARE FILLED AND DATA IS KEYED INTO THE FORMS INVENTORY SYSTEM (SEE GENERAL SCHEDULE FORMS003)
- 2) ADDRESS CHANGE REQUESTS, REPORT ID EE051, PRGRAM TR673P00
 RETENTION - RETAINED ON SITE FOR 6 MONTHS (1 MONTH IN PAYMENTS; 5 MONTHS IN RECORDS) AND THEN SENT OFF-SITE TO THE STATE REORDS CENTER FOR AN ADDITIONAL 12 MONTHS FOR A TOTAL OF 18 MONTHS (SEE RDA 00150).
- 3) TAX WITHHOLDING REQUESTS, REPO0RT ID BE073, PROGRAM TR675P91
 RETENTION - THESE REPORTS ARE RETAINED WITH THE CHECKWRITING REPORTS FOR FIS+4 YEARS (SEE RDA 00001).

<u>00153000.</u>	<u>DOMESTIC PARTNERS SYSTEM</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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THE DOMESTIC PARTNERS SYSTEM IS A DB2 WEB APPLICATION WHICH ALLOWS DATA ENTRY AND INQUIRY INFORMATION RELATED TO DOMESTIC PARTNERS WHO HAVE FILED AFFIDAVITS WITH ETF AND ARE ELIGIBLE UNDER CHAPTER 40 FOR BENEFITS, HEALTH INSURANCE, AND LIFE INSURANCE COVERAGE. THIS SYSTEM WAS BUILT AS A RESULT OF WISCONSIN ACT 28, WHICH MADE CHANGES TO CHAPTER 40 WHICH ALLOWS DOMESTIC PARTNERS TO RECEIVE THESE BENEFITS.

THE DOMESTIC PARTNERS SYSTEM ALLOWS USERS TO PERFORM TWO TYPES OF INQUIRY SEARCHES TO HELP DETERMINE WHERE EITHER PARTNER EXISTS WITHIN ETF: (1) A SEARCH OF THE DOMESTIC PARTNER TABLE; (2) A GLOBAL SEARCH WHICH INCLUDES THE DOMESTIC PARTNER TABLE, HICS (HEALTH INSURANCE SYSTEM), WEBS (WIS. EMPLOYEE BENEFIT SYSTEM) AND BPS (BENEFIT PAYMENT SYSTEM).

SEE HARD COPY FOR COMPLETE DESCRIPTION

<u>00155000.</u>	<u>RETCALCS - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE DATASETS INCLUDE INFORMATION THAT WAS UPLOADED FROM DB2 DATABASE TABLES, REPORT INFORMATION, PROGRAM EXTRACT INFORMATION, AND DATA TO KEEP THE RETCALCS SUBSYSTEM SYNCHRONIZED WITH THE BENEFIT PAYMENT SYSTEM.

THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF:

1. PARTICIPANT/DEMOGRAPHIC INFORMATION (SSN, PLAN TYPE, PLAN OCCURRENCE)
2. SERVICE AND EARNINGS
3. PAYMENT HISTORY
4. ACCOUNT BALANCES
5. EMPLOYER
6. EMPLOYEE/EMPLOYER DETAIL
7. QDRO ALTERNATE PAYEE
8. RETIREMENT PLAN
9. RETIREMENT APPLICATION/FINAL BENEFIT
10. TAX WITHHOLDING
11. ACCOUNTS RECEIVABLE
12. RECONCILIATION
13. VARIABLE PARTICIPATION

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
 CHRIS.LINDEMAN@ETF.STATE.WI.US

EVENT = RETAINED UNTIL SUPERSEDED (BENEFIT CANCELLED OR FINALIZED) AND ACCOUNT IS MOVED TO BENEFIT PAYMENT SYSTEM (BPS) AND DESTROY CONFIDENTIAL

<u>00155A00.</u>	<u>RETCALCS - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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ALL PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES - RETENTION VARIES FROM 10 TO 100 GENERATIONS AND DELETED (SEE ATTACHED).

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
 CHRIS.LINDEMAN@ETF.STATE.WI.US

EVENT = RETAIN 10 TO 100 GENERATIONS AND DELETE

RDA #	RDA Title	Retention	Disposition	PII
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<u>00155B00.</u>	<u>RETCALCS APPLICATION FILES, JCL'S, AND PROGRAM FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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APPLICATIONS, JCLS, PROGRAMS, AND FILES ARE LISTED BELOW. ALL ARE DEFINED IN A DETAILED TABLE THAT IS ATTACHED (SEE ATTACHMENT A) TO THIS RDA FOR REFERENCE.

- INPUT, UPDATE AND INQUIRY SCREENS
- RETIREMENT FINAL EDIT/CALCULATIONS
- RETIREMENT ANNUITY ESTIMATE DOWNLOAD
- RETIREMENT ANNUITY UPLOAD - CHANGES
- RETIREMENT ANNUITY FINAL DOWNLOADS
- RETIREMENT PROCESSING/BENEFITS BRIDGE INTERFACE
- RETIREMENT DAILY REPORT EXTRACT
- RETIREMENT CALCULATIONS STATISTICAL REPORTS EXTRACT
- RETIREMENT CALCULATIONS REPORT PRINT CONTROL

MGMTCLAS-IMSTD RETENTION - SOME FILES, SUCH AS PUNCH FILES, HAVE A MANAGEMENT CLASS RETENTION THAT IS AS LONG AS THE ASSOCIATED UPLOAD FILE BECAUSE BOTH ARE THEORETICALLY NEEDED TO DO A LOAD AND THUS MUST MATCH. THE DEFAULT IS 730 DAYS AFTER LAST ACCESS.

GDG INFO RETENTION - WHEN A NEW GENERATION IS CREATED (EACH DAY, WEEK OR MONTH, DEPENDING ON THE FILE), THE LONGEST THE FILE IS KEPT WOULD BE THE NUMBER OF GENERATIONS NOTED. WHEN THE NEXT NUMBERED GENERATION SET IS CREATED, THE OLDEST ONE FALLS OFF THE CATALOG. IF THE PROCESS STOPS CREATING GENERATIONS, NONE OF THE GENERATIONS WOULD BE KEPT BEYOND THE 730 DAYS NOTED IN THE MGMTCLAS COLUMN RETENTION AFTER THEIR LAST ACCESS.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.STATE.WI.US

EVENT = RETAIN UNTIL SUPERSEDED

<u>00157000.</u>	<u>GROUP HEALTH INSURANCE ALTERNATE PLAN PROVIDER DIRECTORIES A</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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RECORD OF MARKETING INFORMATION SENT TO WISCONSIN RETIREMENT SYSTEM HEALTH PARTICIPANTS WHICH INCLUDES PROVIDER DIRECTORIES AND DESCRIPTIONS OF BENEFITS OFFERED BY INDIVIDUAL HEALTH INSURANCE PLANS PARTICIPATING IN THE STATE OF WISCONSIN GROUP HEALTH INSURANCE PROGRAM.

RETENTION - FILES FOR THESE MATERIALS WILL BE KEPT IN-HOUSE FOR A YEAR OR TWO AND THEN TRANSFERRED TO THE STATE RECORDS CENTER FOR THE REMAINDER OF THE RETENTION TIMEFRAME.

RESPONSIBLE DIVISION - INSURANCE SERVICES

<u>00158000.</u>	<u>RETIRED LIVES - GENERATION DATA GROUPS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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LISTED BELOW ARE THE GENERATION DATA GROUPS (GDGS) RELATED TO RETIRED LIVES FOR DATA PULLED FROM OTHER DATABASES. THE RETENTION OF THESE DATASETS IS DETERMINED BY THE NUMBER OF GENERATIONS DEFINED FOR THE GDG, AND ALSO BY THE MANGEMENT CLASS ASSIGNED BY THE JOB THAT CREATES THE FILE. (IF THE GDG HAS A MAXIMUM OF 10 GENERATIONS, THEN ONLY 10 WILL BE SAVED. IF THE JOB CREATES THE FILE WITH A MANAGEMENT CLASS OF THREE MONTHS, THEN THE FILE WILL BE KEPT FOR ONLY THREE MONTHS, EVEN THOUGH THE MAXIMUM NUMBER OF GENERATIONS HAS NOT BEEN REACHED.)

BELOW ARE THE DATASETS WITH THE NUMBER OF GENERATIONS KEPT AND THE APPROXIMATE TIMEFRAME EACH IS KEPT.

- * ETFWEBSB.PPSLOGS.TR162A06 (10 GENS)
- * ETFWESP.TR162A06.RETLIVES.ACTUARL(10 GENS)
- *ETFWEBSB.TR162A06.RETLIVES.EXCL(0 GENS)
- *ETFP.GIB.GIBALCC.G0(###)V00(13 GENS)
- ETFP.WRS.GIB.ACT(YY)(7 GENS)
- ETFP.SS62.YR__(2 GENS) (EX: ETFP.SS62.YR2012)
- ETFP.SS65.YR__(2 GENS) (EX: ETFP.SS65.YR2012)

PROGRAM CONTACT: JERRY DIETZEL, (608) 266-1132
JERRY.DIETZEL@ETF.STATE.WI.US

<u>00158A00.</u>	<u>RETIRED LIVES - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE RETIRED LIVES TEXT FILE THAT IS CREATED FROM THE BENEFITS PAYMENT SYSTEM - ACTUARY EXTRACT HAS THE FOLLOWING FIELDS:

- * BENEFIT ACCOUNT ID
- * BENEFIT ACCOUNT TYPE
- * CALCULATION TYPE
- * CHANGE CODE

RDA #	RDA Title	Retention	Disposition	PII
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* CURRENT PAYEE LAST NAME
 * CURRENT PAYEE SEX
 * CURRENT PAYEE BIRTH DATE
 * CURRENT PAYEE DECEASED DATE
 * DEATH STATUS CODE
 * DIVIDEND PAYABLE
 * ELECTED SERVICE AMOUNT PRE 2000
 * ELECTED SERVICE AMOUNT POST 1999
 * FUND SOURCE EFFECTIVE DATE
 * FUND SOURCE ID
 * FUNDING SOURCE TYPE
 * GENERAL SERVICE AMOUNT PRE 2000
 * GENERAL SERVICE AMOUNT POST 1999
 * JOINT SURVIVOR STATUS CODE
 * JOINT SURVIVOR SEX
 * JOINT SURVIVOR BIRTH DATE
 * JOINT SURVIVOR DECEASE DATE
 * MEMBER ID
 * MONEY PURCHASE VALUE FIXED
 * MONEY PURCHASE VALUE VARIABLE
 * MONTHLY AMOUNT EXPIRATION DATE
 * MONTHLY AMOUNT ID
 * MONTHLY AMOUNT STATUS
 * MONTHLY AMOUNT TYPE
 * MULTIPLE RECORD INDICATOR
 * ORIGINAL AMOUNT
 * ORIGINAL PARTICIPANT SSN
 * PAYMENT OPTION GUARANTEED END DATE
 * PAYMENT OPTION ID
 * PAYMENT OPTION TYPE
 * PROT W SS SERVICE AMOUNT PRE 2000
 * PROT W SS SERVICE AMOUNT POST 1999
 * PROT WO SS SERVICE AMOUNT PRE 2000
 * PROT WO SS SERVICE AMOUNT POST 1999
 * RECIPIENT TYPE
 * SSN
 * VARIABLE CANCELLATION CODE
 * VARIABLE TRANSFER DATE

PROGRAM CONTACT: JERRY DIETZEL, (608) 266-1132
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<u>00158B00.</u>	<u>RETIRED LIVES - EXTRACT FILE PROCESS</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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THE DESKTOP PROGRAM GRABS ALL ROWS FROM THE RETIRED LIVES SNAPSHOT DATABASE FOR A GIVEN YEAR (THE SAME YEAR THE LOAD PROCESS USES, STORED IN THE BPS SYSTEM PROPERTIES TABLE) AND POPULATES AN EXTRACT FILE IN THE STRUCTURE REQUIRED BY THE ACTUARIES.

THIS FILES IS THE MAIN DELIVERABLE AND IS HANDED OFF TO THE ACTUARY FOR FURTHER EXAMINATION. THE FILE IS A SNAPSHOT OF THE ENTIRE ANNUITANT POPULATION FOR THE PROCESSING YEAR. IT IS A FIXED LENGTH FLAT TEXT FILE.

THE FILE CONTAINS 42 FIELDS.

THESE FILES ONCE EXTRACTED ARE NAMED AND RETAINED FOR EACH CALENDAR YEAR THEY ARE CREATED.

PROGRAM CONTACT: JERRY DIETZEL, (608) 266-1132
 JERRY.DIETZEL@ETF.STATE.WI.US

<u>00158C00.</u>	<u>RETIRED LIVES - EXCLUSION FILE</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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THE FORMAT OF THE EXCLUSION FILE IS A BIT DIFFERENT THAN THE MAIN EXTRACT FILE. IT IS A TYPE "I" DELIMITED FILE AND CONTAINS A HEADER ROW. THE MESSAGE FIELD IS CREATED IN THE EXTRACT PROCESS AND CONTAINS AN EXPLANATION OF WHY THE RECORD WAS NOT INCLUDED IN THE RETIRED LIVES FILE.

THE EXCLUSION FILE CONTAINS THE FOLLOWING FIELDS:

* PARTYID
 * BENACCTLD
 * FUNDSOURCELD
 * PAYMENTOPTIONLD
 * MONTHLYAMOUNTLD
 * SSN
 * BENACCTTYPE

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- * RECEIPTTYPE
- * FUNDSOURCETYPE
- * PAYMENTOPTION TYPE
- * MONTHLYAMOUNTTYPE
- * BENACCOUNTSTATUS
- * DEATHSTATUS
- * FUNDSOURCEEFFDATE
- * GUARANTEEENDDATE
- * MONTHLYAMOUNTEXPDATE
- * ORIGINALPARTICIPANTSSN
- * VARIABLECANCELLATIONCODE
- * VARIABLECANCELLATIONDATE
- * ORIGINALAMOUNT
- * DIVIDENDPAYABLEAMOUNT
- * MESSAGE

PROGRAM CONTACT: JERRY DIETZEL, (608) 266-1132
JERRY.DIETZEL@ETF.STATE.WI.US

00158D00. **RETIRED LIVES - SNAPSHOT FILE****P****PERM****Y**

THIS DATABASE CONTAINS ONE TABLE WHICH IS NEW AS OF 2011 PROCESSING YEAR AND IS NAMED TBL_SN_RET_LVS AND IS APPENDED TO BY THE LOAD PROCESS EACH YEAR. THE STRUCTURE OF THIS TABLE IS VERY SIMILAR TO THE STRUCTURE OF THE EXTRACT FILE. POPULATING THIS TABLE ALLOWS FOR EASY LOOKUPS OF SPECIFIC ROWS DURING RECONCILIATION. THE TABLE INCLUDES THE FOLLOWING FIELDS:

ACCT_ST_CD
BATCH_YR
BEN_ACCT_ID
BEN_ACCT_TYPE_CD
BRTH_DATE
CALC_TYPE_CD
CHG_CD
DGL_CUR_AMT
DTH_DATE
DTH_ST_CD
ELECT_POST99_SVC
ELECT_PRE2K_SVC
EXCLD_IND
F_MP_BEN
FND_SRCE_CD
FND_SRCE_EFF_DATE
FND_SRCE_ID
GEN_POST99_SVC
GEN_PRE2K_SVC
GNDR_CD
GNDR_CD
GUAR_END_DATE
JTSURV_BIRTH_DATE
JTSURV_DTH_DATE
JTSURV_GNDR_CD
JTSURV_STATUS_CD
LAST_NM
MESSAGE
MTHLY_AMT_EXP_DATE
MTHLY_AMT_ID
MTHLY_AMT_TYPE_CD
MULT_REC_CD
NORM_CUR_AMT
ORIG_PART_SSNO
PMT_OPT_ID
PMT_OPT_TYPE_CD
PR_SS_POST99_SVC
PR_SS_PRE2K_SVC
PR_WOSS_POST99-SVC
PR_WOSS_PRE2K_SVC
PTY_ID
RCPNT_TYPE_CD
SSNO
V_MP_BEN
VAR_CANC_CD
VAR_TRANSFR_DATE

PROGRAM CONTACT: JERRY DIETZEL, (608) 266-1132

RDA #	RDA Title	Retention	Disposition	PII
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JERRY.DIETZEL@ETF.STATE.WI.US

<u>00158E00.</u>	<u>RETIRED LIVES - LINKED TABLES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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THE FOLLOWING ETF DATABASE TABLES ARE LINKED WITHIN THE RETIRED LIVES DATABASE:

ETFWDBA_TBL_BEN_ACCT
 ETFWDBA_TBL_BPS_FND_SRCE
 ETFWDBA_TBL_BPS_MTHLY_AMT
 ETFWDBA_TBL_BPS_PMT_OPT
 ETFWDBA_TBL_BPS_PTY
 ETFWDBA_TBL_BPS_PTY_ROL
 ETFWDBA_TBL_BPS_DEDN_INS_LIFE
 ETFWDBA_TBL_DEMO_PTY
 ETFWDBA_TBL_EE_RET_FUND
 ETFWDBA_TBL_EE_TRANS_HIST
 ETFWDBA_TBL_PMT
 ETFWDBA_TBL_SN_BEN_ACCT
 ETFWDBA_TBL_SN_FND_SRCE
 ETFWDBA_TBL_SN_MTHLY_AMT
 ETFWDBA_TBL_SN_RET_LVS
 ETFWDBA_TBL_VARIABLE_HIST

PROGRAM CONTACT: JERRY DIETZEL, (608) 266-1132
 JERRY.DIETZEL@ETF.STATE.WI.US

<u>00158F00.</u>	<u>RETIRED LIVES - CREATED TABLES</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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THE FOLLOWING TABLES ARE CREATED FOR DATA COMPARISON, RECONCILIATION AND VERIFICATION WITHIN THE RETIRED LIVES DATABASE USING QUERIES ON THE ABOVE MENTIONED TABLES:

ACTIVE CY RETIRED LIVES
 CURRENT SNAPSHOT NOT ON RETIRED LIVES
 CY SPECIAL CHECKS
 DECEMBER SNAPSHOT MM-DD-YYYY (PAYROLL PROCESS DATE OF FINAL PAYROLL OF CALENDAR YEAR)
 DECEMBER SNAPSHOT LESS EXCLUSIONS
 DECEMBER SNAPSHOT CY
 DECEMBER SNAPSHOT CY DD
 DECEMBER SNAPSHOT CY LESS DD
 DECEMBER SNAPSHOT CY LESS DD EQUAL ZERO
 DECEMBER SNAPSHOT CY LESS DD GREATER ZERO
 EXCLUSION FILE NOT ON SNAPSHOT
 EXCLUSION FILE NOT ON SNAPSHOT ESTATE
 EXCLUSION FILE NOT ON SNAPSHOT NO DD
 EXCLUSION FILE NOT ON SNAPSHOT STATE
 EXCLUSION FILE NOT ON SNAPSHOT STATE NOT DD OR EST
 EXCLUSION FILE ON SNAPSHOT
 NON ACTIVE ZERO CY RETIRED LIVES
 RETIRED LIVES NON ACTIVE
 RETIRED LIVES NON ACTIVE NOT ON DEC SNAPSHOT
 RETIRED LIVES NON ACTIVE NOT ON DEC SNAPSHOT ZEROS
 RETIRED LIVES NON ACTV ON SNAPSHOT
 RETIRED LIVES ROWS NOT ON SNAPSHOT A
 RETIRED LIVES ROWS ON SNAPSHOT
 SNAPSHOT ROWS ON CY RETIRED LIVES FILE
 SNAPSHOT ZEROS ON RETIRED LIVES
 SNAPSHOT ZEROS ON RETIRED LIVES WITH DOLLARS
 SNAPSHOT ZEROS ON RETIRED LIVES WITH ZERO

PROGRAM CONTACT: JERRY DIETZEL, (608) 266-1132
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<u>00158G00.</u>	<u>CHANGE CODE TABLE - MAINTAINED TABLE</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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THERE IS A TABLE WITHIN THE RETIRED LIVES DATABASE THAT CONTAINS A LISTING OF THE CHANGE CODES AND A CORRESPONDING DESCRIPTION OF EACH. THE TWO FIELDS ARE LISTED BELOW:

CHANGE CODE
 CHANGE CODE DESCRIPTION

PROGRAM CONTACT: JERRY.DIETZEL, (608) 266-1132
 JERRY.DIETZEL@ETF.STATE.WI.US

RDA #	RDA Title	Retention	Disposition	PII
<u>00158H00.</u>	<u>PRIOR YEAR RETIRED LIVES - CREATED</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
	THIS TABLE IS THE RETIRED LIVES TABLE FROM THE PRIOR YEAR WITH THE NAME CHANGED.			
	PROGRAM CONTACT: JERRY.DIETZEL, (608) 266-1132 JERRY.DIETZEL@ETF.STATE.WI.US			
<u>00158I00.</u>	<u>RETIRED LIVES APPLICATIONS, JCL'S AND PROGRAMS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	APPLICATIONS, JCLS AND PROGRAMS (JAVA AND COBOL) ACCESS THESE GENERATION DATA GROUP FILES TO USE THEM AS INPUT, AND THEY ALSO CREATE NEW GENERATIONS OF THESE DATASETS.			
	ALSO INCLUDES INPUT, UPDATE, & INQUIRY SCREENS.			
	AN INVENTORY OF THESE APPLICATIONS IS NOT INCLUDED IN THIS RDA, BECAUSE THE FOCUS OF THE RDA IS ON THE FILES THAT ARE KEPT (AND HOW LONG THEY ARE KEPT), NTO ON THE APPLICATIONS THAT USE OR CREATE THEM.			
	APPLICATIONS - RETAIN ALL VERSIONS JCL'S - RETAIN CURRENT VERSION + 1 PROGRAMS - RETAIN FOR 30 GENS (EXAMPLES: T50026I; T671P07; T671P08)			
	PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578 DIANE.VULTAGGIO@ETF.STATE.WI.US			
<u>00159000.</u>	<u>BPS - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	THE DATASETS INCLUDE INFORMATION THAT WAS KEYED INTO OR UPLOADED FROM DB2 DATABASE TABLES, REPORT INFORMATION, PROGRAM EXTRACT INFORMATION, AND DATA ENTERED.			
	THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF:			
	<ul style="list-style-type: none"> - ACCOUNT RECEIVABLE DATA - ACCRUAL AMOUNT - ADDITIONAL PARTICIPATION - ANNUITY FUND SOURCE - ADJUSTMENT TYPE - ADJUSTMENT DATA - BANK ACCOUNT NUMBER - BANK ACCOUNT TYPE - BANK NAME - BENEFIT ACCOUNT TYPE - CHANGE REASONS, INDICATORS, DETAILS, ETC. - CODES AND CODE DESCRIPTIONS - CORE PARTICIPATION - DEATH DATE - DEDUCTIONS - DISTRIBUTION TYPE - EFFECTIVE DATE - FUND SOURCE - GENDER - HEALTH INSURANCE PARTICIPATION - ICI PARTICIPATION - ID VERIFICATION CODES - LIFE INSURANCE PARTICIPATION - MAILER TO MEMBER - MEMBER ADDRESS - MEMBER DOB - MEMBER ID - MEMBER SSN - MONTHLY AMOUNT - OTHER MEMBER DEMOGRAPHIC DATA - PARTY DESCRIPTIONS - PAYMENT METHOD - PAYMENT OPTION - PRIVACY INDICATOR - RETIREMENT CALCULATIONS (ESTIMATE/FINAL) - SERVICE - SNAPSHOTS OF PRINCIPAL DATA - TAX DATA (E.G. WITHHOLDING AND 1099R) - TAX DEFERRED PARTICIPATION - TIMESTAMPS - VARIABLE PARTICIPATION 			

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- VOUCHER INFORMATION
- WISMART DATA
WORKFLOW

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

RETAIN INFORMATION UNTIL SUPERSEDED; AND DESTROY CONFIDENTIAL.

00159A00. BPS - GENERATION DATA GROUPS EVT DEST Y

LISTED BELOW ARE THE GENERATION DATA GROUPS (GDGS) RELATED TO BPS. THE RETENTION OF THESE DATASETS IS DETERMINED BY THE NUMBER OF GENERATIONS DEFINED FOR THE GDG, AND ALSO BY THE MANAGEMENT CLASS ASSIGNED BY THE JOB THAT CREATES THE FILE. (IF THE GDG HAS A MAXIMUM OF 10 GENERATIONS, THEN ONLY 10 WILL BE SAVED. IF THE JOB CREATES THE FILE WITH A MANAGEMENT CLASS OF THREE MONTHS, THEN THE FILE WILL BE KEPT FOR ONLY THREE MONTHS, EVEN THOUGH THE MAXIMUM NUMBER OF GENERATIONS HAS NOT BEEN REACHED.)

BELOW ARE THE DATASETS WITH THE NUMBER OF GENERATIONS KEPT AND THE APPROXIMATE TIMEFRAME EACH IS KEPT. (SEE HARD COPY)

PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578,
DIANE.VULTAGGIO@ETF.WI.GOV

RETENTION: RETAINED FOR NUMBER OF GENERATIONS LISTED OR 2 YEARS AND DESTROY CONFIDENTIAL.

00159B00. BPS APPLICATIONS, JCL'S, AND PROGRAMS EVT DEST Y

APPLICATIONS, JCLS AND PROGRAMS (JAVA AND COBOL) ACCESS THESE GENERATION DATA GROUP FILES TO USE THEM AS INPUT, AND THEY ALSO CREATE NEW GENERATIONS OF THESE DATASETS.

INCLUDES INPUT, UPDATED, & INQUIRY SCREENS.

AN INVENTORY OF THESE APPLICATIONS IS NOT INCLUDED IN THIS RDA, BECAUSE THE FOCUS OF THE RDA IS ON THE FILES THAT ARE KEPT (AND HOW LONG THEY ARE KEPT), NOT ON THE APPLICATIONS THAT USE OR CREAT THEM.

JAVA APPLICATIONS - RETAIN ALL VERSIONS

MAINFRAME COMPONENTS:

JCL AND COBOL PROGRAMS ARE MANAGED BY CHANGEMAN. CHANGEMAN MAINTAINS 999 CHANGES OF EACH JCL OR PROGRAM CHANGE.

THE CODE IS ALWAYS AVAILABLE, AND ETF HAS THE HISTORY OF WHAT THE CODE WAS AT ANY POINT IN TIME. CODE IS CHECKED IN AND OUT AND IS TAGGED WITH A RELEASE IDENTIFIER. SHOULD THERE BE A NEED, ETF CAN IDENTIFY THROUGH THE USE OF THE RELEASE IDENTIFIER WHAT THE "SOURCE CODE" WAS AT A GIVEN POINT OF TIME. SINCE THE CODE IS NEVER THROWN AWAY, THE LOSS PREVENTION THREAT IS MINIMAL.

PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578,
DIANE.VULTAGGIO@ETF.WI.GOV

RETENTION: RETAINED PERMANENTLY FOR JAVA APPLICATIONS AND FOR TIMEFRAME LISTED FOR JCL AND COBOL PROGRAMS AND DESTROY CONFIDENTIAL.

00159C00. BPS - PRINT PROGRAM INPUT/OUTPUT EVT DEST Y

ALL PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES - RETENTION VARIES FROM 10 TO 100 GENERATIONS AND ONCE COMPLETE THEY ARE THEN DELTED.

PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578,
DIANE.VULTAGGIO@ETF.WI.GOV

RETENTION: RETAIN A MINIMUM OF 10 GENERATIONS AND DELETE.

00159D00. BPS REPORTS CR+4 DEST Y

REPORTS ARE GENERATED FROM BPS ON A DAILY OR MONTHLY BASIS. EXAMPLES INCLUDE:

- * 62.13 BILLING REPORT DEATHS AND NAMED SURVIVORS (MONTHLY)
- * 62.13 BILLING REPORT-DETAIL/SUMMARY REPORT BY EMPLOYER (MONTHLY)
- * 69A ANNUITY PAYMENTS TOTAL TRANSMITTAL FORM - DETAIL VOUCHER REPORTS ACCOUNTS ON ESTIMATE WHICH HAVE VARIABLE OPT-OUT (MONTHLY)
- * ACCOUNTS RECEIVABLE DEDUCTIONS REPORT - WISMART A/R CODESORT ORDER (MONTHLY)
- * ACCOUNTS RECEIVABLE RECOVERIES (MONTHLY)
- * ANNUITANTS WITH HEALTH INSURANCE AND EXPIRING FUND SOURCES (DAILY)
- * AUDIT REPORT (DAILY)
- * BPS FINALIZED ANNUITIES FOR THE MONTH AND YEAR FOR RETIREMENT, 40.63 DISABILITY, 40.63(4) DISABILITY,

RDA #	RDA Title	Retention	Disposition	PII
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ROLLOVER (WEBS CLOSURE): ACTIVE AND PENDS (MONTHLY)
 * BPS FINALIZED ANNUITIES FOR THE MONTH AND YEAR FOR RETIREMENT, 40.63 DISABILITY, 40.63(4) DISABILITY, ROLLOVER (WEBS CLOSURE): CANCELLED, TERMINATED, ETC. (MONTHLY)
 * BOARD REPORT: ANNUITANT COUNTY BY LOCATION (MONTHLY)
 * BOARD REPORT: BENEFICIARIES PAID FOR FIRST TIME (MONTHLY)
 * BOARD REPORT: BENEFICIARY TERMS AND CANCELS (MONTHLY)
 * BOARD REPORT: COUNT BY ACCOUNT AND RECIPIENT TYPE (MONTHLY)
 * BOARD REPORT: CREDITABLE SERVICE (MONTHLY)
 * BOARD REPORT: MEMBER ACCOUNT COUNT (MONTHLY)
 * BOARD REPORT: RET PAID FOR FIRST TIME (MONTHLY)
 * BOARD REPORT: RET TERMS AND CANCELS (MONTHLY)
 * CHILD SUPPORT DEDUCTION REPORT(S) (OUT OF STATE) (MONTHLY)
 * DAILY RECONCILIATION CHANGE REPORT (DAILY)
 * DAILY VOUCHER REPORT (DAILY)
 * DAILY WISMART UPLOAD DOCUMENT REPORT (DAILY)
 * DEDUCTION ADJUSTMENTS ENTERED DURING PAYROLL PERIOD (MONTHLY)
 * DEDUCTION REPORT - CHILD SUPPORT, IN/OUT OF STATE (MONTHLY)
 * DEDUCTION REPORT - OTHER (MONTHLY)
 * DIRECT DEPOSIT REVERSAL REPORT (DAILY)
 * GUARANTEED BENEFICIARY AND ANNUITY CERTAIN ACCOUNTS TO CHECK END MONTH FOR PARTIAL PAYMENT REPORT (MONTHLY)
 * HEALTH INSURANCE DEDUCTION COVERAGE REPORT: DETAILED CARRIER LIST (MONTHLY)
 * HEALTH INSURANCE DEDUCTION COVERAGE REPORT: STATE/LOCAL (MONTHLY)
 * INCOME REVIEW ADDRESSES - WITHOUT DEATHS (MONTHLY)
 * NEW ACCOUNTS RECEIVABLE REPORT (MONTHLY)
 * NEW ANNUITIES WITH OPTION CODE OF 40 & 41 (MONTHLY)
 * PAYMENT INQUIRY (DAILY)
 * PRODUCE DAILY NEW ACCOUNTS RECEIVABLE -TFES VERSION (DAILY)
 * PSO DEDUCTIONS REPORT (MONTHLY)
 * STATE TAX LEVY REPORT (MONTHLY)
 * STOP PAYMENT TO RECOVER (DAILY)
 * STOP PAYMENT TO REISSUE (DAILY)
 * TERMINATED, SUSPENDED, AND CANCELLED ACCOUNTS (MONTHLY)
 * TICKLER REPORTS - DISABILITY (MONTHLY)
 * VENDOR PSO DEDUCTIONS REPORT (MONTHLY)

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
 CHRIS.LINDEMAN@ETF.WI.GOV

RETENTION: CURRENT YEAR + 4 (RETAIN CURRENT YEAR PLUS 4 BACK FISCAL YEARS) AND DESTROY.

<u>00159E00.</u>	<u>1099R YEAR END FILE</u>	<u>CR+14</u>	<u>DEST</u>	<u>Y</u>
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A COPY OF THE YEAR END 1099R FILE IS RETAINED FOR TAX PURPOSES AND TO PROVIDE DUPLICATE COPIES AS REQUESTED BY RETIREES. WHENEVER A 1099R FILE (FOR ANNUITANTS OR FOR LUMP SUM PAYMENTS) IS SENT TO THE IRS, A COPY OF THE FILE IS DOWNLOADED AND SAVED IN H:\ADB\PRODUCTION SUPPORT\TAX FILES SENT.

FILE NAME = ETFWEBSP.TR162A05.IRSRTRN.FILING(+1) 14 GENERATIONS ARE KEPT ON THE H: DRIVE.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
 CHRIS.LINDEMAN@ETF.WI.GOV

RETENTION: RETAIN 14 YEARS AND DESTROY CONFIDENTIAL.

<u>00159F00.</u>	<u>1099R CORRECTION FILE BY YEAR</u>	<u>CR+14</u>	<u>DEST</u>	<u>Y</u>
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A COPY OF CORRECTED 1099R'S IS RETAINED BY YEAR FOR TAX PURPOSES AND TO PROVIDE DUPLICATE COPIES AS REQUESTED BY RETIREES.

FILE NAME = ETFWEBSP.TR162A05.IRSRTRN.CORRECTN(+1) 14 GENERATIONS ARE KEPT ON THE H: DRIVE.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
 CHRIS.LINDEMAN@ETF.WI.GOV

<u>00159G00.</u>	<u>BPS BENEFIT STATEMENT MAILER</u>	<u>CR+4</u>	<u>DEST</u>	<u>Y</u>
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EACH MONTHLY PAYROLL CYCLE ALSO GENERATES BENEFIT STATEMENT MAILERS TO RETIREES IF THEIR AMOUNTS OR DEDUCTIONS CHANGE FROM THE PREVIOUS MONTH.

FILE NAMES = ETFWEBSP.TR162E01.AFPMAILR.EXTRACT - REGULAR MAILERS.
 ETFWEBSP.TR162E12.AFPMAILR.EXTRACT - DUTY DISABILITY MAILERS.
 48 GENERATIONS ARE RETAINED FOR BOTH OR ABOUT 4 YEARS.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037

Dept #: 700/

Department Name: ETF DEPARTMENT RECORDS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
	CHRIS.LINDEMAN@ETF.WI.GOV			
<u>00159H00.</u>	<u>BPS INPUTS/INGESTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	SEE HARD COPY FOR DESCRIPTION			
	RETENTION: RETAINED FOR NUMBER OF GENERATIONS LISTED BELOW EACH INGEST AND DESTROY CONFIDENTIAL.			
	PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037 CHRIS.LINDEMAN@ETF.WI.GOV			
<u>00159I00.</u>	<u>BPS OUTPUTS/EXTRACTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	CONTAINS THE FOLLOWING PROGRAMS THAT OUTPUT OR EXTRACT DATA FROM BPS. SOME OF THESE ARE SENT TO OUR THIRD PARTY ADMINISTRATORS, US BANK OR MILWAUKEE SCHOOLS AS THEY IDENTIFY NEW ANNUITANTS, PROVIDE PREMIUMS COLLECTED, IDENTIFY DEATHS, ETC.			
	TR152WRE - WISMART RECEIVABLES FILE EXTRACT (DAILY) - 30 GENS ETFWEBSP.BPS.WISMART.RCVBLEXT			
	TR152E02 - CHECK EXTRACT - THIS FILE IS SENT TO DOA FOR CHECK PRINTING. NOTHING IS SAVED HERE - CHECK WRITING IS SAVED IN THE INGEST STEP ABOVE.			
	TR152E05 - DIRECT DEPOSIT EXTRACT (DOMESTIC AND INTERNATIONAL) - ETFWEBSP.WRS.ACH.MILW (REGULAR-MONTHLY) - 24 GENS 2 YRS ETFWEBSP.WRS.IACH.MILW (INTERNATIONAL-MONTHLY) - 24 GENS 2 YRS			
	TR152E09 - MILWAUKEE TEACHERS HEALTH EXTRACT ETFWEBSP.TR162E09.BPS.MPSHLTH - 30 GENS 2 YRS			
	TR152E10 - MILWAUKEE TEACHERS LIFE EXTRACT ETFWEBSP.TR162E10.BPS.MPSLIFE - 30 GENS 2 YRS			
	TR152E15 - VISION CARE EXTRACT ETFWEBSP.VISION.CARE.BKUP - 30 GENS 2 YRS			
	PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037 CHRIS.LINDEMAN@ETF.WI.GOV			
	RETENTION: RETAIN FOR NUMBER OF GENERATIONS LISTED BELOW EACH EXTRACT AND DESTROY CONFIDENTIAL.			
<u>00159J00.</u>	<u>BPS USER INTERFACE PAGES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	USER INTERFACE PAGES - THIS IS THE LIST OF BPS APPLICATION PAGES INCLUDED IN THE USER INTERFACE. THESE PAGES ALLOW DATA INPUT FOR ALL AREAS OF BPS.			
	MAINTAIN BENEFIT ACCOUNT - THIS PAGE IS THE MAIN LOCATION TO ADD OR UPDATE INFORMATION RELATED TO A BENEFIT ACCOUNT. IT IS BROKEN INTO SECTIONS BASED ON THE AREA OF THE BENEFIT ACCOUNT.			
	MAINTAIN EMPLOYMENT HISTORY - THIS PAGE ALLOWS EDITING OF THE ANNUITANT'S EMPLOYMENT HISTORY.			
	MAINTAIN ACCOUNT INFORMATION - THIS PAGE ALLOWS EDITING OF THE ANNUITANT'S HIGH LEVEL ACCOUNT INFORMATION.			
	MAINTAIN FUND SOURCE INFORMATION - THIS PAGE ALLOWS EDITING OF THE ANNUITANT'S PAYMENT METHOD INFORMATION.			
	MAINTAIN PAYMENT METHOD INFORMATION - THIS PAGE ALLOWS EDITING OF THE ANNUITANT'S PAYMENT METHOD INFORMATION.			
	MAINTAIN TAX WITHHOLDING DEDUCTION INFORMATION - THIS PAGE ALLOWS EDITING OF THE ANNUITANT'S TAX WITHHOLDING DEDUCTION AMOUNT INFORMATION.			
	MAINTAIN DEDUCTION INFORMATION - THIS PAGE ALLOWS EDITING OF THE ANNUITANT'S DEDUCTION INFORMATION.			
	PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037 CHRIS.LINDEMAN@ETF.WI.GOV			
	RETAIN UNTIL SUPERSEDED OR OBSOLETE AND DESTROY.			
<u>00159K00.</u>	<u>BPS RELATED TEST DATA</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	TEST DATA FOR SYSTEM LOADS, NEW PROGRAMS, CHANGES TO PROGRAMS, ETC.			
	EXAMPLES:			

RDA #	RDA Title	Retention	Disposition	PII
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PAYROLL DEDUCTION TEST DATA IN THE USER INTERFACE REGION (UI)
 PAYROLL DEDUCTION TEST DATA IN THE DEVELOPMENT REGION
 IVR ADDRESS CHANGE TEST
 IVR TAX WITHHOLDING TEST
 BPS REST PLANS

RETAIN 6 MONTHS AFTER TESTING IS COMPLETE OR UNTIL NO LONGER NEEDED AND DESTROY CONFIDENTIAL.

<u>00160000.</u>	<u>CONTACT CENTER ANYWHERE (CCA) SYSTEM REPORTS AND STATISTICAL</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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THE CALLCENTERANYWHERE (CCA) SYSTEM REPORTS AND STATISTICAL DATA ARE USED WITHIN THE COMPANY CONFIGURATIONS FOR ETF'S MAIN LINE AND EMPLOYER LINE. THE COMPANY CONFIGURATIONS ARE DIVISION OF RETIREMENT SERVICES - CALL MGT SECTION & EMPLOYER SERVICES AND DIVISION OF INSURANCE SERVICES - INSURANCE ADMINISTRATION BUREAU.

CCA REPORTS AND STATISTICAL DATA CONTAINS TWO DIFFERENT TYPES OF DATA:

1. CALL DETAIL RECORDS INCLUDING LOGS, NETWORK LOGS, SCHEDULES AND REPORTS, AND
2. AGENT ACTIVITY DATA INCLUDING ACCESS AND USE BY AGENTS.

THE DATA IS USED BY THE SECTION AND BUREAU'S NOTED ABOVE FOR ACCESS AND ACTIVITY TRACKING AND HISTORICAL AND WORK PLANNING PURPOSES.

ETF USES THE IT BUSINESS RECORDS GRS, SPECIFICALLY IT000023, OPERATIONAL AND OTHER AUTOMATED LOGS (UNTIL NO LONGER NEEDED) AND IT000026, APPLICATION ACCESS LOGS (1 YEAR FROM CREATION) FOR THE RECORD SERIES WHILE THE DATA IS RETAINED ON THE ENTERPRISE CCA SYSTEM. THIS RDA IS FOR THE DATA ARCHIVED TO A SEPERATE DATA STORAGE AND REPORT ENVIRONMENT, WHICH IS NEEDED LONGER THAN THE LOGS IN THE IT GRS.

RETENTION - RETAIN 3 YEARS AFTER CREATED AND DESTROY CONFIDENTIAL.
 RESPONSIBLE DIVISION'S - RETIREMENT SERVICES AND MANAGEMENT SERVICES.

<u>00160A00.</u>	<u>CONTACT CENTER ANYWHERE (CCA) CALL RECORDINGS</u>	<u>CR+0/1</u>	<u>DEST</u>	<u>Y</u>
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THE CALLCENTERANYWHERE (CCA) SYSTEM RECORDS CALL CONVERSATIONS BETWEEN THE CUSTOMER AND ETF'S AGENTS. THIS INFORMATION IS RETAINED WITHIN A GIVEN INTERACTION AND RETAINED ON THE ENTERPRISE CCA SYSTEM DATABASE FOR 30 DAYS.

NOTE: SOME CALL RECORDINGS MAY BE DOWNLOADED BY SUPERVISORS AND MANAGERS AND RETAINED IN A SEPARATE FILE ON ETF'S SERVER INDEFINENTLY FOR THE PURPOSES OF SUPPORT DOCUMENTATION IF/WHEN IT IS REQUIRED.

RETENTION - RETAIN 30 DAYS AFTER CREATED AND DESTROY CONFIDENTIAL.

RESPONSIBLE DIVISION'S - RETIREMENT SERVICES AND MANAGEMENT SERVICES.

<u>00161000.</u>	<u>VPS - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE DATASETS INCLUDE INFORMATION THAT WAS KEYED INTO OR UPLOADED FROM DB2 DATABASE TABLES, REPORT INFORMATION, PROGRAM EXTRACT INFORMATION, AND DATA ENTERED.

THE DATA SETS INCLUDE INFORMATION IN THE CATEGORIES OF:

- VARIABLE ELECTIONS & CANCELLATIONS

- VARIABLE PARTICIPATION STATUS (INCLUDING REASON CODE FOR CURRENT STATUS)

- PARTICIPANT/DEMOGRAPHIC INFORMATION:

SSN, NAME, PLAN TYPE/PLAN OCCUR, WEBS DOB, ACCOUNTS, WEBS PARTICIPANT INFORMATION (STATUS, BENEFIT STATUS, BENEFIT EFFECTIVE DATE, VARIABLE EFFECTIVE DATE, CURRENT FUND OPTION, PREVIOUS FUND OPTION, WRS COVERAGE BEGIN DATE, WRS TERM DATE, RE-ESTABLISH DATE, REHIRE DATE, DEATH DATE, VARIABLE CANCEL DATE, VARIABLE CANCEL TYPE, FLAT AMOUNT)

VARIABLE APPLICATION INFORMATION, LAST KNOWN DEMO INFORMATION, PARTICIPANT APPLICATION STATUS AND ACKNOWLEDGEMENT HISTORY

RETENTION: RETAIN UNTIL INFORMATION UNTIL SUPERSEDED OR DELETED AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: RORY MCGARRY, 608-261-8921
 RORY.MCGARRY@ETF.WI.GOV

<u>00161A00.</u>	<u>VPS - GENERATION DATA GROUPS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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LISTED BELOW ARE THE GENERATION DATA GROUPS (GDGS) RELATED TO VPS. THE RETENTION OF THESE DATASETS IS DETERMINED BY THE NUMBER OF GENERATIONS DEFINED FOR THE GDG, AND ALSO BY THE MANAGEMENT CLASS ASSIGNED BY THE JOB THAT CREATES THE FILE. (IF THE GDG HAS A MAXIMUM OF 10 GENERATIONS, THEN ONLY 10 WILL BE SAVED. IF THE JOB CREATES THE FILE WITH A MANGEMENT CLASS OF THREE MONTHS, THEN THE FILE WILL BE KEPT FOR ONLY THREE MONTHS, EVEN THOUGH THE MAXIMUM NUMBER OF GENERATIONS HAS NOT BEEN REACHED.)

RDA #	RDA Title	Retention	Disposition	PII
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BELOW ARE THE DATASETS WITH THE NUMBER OF GENERATIONS KEPT AND THE APPROXIMATE TIMEFRAME EACH IS KEPT.

ETFWEBSP.TR161E68.LETTER.BKUP (14 GENS) 21 DAYS
 ETFWEBSP.TR633P58.EXTRACT.BKP (15 GENS) 2 YRS
 ETFWEBSP.TR631P59.NEE70.BKP (15 GENS) 2 YRS
 ETFWEBSP.TR161R44.VPSCANC.TOBPS (16 GENS) 2 YRS
 ETFWEBSP.BPSLOGS.TR162A08 (30 GENS) 2 YRS
 ETFWEBSP.TR162A08.VPSTRNSF.FROMBPS (30 GENS) 2 YRS
 ETFWEBSP.TR161E68.LETTER.EXTRACT 2 YRS
 ETFWEBSP.TR161E68.LETTER.EXTRACTR 2 YRS
 ETFWEBSP.TR161P26.VARTRANS.CHANGE 2 YRS
 ETFWEBSP.TR161P26.VARTRANS.REPORT 2 YRS
 ETFWEBSP.TR161P26.VARTRANS.STATUS 2 YRS
 ETFWEBSP.TR161P26.VARTRANS.TOTALS 2 YRS
 ETFWEBSP.TR16101.TR161A28.ACTIVITY.DATA 2 YRS
 ETFWEBSP.TR16101.TR161A28.DOWN.REPORT 2 YRS
 ETFWEBSP.TR16101.TR161A28.ERROR.REPORT 2 YRS
 ETFWEBSP.TR16101.TR161A28.FUTURE.DATA 2 YRS
 ETFWEBSP.TR16101.TR161A28.NOBLANKS 2 YRS
 ETFWEBSP.TR16101.TR161A28.RETURN.DATA 2 YRS
 ETFWEBSP.TR16101.TR161A28.STATUS.REPORT 2 YRS
 ETFWEBSP.TR16101.TR161A28.WARNING.REPORT 2 YRS
 ETFWEBSP.TR161R44.OFFLINE.SSN 2 YRS
 ETFWEBSP.TR161R43.ACCTNG.NAC14.PARM 2 YRS
 ETFWEBSP.TR161R43.ACCTNG.NAC15.PARM 2 YRS
 ETFWEBSP.TR161R43.EMPSVCS.NEE52.PARM 2 YRS
 ETFWEBSP.TR161R43.RETSVCS.NBE62.PARM 2 YRS
 ETFWEBSP.TR161R43.RETSVCS.NBE63.PARM 2 YRS
 ETFWEBSP.TR161R43.RETSVCS.NBE63.PARM 2 YRS
 ETFWEBSP.TR161R43.RQST.EXTRC.PARM 2 YRS

APPLICATIONS, JCLS AND PROGRAMS (JAVA AND COBOL) ACCESS THESE GENERATION DATA GROUP FILES TO USE THEM AS INPUT, AND THEY ALSO CREATE NEW GENERATIONS OF THESE DATASETS.

RETENTION: RETAINED FOR NUMBER OF GENERATIONS/APPROXIMATE YEARS LISTED AND DESTROYED CONFIDENTIAL.

PROGRAM CONTACT: RORY MCGARRY, 608-261-8921
 RORY.MCGARRY@ETF.WI.GOV

<u>00161B00.</u>	<u>VPS - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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ALL PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES - RETENTION VARIES FROM 10 TO 100 GENERATIONS AND ARE THEN DELETED.

RETENTION: RETAIN FOR A MINIMUM OF 10 GENERATIONS AND DELETE.

PROGRAM CONTACT: RORY MCGARRY, 608-261-8921
 RORY.MCGARRY@ETF.WI.GOV

<u>00161C00.</u>	<u>VPS CHANGE AND ACTIVITY REPORTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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CONTAINS CHANGE AND ACTIVITY REPORTS SUCH AS:

VARIABLE PARTICIPATION MONTHLY PROCESSOR ACTIVITY REPORT - (PROCESSES APPS MISSING SIGNATURES, FOLLOW-UP AS EXPIRED AND WHEN A REPROCESS FLAG IS INDICATED). RUNS DAILY.
 VARIABLE PARTICIPATION MONTHLY PROCESSOR ACTIVITY REPORT - (PROCESSES VARIABLE CANCELLATIONS). RUNS ON REQUEST.
 VARIABLE PARTICIPATION YEARLY AW PROCESSING REPORT - (PROCESSES VARIABLE ELECTIONS). SCHEDULED MANUALLY EACH YEAR.

RETENTION: RETAIN 10 YEARS AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745
 STEFANIE.PAULS@ETF.WI.GOV

<u>00161D00.</u>	<u>VPS ACCOUNT BALANCES, TRANSFERS, MOVES, EXCEPTIONS, CANCELLA</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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CONTAINS REPORTS GENERATED DURING ENROLLMENT, ANNUITY MOVES, TRANSFERS, CANCELLATIONS, ETC. SUCH AS THE FOLLOWING REPORT ID'S OR TITLES:

EE018 NEW VARIABLE ACCOUNT BALANCES CONTROL REPORT
 EE902 ACCOUNT BALANCES CONTROL REPORT

RDA #	RDA Title	Retention	Disposition	PII
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EE926 VARIABLE TRANSFERS REPORT
 NAC14 ANNUITANT - ESTIMATED MOVE FROM ANNUITY VARIABLE RESERVE
 NAC15 NON-ANNUITANT - ESTIMATED MOVE FROM VARIABLE RESERVE
 NAC16 PENDING VARIABLE TRANSFERS ON ESTIMATED ANNUITY PAYMENTS AS OF MM/YY
 NBE62 ANNUITANT VARIABLE CANCELLATION OFFLINE LISTING
 NBE63 ANNUITANT - VARIABLE ACCOUNT CANCELLATION EXCEPTION REPORT
 NEE52 COMPREHENSIVE VARIABLE CANCELLATION LISTING

RETENTION: RETAIN 10 YEARS AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745
 STEFANIE.PAULS@ETF.WI.GOV

<u>00161E00.</u>	<u>VPS TRANSACTION CONTROL REPORTS</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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CONTAINS REPORTS GENERATED FROM THE TRANSACTION CONTROL SYSTEM WHICH INCLUDES UNIT BACKLOG REPORTS, ASSIGNED BACKLOG REPORTS, CRITICAL TRANSACTION REPORTS, WORKER PRODUCTIVITY REPORTS, PENDING BY WORKER REPORTS, ETC.

THE FOLLOWING TRANSACTIONS ARE REPORTED ON WITHIN WEBS:

P149 - ANN VAR TRF - WARNING
 P150 - ANN VAR TRF - ERROR

RETENTION: RETAIN 1 YEAR AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745
 STEFANIE.PAULS@ETF.WI.GOV

<u>00161F00.</u>	<u>VPS USER INTERFACE PAGES</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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USER INTERFACE PAGES - THIS IS THE LIST OF VPS APPLICATION PAGES INCLUDED IN THE USER INTERFACE. THESE PAGES ALLOW DATA INPUT FOR ALL AREA OF VPS. THIS COVERS THE DATA AND INFORMATION ENTERED INTO THE PAGES.

ENTER NEW VARIABLE ELECTION: THIS PAGE ALLOWS THE USER TO ELECT TO PARTICIPATE IN VARIABLE (NEW PARTICIPANTS).

ENTER NEW VARIABLE CANCEL/VOID: THIS PAGE CANCELS (OR VOIDS, IF NOT YET ACCEPTED) ONE'S ELECTION TO PARTICIPATE IN VARIABLE.

INQUIRY VARIABLE PARTICIPANT: THIS PAGE DISPLAYS THE ACCOUNT INFORMATION FOR A VARIABLE PARTICIPANT.

UPDATE A SUSPENDED/PENDING ELECTION: THIS PAGE ALLOWS THE USER TO EDIT SUSPENDED/PENDING ACCOUNT INFORMATION.

UPDATE SUPERVISOR: THIS PAGE ALLOWS THE USER THE ABILITY TO EDIT A VARIABLE PARTICIPANT'S ACCOUNT INFORMATION (DEMOGRAHPICS, BIRTH DATE, APPLICATION RECEIVED DATE)

MOVE FUNDS BETWEEN FIXED AND VARIABLE: THIS PAGE ALLOWS THE USER TO MOVE FUNDS BETWEEN THE FIXED FUND AND THE VARIABLE FUND.

DELETE ACCOUNT: THIS PAGE ALLOWS THE USER TO DELETE AN ACCOUNT

DELETE STATUS: THIS PAGE ALLOWS THE USER TO DELETE THE STATUS OF AN APPLICATION (SIMILAR TO THE CANCEL/VOID FUNCTION ABOVE).

ADD NEW APPLICATION: ALLOWS THE USER TO ADD A NEW APPLICATION FOR VARIABLE ELECTION/CANCELLATION/RESCIND (EXISTING VARIABLE PARTICIPANT).

ADD NEW STATUS: THIS PAGE ALLOWS THE USER TO CHANGE THE CURRENT VPS APPLICATION STATUS CODE.

UPDATE TBL_EE_RET_FUND: THIS PAGE ALLOWS THE USER TO CHANGE THE FUND OPTION (BOTH FIXED AND VARIABLE) AS WELL AS UPDATE CANCELLATION TYPE, AND CANCELLATION/EFFECTIVE DATES.

UPDATE CNTL ROW: THIS PAGE ALLOWS THE USER TO UPDATE THE APPLICATION SEQUENCE NUMBER, THE STATUS SEQUENCE NUMBER, AND THE REPROCESSING FLAG.

VIEW THE SUSPENDED LIST: DISPLYAS VARIABLE APPLICATIONS THAT HAVE BEEN SUSPENDED.

VIEW THE PENDING LIST: CONTAINS PENDING VARIABLE APPLICATIONS.

FORCE PARTICIPATION: FORCES A PARTICIPATION TEST FOR A GIVEN PARTICIPANT.

FORCE RE-ELIGIBILITY: FORCES A RE-ELIGIBILITY TEST FOR A GIVEN PARTICIPANT.

Dept #: 700/

Department Name: ETF DEPARTMENT RECORDS

RDA #	RDA Title	Retention	Disposition	PII
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REPRINT ACKNOWLEDGEMENT: THIS PAGE ALLOWS THE USER TO REQUEST A REPRINT ACKNOWLEDGEMENT BE SENT TO THE PARTICIPANT.

DEMOGRAPHIC CHANGE: THIS PAGE ALLOWS FOR THE EDITING OF A VARIABLE PARTICPANT'S DEMOGRAPHIC INFORMATION.

SSN CHANGE: THIS PAGE ALLOWS THE USER TO CHANGE THE PARTICPANT'S SSN.

RETENTION: RETAIN UNTIL SUPERSEDED OR OBSOLETE AND DESTROY

<u>00161G00.</u>	<u>VPS RELATED TEST DATA & PLANS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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TEST DATA AND PLANS FOR SYSTEM LOADS, NEW PROGRAMS, CHANGES TO PROGRAMS, ETC.

VPS TEST PLANS

TEST DATA FOR VPS IS COPIED FROM PRODUCTION DATABASES WHEN NEEDED.

RETENTION: RETAIN UNTIL TESTED AND CONFIRMED AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: STEFANIE PAULS, 608-267-0745
STEFANIE.PAULS@ETF.WI.GOV

<u>00162000.</u>	<u>ACSL - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE DATASETS INCLUDE INFORMATION THAT WAS KEYED INTO OR UPLOADED FROM DB2 DATABASE TABLES, REPORT INFORMATION, PROGRAM EXTRACT INFORMATION, AND DATA ENTERED.

THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF:

PARTICIPANT INFORMATION (NAME, SSN, GENDER DATE OF BIRTH, MEMBER ID).

SPOUSE'S NAME, SSN, DOB, & ETF MEMBER ID

DEPENDENTS' NAMES SSN'S, DOB'S & ETF MEMBER ID

PARTICIPANT AND/OR SPOUSE DATE OF DEATH (IF APPLICABLE)

EMPLOYER NAME

EMPLOYER NUMBER

EMPLOYMENT BEGIN DATE

ACCOUNT STATUS AND STATUS DATE

SENIORITY DATE AND TERMINATION DATE

TERMINATION DATE

TERMINATION REASON (EX: R FOR RETIREMENT)

GROUP NUMBER

RELATIONSHIP

SICK LEAVE CERTIFICATES

SICK LEAVE ACCOUNTS

SICK LEAVE CURRENT ACCOUNT BALANCES (ASLCC VERSUS SHICC)

CURRENT ACCOUNT BALANCE

HEALTH PLAN CARRIER

COVERAGE TYPE

BALANCE UPON CERTIFICATION (ORIGINAL BALANCES ASLCC VERSUS SHICC)

TRANSACTION HISTORY (PREMIUM AMOUNT; SICK LEAVE ASSOCIATION (TRANSFER/SPLIT/COMBINE))

ACCOUNT MAILERS

ACCOUNT STATUS HISTORY

YEAR ACCOUNT SUMMARY (CALENDAR YEAR STARTING BALANCE VERSUS PREMIUMS COLLECTED AND REMAINING BALANCE).

IN ADDITION, DATA IS PULLED FROM THE MYETFBENEFITS (MEBS) DATABASE FROM THE HEALTH INSURANCE APPLICATION WHICH IS REFERENCED IN PROCESSING MEMBER SICK LEAVE PAYMENT OF PREMIUMS.

RETENTION: RETAIN INFORMATION UNTIL SUPERSEDED; AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

<u>00162A00.</u>	<u>ACSL - DATABASE TABLES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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BELOW IS A LIST OF THE ACSL DATABASE TABLES:

TBL_SLC_ACCT

TBL_SLC_ACCT_ASSOC

TBL_SLC_ACCT_ST

TBL_SLC_ACCT_TRANS

TBL_SLC_ANN_STMT

TBL_SLC_CERT

RDA #	RDA Title	Retention	Disposition	PII
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TBL_SLC_CHNV_EXCP
 TBL_SLC_INVC_BATCH
 TBL_SLC_MLR_RQST
 TBL_SLC_MLR_TEXT
 TBL_SLC_SYS_ASSR
 TBL_CD_SHICC_CNV

ACSL TABLES ARE BACKED UP ONCE BEFORE BATCH JOBS ARE RUN AND AFTER THE BATCH JOBS ARE RUN. THESE BACK UPS ARE KEPT FOR 14 ITERATIONS THEN PURGED. IMAGE COPIES OF THESE TABLES ARE MADE TWICE WEEKLY. THE IMAGE COPIES ARE SAVED FOR 2 MONTHS AND THEN PURGED.

ACSL USES WEB SERVICE CALLS TO OTHER TABLES IN OTHER SYSTEMS TO PULL INFORMATION BACK TO ACSL. BELOW IS A LIST OF TABLES WHERE THIS OCCURS. THE RETENTION OF THESE TABLES IS GOVERNED BY THE RDA FOR THOSE SYSTEMS.

TBL_CD_SLC_CERT_ST
 TBL_CD_SLC_CERT_RSN
 TBL_CD_TERM_RSN
 TBL_CD_SLC_ASSOC
 TBL_CD_SLC_MLR_TRP
 TBL_CD_SLC_ACCT_ST
 TBL_CD_SLC_SYS_ERR
 TBL_CD_SLC_TRN_ST
 TBL_CD_SLC_TRN_RSN

THERE ARE ALSO 8 MEBS HI AND 8 SPRINT BATCH TABLES WHICH ARE LOGS THAT ARE UPDATED WHEN ACSL RUNS IT'S BATCH JOBS. THE TBL_DEMO_PTY AND TBL_DEMO_ADDR TABLES IN BPS ARE ALSO USED AS REFERENCES.

APPLICATIONS, JCLS AND PROGRAMS (JAVA AND COBOL) ACCESS THESE GENERATION DATA GROUP FILES TO USE THEM AS INPUT, AND THEY ALSO CREATE NEW GENERATIONS OF THESE DATASETS.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
 CHRIS.LINDEMAN@ETF.WI.GOV

RETENTION: RETAINED FOR 14 ITERATIONS AND PURGED. IMAGE COPIES ARE SAVED FOR 2 MONTHS AND THEN PURGED. DESTROY CONFIDENTIAL.

<u>00162B00.</u>	<u>ACSL - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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ALL PRINT PROGRAM TEMPORARY OUTPUT PDF FILES THAT ARE DELETED AFTER PRINTING. ACSL CREATES PDF FILES THAT ARE STORED WITHIN THE APPLICATION AND ARE RETAINED PER 00162D.

RETENTION: DELETED AFTER PRINTING.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
 CHRIS.LINDEMAN@ETF.WI.GOV

<u>00162C00.</u>	<u>ACSL - ANNUAL STATEMENTS & CERTIFICATIONS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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FILE CREATED ANNUALLY TO PRINT PDF STATEMENTS FOR ALL MEMBERS WHO HAVE BALANCES ON THE ACSL FILE. STATEMENTS SHOW THEIR ENDING BALANCE FOR THE YEAR AND ARE MAILED OUT TO MEMBER'S HOME ADDRESS. THE PDF'S FILES/STATEMENTS ARE RETAINED PERMANENTLY WITHIN THE APPLICATION.

REPRINTED/AMENDED STATEMENTS ARE PRODUCED FROM THE APPLICATION.

INCLUDES THE FOLLOWING FORMS:
 ET-4561 SICK LEAVE DEPLETION LETTER
 ET-4562 SICK LEAVE STATEMENT (ACTIVE ACCOUNTS)
 ET-4563 SICK LEAVE CREDIT CERTIFICATION
 ET-5511 SICK LEAVE STATEMENT (ESCROW ACCOUNTS)
 ET-5512 SICK LEAVE STATEMENT (ACCOUNTS ON HOLD)

A TEMPORARY PDF PRINT FILE IS CREATED AND SENT FOR PRINTING. ONCE PRINTED THE FILE IS DESTROYED.

RETENTION: RETAINED PERMANENTLY WITHIN THE APPLICATION.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
 CHRIS.LINDEMAN@ETF.WI.GOV

<u>00162D00.</u>	<u>ACSL - ACTUARY REPORT</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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FILE AND REPORT CREATED TO BE USED AS PART OF THE ACTUARY PROCESS. THE FILE IS CREATED IN ACSL AS A TEXT FILE AND IS AUTOMATICALLY SENT TO A DIRECTORY WHERE ALL OTHER ACTUARY FILES ARE KEPT. ACSL WILL THEN ARCHITECT THE ACTUARIAL REPORT WITH A YEAR PARAMETER WHEN THE BATCH JOB IS RUN TO CREATE THE

RDA #	RDA Title	Retention	Disposition	PII
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FILE AND REPORT. THE REPORT IS GENERATED IN A PDF FILE AND SAVE WITHIN THE APPLICATION SO IT CAN BE RECREATED WHENEVER NEEDED.

FILE USED TO CREATE REPORT IS:
ACSL-ACTUARIAL-EXTRACT-<YEAR>.DAT

RETENTION: RETAINED PERMANENTLY WITHIN THE APPLICATION.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

<u>00162E00.</u>	<u>ACSL - HEALTH INSURANCE PREMIUM DEDUCTION LOAD</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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ACSL LOADS HEALTH INSURANCE PREMIUM DEDUCTIONS EACH MONTH BY RUNNING A BATCH JOB THAT EXECUTES WEB SERVICE CALLS TO MEBS TO V_HI_GROSS_PREM. THIS IS A VIEW THAT ACSL READS FROM.

THE PREMIUM DEDUCTION AMOUNT THAT IS RETREIVED FROM V_HI_GROSS_PREM IS THE AMOUNT THAT IS DEDUCTED FROM THE MEMBER'S HEALTH INSURANCE ACCOUNT PER THE GIVEN MONTH.

RETENTION: RETAIN PERMANENTLY WITHIN THE APPLICATION.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

<u>00162F00.</u>	<u>ACSL - USER INTERFACE PAGES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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USER INTERFACE PAGES - THIS IS THE LIST OF ACSL APPLICATION PAGES INCLUDED IN THE USER INTERFACE. THESE PAGES ALLOW DATA INPUT FOR ALL AREAS OF ACSL.

ACSL DASHBOARD MEMBER SEARCH - THIS PAGE ALLOWS A USER TO SEARCH FOR A MEMBER OR TO VIEW SUBMITTED CERTIFICATIONS, SUBMITTED CERTIFICATIONS THAT ARE WAITING FOR RETIREMENT OR DISABILITY APPLICATIONS, ACCOUNTS WITH MISSING HEALTH CONTRACTS, UNAPPLIED INSURANCE TRANSACTIONS, DEPLETING ACCOUNTS OR ACCOUNTS THAT ARE WAITING CORRECTIONS FROM THE UPCOMING MONTHLY MY ETF BENEFITS (MEBS) INVOICE LOAD.

MEMBER INFORMATION OVERVIEW - THIS PAGE ALLOWS A USER TO VIEW EMPLOYEE/MEMBER INFORMATION, START A NEW CERTIFICATION, VIEW ACCOUNT, VIEW HEALTH PLAN WHERE THE MEMBER IS A SUBSCRIBER, VIEW HEALTH PLANS WHERE THE MEMBER IS A DEPENDENT, AND REVIEW PENDING TRANSACTIONS.

ACCOUNTS DETAIL PAGE - ALLOWS A USER TO VIEW MEMBER DEMOGRAPHIC DATA, VIEW OWNER DATA FOR THE ACCOUNT, VIEW SICK LEAVE ACCOUNT BALANCES (ORIGINAL AND CURRENT AND ASLCC AND SHICC, UPDATE ACCOUNT STATUS, VIEW ACCOUNT STATUS HISTORY, VIEW SUBSCRIBER INFORMATION, DEPENDENT INFORMATION, LINK TO RELATED ACCOUNTS AND VIEW TRANSACTION HISTORY.

TRANSACTION HISTORY PAGE - ALLOWS A USER TO VIEW MEMBER DEMOGRAPHIC DATA, SICK LEAVE ACCOUNT BALANCES (ORIGINAL VERSUS CURRENT - ASLCC VS SHICC), VIEW YEAR ACCOUNT SUMMARY, MAKE ORIGINAL BALANCE ADJUSTMENTS, AND ADJUSTMENTS TO DEDUCTIONS AND REFUNDS.

REPORTS PAGE - ALLOWS A USER TO GENERATE THE FOLLOWING REPORTS:
SICK LEAVE ACCOUNT TRANSFERS SUMMARY, SICK LEAVE SYSTEM ASSURANCE SUMMARY, DEPLETED SICK LEAVE ACCOUNTS REPORT, BATCH RECONCILIATION REPORT, REJECTED TRANSACTION REPORT, UNAPPLIED TRANSACTION REPORT

SYSTEM PROPERTIES PAGE - ALLOWS A SYSTEM ADMINISTRATOR TO SET VARIOUS SYSTEM PROPERTIES, SUCH AS DEDUCTION YEAR, ANNUAL STATEMENT YEAR, E-MAIL ADDRESSES FOR E-MAIL SHOUTS.

SYSTEM TASKS PAGE - ALLOWS A SYSTEM ADMINISTRATOR TO GENERATE BATCH LETTERS THAT ARE NEEDED FOR PRINTING IF NOT AUTOMATICALLY GENERATED.

ACCUMULATED SICK LEAVE CONVERSION FORM - ALLOWS A USER TO START AN EMPLOYEE CERTIFICATION.

ACCUMULATED SICK LEAVE CERTIFICATION - ALLOWS A USER TO ENTER A TERMINATION DATE AND REASON FOR AN EMPLOYEE AND PROCEED TO ENTERING SICK LEAVE BALANCES FOR THE EMPLOYEE

ACCUMULATED SICK LEAVE CERTIFICATION - ALLOWS A USER TO CERTIFY BEGINNING SICK LEAVE ACCOUNT BALANCES OR AMEND A CERT.

RETENTION: RETAIN INTERFACES UNTIL SUPERSEDED OR OBSOLETE AND DESTROY.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

<u>00162G00.</u>	<u>ACSL - MONTHLY REPORTS</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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ALL ACSL RECONCILIATION AND SYSTEM ASSURANCE REPORTS ARE GENERATED USING A USER INTERFACE THAT MAKES THE REPORTS VIEWABLE WITHIN THE SYSTEM USING A PDF DOCUMENT THAT CAN BE PRINTED ON DEMAND BY A USER.

RECONCILIATION REPORT - SHOWS THE HEALTH CARE PROVIDERS INVOICE TOTALS THAT WERE INVOICED VERSUS WHAT WAS DEDUCTED FROM MEMBERS ACCOUNT'S IN ACSL, AND ALSO SHOWS WHAT WAS UNABLE TO BE APPLIED, AND TRANSACTIONS THAT WERE REJECTED. THE REPORT ALSO SHOWS WHAT PORTION OF THE INVOICE THAT WAS ABLE TO APPLIED WAS APPLIED TO THE ASLCC ACCOUNT BALANCES AND WHAT WAS APPLIED TO THE SHICC BALANCES.

UNAPPLIED TRANSACTION REPORT - PROVIDES A LIST OF ALL INCOMING INVOICE TRANSACTIONS BY INDIVIDUAL NAME AND CARRIER OF THE HEALTH INSURANCE TRANSACTIONS THAT WERE NOT APPLIED TO AN INDIVIDUAL'S ACCOUNT DURING A GIVEN COVERAGE MONTH'S PROCESSING.

SICK LEAVE ACCOUNT TRANSFER REPORT HISTORY OF LEGACCY ASLCC CONVERSION STATISTICS OF WHAT WAS IMPORTED FROM THE LEGACY (ASLCC) SYSTEM TO START THE NEW ACSL SYSTEM.

REJECTED TRANSACTION BATCH REPORT - GIVES A LIST BY INDIVIDUAL INSURED AND CARRIER OF THE HEALTH INSURANCE TRANSACTIONS THAT WERE REJECTED DURING A GIVEN COVERAGE MONTH'S PROCESSING.

SICK LEAVE SYSTEM ASSURANCE REPORT - GIVES A LIST OF UNBALANCED ACCOUNTS, ACCOUNTS WITH MULTIPLE MOST RECENT TRANSACTIONS, ACCOUNTS WITH MULTIPLE STATUSES AND ACCOUNTS THAT ARE IN STATUS OTHER THAN CLOSED WHERE THE ACCOUNT HOLDER IS NO LONGER LIVING.

DEPLETED ACCOUNT REPORT - GIVES A LIST OF ALL ACCOUNTS DEPLETED DURING A GIVEN MONTH AND THE TRANSFER OPTION THE INSURED CHOOSE AS THEIR ACCOUNT WAS DEPLETED.

RETENTION: ACSL RELATED REPORTS ARE RETAINED PERMANENTLY WITHIN THE APPLICATION. THESE REPORTS ARE ALSO RELATED TO AND USED AS PART OF ALL HEALTH INSURANCE REPORTS CREATED FOR PAYMENTS TO THE HEALTH INSURANCE CARRIERS AS NOTED IN RDA #00078 REFERENCED BELOW.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
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<u>00162H00.</u>	<u>ACSL RELATED TEST DATA</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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TEST DATA FOR SYSTEM LOADS, NEW PROGRAMS, CHANGES TO PROGRAMS, ETC. TEST DATA IS RETAINED ON THE WIKID SERVER.

EXAMPLES:
PAYROLL DEDUCTION TEST DATA IN THE USER INTERFACE REGION (UI)
PAYROLL DEDUCTION TEST DATA IN THE DEVELOPMENT REGION
ACSL TEST PLANS
ACSL TEST CASES

RETENTION: RETAIN UNTIL TESTED AND CONFIRMED AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
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<u>00163000.</u>	<u>ONE - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE DATASETS INCLUDE INFORMATION THAT WAS KEYED INTO OR UPLOADED FROM EMPLOYERS, REPORT INFORMATION, PROGRAM EXTRACT INFORMATION, AND DATA ENTERED.

THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF:

1. EMPLOYER NUMBER
2. EMPLOYER NAME
3. AGENT TITLE
4. AGENT NAME
5. GRAND TOTAL FOR ALL EMPLOYMENT CATEGORIES (HOURS, EARNINGS BY FISCAL YEAR AND CALENDAR YEAR; EMPLOYEE PAID EERC AND BAC; ADDITIONAL CONTRIBUITION FOR EMPLOYEE CORE AND VARIABLE; ADDITIONAL CONTRIBUTION FOR EMPLOYER CORE AND VARIABLE)
6. EMPLOYMENT CATEGORY
7. SOCIAL SECURITY NUMBER
8. LAST NAME, FIRST NAME, MIDDLE INITIAL
9. DATE OF BIRTH
10. ADDRESS
11. GENDER
12. ACTION CODE
13. ACTION DATE
14. FISCAL YEAR HOURS AND EARNINGS
15. CALENDAR YEAR HOURS AND EARNINGS

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16. EMPLOYEE PAID EERC AND BAC
 17. EMPLOYEE ADDITIONAL CONTRIBUTIONS FOR CORE AND VARIABLE
 18. EMPLOYER ADDITIONAL CONTRIBUTIONS FOR CORE AND VARIABLE
 19. STATEMENT OF BENEFITS DISTRIBUTION CODE
 20. WRS PARTICIPATION BEGIN DATE
 21. EMPLOYMENT CATEGORY
 22. REPORT DATE

MY ETF BENEFITS
 1. EMPLOYER NUMBER
 2. EMPLOYER NAME
 3. EMPLOYER GROUP NUMBER
 4. SOCIAL SECURITY NUMBER
 5. LAST NAME, FIRST NAME, MIDDLE INITIAL
 6. DATE OF BIRTH
 7. ADDRESS
 8. GENDER
 9. HEALTH PLAN
 10. COVERAGE LEVEL
 11. DEPENDENT DEMOGRAPHIC INFORMATION
 12. ENROLLMENT REASON
 13. HIRE DATE
 14. EVENT DATE
 15. BEGIN DATE
 16. END DATE
 17. REQUEST DATE
 18. PHYSICIAN INFORMATION
 19. OTHER INSURANCE INFORMATION
 20. MONTHLY PREMIUM

RETAIN INFORMATION UNTIL SUPERSEDED OR ACCOUNT INFORMATION IS MOVED TO ANOTHER SYSTEM AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: RORY MCGARRY, 608-261-8921
 RORY.MCGARRY@ETF.WI.GOV

<u>00163A00.</u>	<u>ONE - EMPLOYER REMITTANCE TABLES</u>	<u>CR+7</u>	<u>DEST</u>	<u>Y</u>
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THIS COMPONENT OF THE APPLICATION ALLOWS EMPLOYERS TO ENTER DATA THAT SUMMARIZES THE EARNINGS OF EMPLOYEES FOR A GIVEN MONTH/YEAR, AND THE RELATED CONTRIBUTIONS TO BE PAID BY THE EMPLOYER VIA ACH.

A. THIS COMPONENT INSERTS ROWS TO TBL_INTERNET_TRANS. DURING NIGHTLY BATCH PROCESSING, JOB TR161ODC UNLOADS THE ROWS FROM THIS TABLE AND MERGES THEM WITH THE OTHER TRANSACTION RECORDS FOR NIGHTLY PROCESSING. JOB TR161P02 SELECTS THESE RECORDS AND USES PROGRAM TR651P00 TO PROCESS THE TRANSACTIONS. ALL TRANSACTIONS ARE SAVED TO A YEAR SPECIFIC BACKUP FILE, SUCH AS ETFWEBS.PTRANS.Y2013.BKUP(+1) FOR 7 YEARS.

B. THIS COMPONENT ALSO INSERTS ROWS TO TBL_ER_IVR_REMIT WHICH KEEPS TRACK OF WHEN THE EMPLOYER REQUESTED THAT A FUND TRANSFER WILL OCCUR. EVERY NIGHT, PROGRAM TR651P04 (PART OF JOB TR161P30) CHECKS THE TABLE TO SEE WHICH EMPLOYERS HAVE REQUESTED FUND TRANSFERS FOR THE NEXT DAY. FOR EACH SITUATION FOUND, THE PROGRAM CREATES AN ACH TRANSACTION TO BE TRANSMITTED TO THE U.S. BANK. ROWS REMAIN INDEFINITELY.

PRIOR TO 2011, THESE FILES WERE KEPT AS GENERATION DATA GROUPS FOR 2 YEARS. NOW THE FINAL BACKUP IS KEPT 7 YEARS.

RETAINED FOR 7 YEARS AND DESTROYED CONFIDENTIAL.

PROGRAM CONTACT: RORY MCGARRY, 608-261-8921
 RORY.MCGARRY@ETF.WI.GOV

<u>00163B00.</u>	<u>ONE - EMPLOYER TRANSACTION UPLOAD</u>	<u>CR+7</u>	<u>DEST</u>	<u>Y</u>
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THIS COMPONENT ALLOWS EMPLOYERS TO ENTER EMPLOYEE TRANSACTIONS (ENROLLMENTS, TERMINATIONS, CORRECTIONS, ETC.) WHICH WILL BE USED BY NIGHTLY BATCH PROCESSORS TO UPDATE INDIVIDUAL PARTICIPANT ACCOUNTS.

A. THIS COMPONENT INSERTS ROWS TO TBL_INTERNET_TRANS WITH AN EMPLOYEE TRANSACTION TYPE (BETWEEN P000 AND P089). DURING NIGHTLY BATCH PROCESSING, JOB TR161 ODC UNLOADS THE ROWS FROM THIS TABLE AND MERGES THEM WITH OTHER TRANSACTIONS FOR PROCESSING. ALL TRANSACTIONS ARE SAVED ON A YEAR SPECIFIC BACKUP FILE, SUCH AS ETFWEBS.PTRANS.Y2013.BKUP(+1) FOR 7 YEARS. CERTAIN JOBS SELECT CERTAIN TRANSACTION TYPES AND USE THEIR SPECIFIC PROGRAMS TO UPDATE PARTICIPANT ACCOUNTS.

FOR EXAMPLE:

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JOB TR161P15 USES PROGRAM TR631P36 TO UPDATE ALL TERMINATION RELATED TRANSACTIONS TO PARTICIPATE ACCOUNTS. JOB TR161P16 USES PROGRAM TR631P17 TO UPDATE ALL CORRECTION RELATED TRANSACTIONS TO PARTICIPATE ACCOUNTS. JOB TR161P17 USES PROGRAM TR631P05 TO UPDATE ANNUAL DETAIL WITHOUT EARNINGS TRANSACTIONS TO PARTICIPATE ACCOUNTS. JOB TR161P18 USES PROGRAM TR631P06 TO UPDATE ANNUAL DETAIL WITH EARNINGS TRANSACTIONS TO PARTICIPATE ACCOUNTS. JOB TR161P19 USES PROGRAM TR631P32 TO UPDATE ALL ENROLLMENT RELATED TRANSACTIONS TO PARTICIPATE ACCOUNTS. JOB TR161P20 USES PROGRAM TR631P30 TO UPDATE ALL INDICATIVE DATA CHANGES RELATED TRANSACTIONS TO PARTICIPANT ACCOUNTS.

PRIOR TO 2011, THESE FILES WERE KEPT AS GENERATION DATA GROUPS FOR 2 YEARS. NOW THE FINAL BACKUP FILE IS KEPT 7 YEARS.

APPLICATIONS, JCLS AND PROGRAMS (JAVA AND COBOL) ACCESS THESE GENERATION DATA GROUP FILES TO USE THEM AS INPUT, AND THEY ALSO CREATE NEW GENERATIONS OF THESE DATASETS.

RETAINED FOR 7 YEARS AND DESTROYED CONFIDENTIAL.

PROGRAM CONTACT: RORY MCGARRY, 608-261-8921
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<u>00163C00.</u>	<u>ONE - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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ALL PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES - RETENTION VARIES FROM 10 TO 100 GENERATIONS AND ARE THEN DELETED. EMPLOYERS ALSO HAVE THE ABILITY TO EXTRACT AND PRINT INFORMATION FOR THEIR EMPLOYEES. THOSE ARE RETAINED BY EMPLOYERS AS NEEDED AND WE DO NOT MAINTAIN A RECORD FOR THOSE.

EXAMPLES INCLUDE:
SUSPENDED TRANSACTIONS PRINT PROCESS
EMPLOYER FOLDER MAILING LABELS
EMPLOYER MAILING LABELS EXTRACT

RETAIN TEMP FILE FOR A MINIMUM OF 10 GENERATIONS AND DELETE.

PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578, DAINE.VULTAGGIO@ETF.WI.GOV

<u>00163D00.</u>	<u>ONE - USER INTERFACES</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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THE ONE MAIN MENU CONTAINS THE FOLLOWING EMPLOYER USER INTERFACES. THIS INCLUDES JUST THE INTERFACES USED BY EMPLOYERS TO SUBMIT THE DATA WHICH IS STORED IN OTHER SYSTEMS.

ACCOUNT MAINTENANCE

RESET PASSWORD - ALLOWS EMPLOYERS TO RESET THEIR PASSWORD

EMAIL CONTACT INFORMATION UPDATE - ALLOWS EMPLOYER TO HAVE A SECURE VIEW OF THE CURRENT EMPLOYER CONTACT INFORMATION AND THE ABILITY TO UPDATE THE INFORMATION.

SECURITY AGREEMENT, ET-8928 - ALLOWS NEW EMPLOYERS TO GET THE SECURITY AGREEMENT FORM.

APPLICATIONS

WRS RATES DISPLAY - ALLOWS EMPLOYERS TO VIEW ANNUITY RATES.

LOCAL EMPLOYER PROJECTED UNFUNDED ACTUARIAL ACCRUED LIABILITY (JAAL) CALCULATOR - THIS IS A TWO PART APPLICATION THAT A) ALLOWS EMPLOYER'S TO VIEW THEIR UNFUNDED ACTUARIAL ACCRUED LIABILITY; AND B) ALLOWS EMPLOYERS TO VIEW CURRENT AND FUTURE EMPLOYER CONTRIBUTION RATES.

GASB FINANCIAL DISCLOSURE FOOTNOTE - ALLOWS EMPLOYERS TO VIEW THE GASB FINANCIAL DISCLOSURE FOOTNOTE.

PREVIOUS SERVICE AND BENEFIT INQUIRY - ALLOWS EMPLOYERS TO VIEW HISTORICAL INFORMATION REGARDING THEIR EMPLOYEES WRS PARTICIPATION ONLINE. ASSISTS IN DETERMINING INSURANCE PROGRAM ELIGIBILITY, WRS ELIGIBILITY STATUS AND CALCULATING SUPPLEMENTAL SICK LEAVE CREDITS (STATE AGENCIES ONLY).

WRS ACCOUNT UPDATE - PROVIDES EMPLOYER WITH THE ABILITY TO SECURELY TRANSMIT ACCOUNT UPDATES TO ETF. THE APPLICATION INCLUDES WRS ENROLLMENTS, DESCRIPTIVE DATA CHANGES, AND EMPLOYEE TRANSACTIONS.

WRS CONTRIBUTION REMITTANCE ENTRY - ALLOWS EMPLOYERS TO TRANSMIT WRS MONTHLY RETIREMENT REMITTANCE REPORTS (ET-1515) TO ETF AND MAKE PAYMENT THROUGH THE BANKING ACH PROCESS.

WRS TRANSACTION UPLOAD - ALLOWS EMPLOYERS TO UPLOAD AND SUBMIT WRS REPORTS TO ETF.

WRS EARNING REPORTS (ON-GOING) - ALLOWS EMPLOYERS TO VIEW THE WRS TRANSACTIONS FOR OPEN YEARS. THE APPLICATION CONSISTS OF EIGHT REPORTS INCLUDING: EMPLOYEE TRANSACTION DETAIL, REMITTANCE REPORTS BY MONTH, SUSPEND EMPLOYEE TRANSACTIONS, ACTIVE EMPLOYEE LISTING SELECTION (PRE-LIST), LISTING OF

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OVER/UNDER ENTRIES, LISTING OF ACTIVE EMPLOYEES WITH NO REPORTED EARNINGS, EARNING/CONTRIBUTION RECONCILIATION, AND LATE REPORTED EARNINGS.

WRS EARNINGS RECONCILIATION REPORTS (FINAL) - ALLOWS EMPLOYERS TO VIEW THE WRS ANNUAL RECONCILIATION REPORTS. THE APPLICATION CONSISTS OF NINE REPORTS INCLUDING: EMPLOYEE TRANSACTION DETAIL, SUSPENDED EMPLOYEE TRANSACTIONS, EMPLOYER CONTRIBUTION SUMMARY, REMITTANCE REPORTS BY MONTH, LISTING OF OVER/UNDER ENTRIES, UNFUNDED ACTUARIAL ACCRUED LIABILITY STATEMENT, EARNING/CONTRIBUTION RECONCILIATION, CONTRACT SETTLEMENT, AND LATE REPORTED EARNINGS.

MYETFBENEFITS - THE MYETFBENEFITS ADMINISTRATOR APPLICATION FOR EMPLOYERS ALLOWS EMPLOYERS TO EXECUTE BENEFITS TRANSACTIONS. THESE INCLUDE, BUT ARE NOT LIMITED TO, VIEWING AND UPDATING INDIVIDUAL MEMBER HEALTH INSURANCE ELIGIBILITY AND DEMOGRAPHIC DATA, COMPLETING MASS EMPLOYEE TERMINATIONS, ADDING AND DELETING A DEPENDENT OR DOMESTIC PARTNER AND UPDATING HEALTH INSURANCE ENROLLMENT DATA AND PERSONAL CONTACT INFORMATION.

CONTRIBUTION RATES FOR THE "PREVIOUS CALENDAR YEAR" AND THE "CURRENT CALENDAR YEAR" ARE DISPLAYED (CURRENTLY DISPLAYS CONTRIBUTION RATES FOR 2013 AND 2014).

RETAIN UNTIL SUPERSEDED OR OBSOLETE AND AND DESTROY

PROGRAM CONTACT: RORY MCGARRY, 608-261-8921
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<u>00163E00.</u>	<u>ONE - EXTRACTS AND VIEWS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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LIST OF EXTRACTS AND VIEWS OF DATA FROM OTHER SYSTEMS THAT EMPLOYERS CAN REQUEST. THE **D PROGRAMS MAY CREATE FILES BUT IS SO, THEY ARE NON-CUMULATIVE FILES IN THE EXECUTION OF A SINGLE JOB. THESE ARE TEMPORARY AND THE ACTUAL DATA IS RETAINED IN THE FILES LISTED UNDER 00163A. THE OTHER REQUESTS ARE AVAILABLE TO EMPLOYERS TO EXTRACT AND VIEW DATA BUT ETF DOES NOT RETAIN OR KEEP ANY OF THESE REQUESTS.

ANNUAL PRELIST EXTRACT (TR161A00)
LATE REPORTED EARNINGS EXTRACT (TR161E26)
WEEKLY EXTRACT OF MILITARY WITH TERM DATES (TR161E36)
NCOA EXTRACT FOR TBL_ER_EMPR (TR161E71)*
DOMESTIC PARTNER APPL ACKNOWLEDGEMENT EXTRACT (TR161E74)*
DOMESTIC PARTNER TEAM ACKNOWLEDGEMENT EXTRACT (TR161E75)*
REPRODUCE BENEFICIARY CORRESPONDENCE (TR161R05)
REQUESTABLE PRELIST EXTRACT (TR161R20)
RESEARCH ACTIVE DEATHS REPORTED BY EMPLOYERS (TR161E90)
UPDATE EMPLOYER ADDRESS DATA WITH NCOA INPUT (TR161P71)*
CREDITABLE SERVICE BY EMPLOYER (TR161R11)*

PROGRAM CONTACT: RORY MCGARRY, 608-261-8921
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MYETF BENEFITS EMPLOYER HEALTH INSURANCE PREMIUM INQUIRY
MYETF BENEFITS HEALTH INSURANCE ENROLLMENT INQUIRY
MYETF BENEFITS HEALTH INSURANCE DEPENDENT INQUIRY
MYETF BENEFITS HEALTH INSURANCE ADDRESS INQUIRY
MYETF BENEFITS HEALTH INSURANCE INVOICE SUMMARY
MYETF BENEFITS HEALTH INSURANCE INVOICE DETAIL
MY ETF BENEFITS HEALTH INSURANCE INVOICE CONTRACT ACTIVITY

RETENTION: NOT RETAINED. THESE ARE PROGRAMS FROM OTHER SYSTEMS THAT CAN EXTRACT AND PROVIDE A VIEW FOR THE EMPLOYER OF DATA THEY REQUEST. THIS INFORMATION IS RETAINED ACCORDING TO RETENTION SCHEDULES FOR THOSE SYSTEMS.

PROGRAM CONTACT: BRIAN SCHROEDER, 608-266-7705
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<u>00163F00.</u>	<u>ONE - WRS EARNINGS REPORTS (ON-GOING)</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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THESE REPORTS ARE USED BY EMPLOYERS TO PRE-RECONCILE THEIR ANNUAL REPORT AND TO IDENTIFY AND RESOLVE VARIANCES.

EMPLOYEE TRANSACTION DETAIL - THIS REPORT PROVIDES A DETAILED TRANSACTION LISTING BY INDIVIDUAL EMPLOYEE. IT SHOWS THE EARNINGS, SERVICE, AND CONTRIBUTIONS THAT WERE LOADED BY EMPLOYMENT CATEGORY FOR EACH EMPLOYEE. THIS REPORT WILL ALLOW THE EMPLOYER TO VERIFY ALL EARNING AMOUNTS REPORT TO ETF ON TRANSACTIONS THROUGHOUT THE YEAR. CURRENT AS OF THE PREVIOUS NIGHT.

REMITTANCE REPORTS BY MONTH - THIS IS THE MONTHLY LOG OF THE EARNINGS REPORTED BY CONTRIBUTION CATEGORY, AND ADDITIONAL CONTRIBUTIONS REPORTED TO ETF FOR THE YEAR SELECTED. THIS REPORT WILL ALLOW EMPLOYERES TO SEE ALL REMITTANCE REPORTS AND TOTALS OF EARNINGS, BY CATEGORY, ON FILE WITH ETF.

CURRENT AS OF THE PREVIOUS NIGHT.

SUSPENDED EMPLOYEE TRANSACTIONS - THIS REPORT PROVIDES A LIST OF ALL WRS EMPLOYER TRANSACTIONS THAT HAVE NOT LOADED. THIS REPORT ALLOWS EMPLOYERS TO SEE THE ERROR TYPE THAT CAUSED THEIR TRANSACTION NOT TO LOAD. CURRENT AS OF THE PREVIOUS NIGHT.

ACTIVE EMPLOYEE LISTING SELECTION (PRE-LISTS) (3 SELECTIONS) - CONTAINS 3 REPORTS WHICH INCLUDES: ACTIVE EMPLOYEE LISTING; END OF THE YEAR ACTIVE EMPLOYEE LIST; AND LATE-REPORTED CONTRACT SETTLEMENT. THE FIRST ONE IS A LISTING OF ALL EMPLOYEES ENROLLED FOR THAT EMPLOYER. THE SECOND ONE IS A REPORT OF ALL ACTIVELY EMPLOYED EMPLOYEES FOR THAT EMPLOYER ACCORDING TO OUR RECORDS. THE THIRD ONE ALLOWS THE EMPLOYER TO SELECT THE EMPLOYMENT CATEGORY AND THE REPORTING YEAR FOR A LATE REPORTED CONTRACT SETTLEMENT. ALL ARE CURRENT AS OF THE PREVIOUS NIGHT.

WRS LISTING OF OVER/UNDER ENTRIES - THIS REPORT PROVIDES A LISTING OF OVER/UNDER RELATED TRANSACTIONS THAT WERE PROCESSED DURING THE PAST YEAR AND UP THROUGH THE PREVIOUS NIGHT. IF THE BALANCE IS POSITIVE, AN EMPLOYER OWES ETF CONTRIBUTIONS.

LISTING OF ACTIVE EMPLOYEES WITH NO REPORTED EARNINGS - THIS REPORT WILL DISPLAY THIS LISTING ONLY AFTER AN EMPLOYER SUBMITS THEIR ANNUAL REPORT TO ETF AND WILL SHOW ANY ACTIVE EMPLOYEES WITH NO REPORTED EARNINGS.

EARNING/CONTRIBUTION RECONCILIATION - THIS REPORT WILL DISPLAY THE TOTALS AND DIFFERENCE BETWEEN THE EARNINGS FROM ALL EMPLOYEE TRANSACTIONS BY CONTRIBUTIONS CATEGORY AND EARNINGS FROM THE EMPLOYER MONTHLY REMITTANCE REPORTS BY CONTRIBUTIONS CATEGORY FOR THE SELECTED YEAR. THIS REPORT ASSISTS IN THE RECONCILIATION PROCESS.

LATE REPORTED EARNINGS - THIS REPORT ALLOWS EMPLOYERS TO VIEW ALL LATE REPORTED EARNINGS CORRECTIONS COMPLETED DURING THE YEAR SELECTED.

RETAIN 5 YEARS AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: RORY MCGARRY, 608-261-8921
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<u>00163G00.</u>	<u>ONE - WRS EARNINGS RECONCILLATION REPORTS</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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NINE REPORTS MAKE UP THE POST-RECONCILIATION PACKET FOR EMPLOYERS TO IDENTIFY AND RESOLVE ANNUAL RECONCILIATION VARIANCES.

EMPLOYEE TRANSACTION DETAIL - THIS REPORT PROVIDES ACCESS TO EMPLOYER POST-RECONCILIATION INFORMATION FOUND IN THE EE985 REPORT (EMPLOYER ANNUAL RECONCILIATION EMPLOYEE TRANSACTIONS) AND THE EE986 REPORT (EMPLOYER ANNUAL RECONCILIATION ADDITIONAL CONTRIBUTIONS). INCLUDES A DETAIL LISTING BY INDIVIDUAL EMPLOYEE. SHOW EARNINGS, SERVICE AND CONTRIBUTIONS THAT WERE LOADED BY CATEGORY FOR EACH EMPLOYEE. ON AN ANNUAL BASIS AND AFTER POST AND ROLL PROCESSING IS DONE, THE EMPLOYER RECONCILIATION DATA FOR THAT YEAR BECOMES STATIC DATA AND NO ADDITIONAL CHANGES TO THAT DATA ARE ALLOWED. FOR EXAMPLE, IN 2014 EMPLOYERS CAN REPORT 2014 TERMINATION DATA AND THEIR 2013 YEAR END TRANSACTIONS. ONCE POST AND ROLL OCCURS IN MARCH OR APRIL OF 2014, REPORT YEAR 2013 IS CLOSED AND NO OTHER TRANSACTIONS CAN BE REPORTED FOR 2013. IF THERE ARE ANY LATE REPORTED EARNINGS OR CONTRIBUTIONS AT A LATER DATE, THEY WILL BE REPORTED FOR THE REPORT YEAR THEY ARE REPORTED IN.

SUSPENDED EMPLOYEE TRANSACTIONS - THIS REPORT PROVIDES ACCESS TO INFORMATION FOUND ON THE EE002 REPORT (SUSPENDED TRANSACTION - RECONCILIATION). INCLUDES A LIST OF THE EMPLOYER'S TRANSACTIONS AND THE ERROR TYPE FOR THOSE THAT HAVE NOT LOADED AS OF THE PREVIOUS NIGHT. TRANSACTIONS ON THE LIST MAY SPAN MULTIPLE YEARS.

EMPLOYER CONTRIBUTION SUMMARY - THIS REPORT PROVIDES ACCESS TO EMPLOYER POST-RECONCILIATION INFORMATION FOUND IN THE ER032 REPORT (EMPLOYER ANNUAL CONTRIBUTION STATEMENT). INCLUDES AT A GLANCE BREAKDOWN BY CATEGORY OF WHAT AN EMPLOYER REPORTED IN EARNINGS, THE ASSOCIATED RATE COMPONENTS, AND CONTRIBUTIONS FOR THE YEAR SELECTED. EMPLOYERS USE THIS INFORMATION WHEN PREPARING THEIR GASB REPORTS. ON AN ANNUAL BASIS AND AFTER POST AND ROLL PROCESSING IS DONE, THE EMPLOYER RECONCILIATION DATA FOR THAT YEAR BECOMES STATIC DATA AND NO ADDITIONAL CHANGES TO THAT DATA ARE ALLOWED.

REMITTANCE REPORTS BY MONTH - THIS REPORT PROVIDES ACCESS TO EMPLOYER POST-RECONCILIATION INFORMATION FOUND ON THE ER314 REPORT (CONTRIBUTION SYSTEM TOTALS). INCLUDES A LOG OF THE EARNINGS BY EMPLOYMENT CATEGORY, AND ADDITIONAL CONTRIBUTIONS REPORTED MONTHLY TO ETF, AS WELL AS ANY SUPPLEMENTAL PAYMENTS THE EMPLOYER MADE. EMPLOYERS USE THE REPORT TO HELP THEM RESOLVE RECONCILIATION VARIANCES, AND WHEN PREPARING THEIR GASB REPORTS. ON AN ANNUAL BASIS AND AFTER POST AND ROLL PROCESSING IS DONE, THE EMPLOYER RECONCILIATION DATA FOR THAT YEAR BECOMES STATIC DATA AND NO ADDITIONAL CHANGES TO THAT DATA ARE ALLOWED.

WRS LISTING OF OVER/UNDER ENTRIES - THIS REPORT PROVIDES ACCESS TO EMPLOYER POST-RECONCILIATION INFORMATION RELATED TO OVER/UNDER TRANSACTIONS. INCLUDES A LISTING OF OVER/UNDER RELATED TRANSACTIONS THAT WERE PROCESSED DURING THE PAST YEAR AND UP THROUGH THE PREVIOUS NIGHT THAT THE REPORT IS PRODUCED. THE REPORT IDENTIFIES EACH TIME THERE WERE CONTRIBUTION VARIANCES, LATE FEES

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WERE ASSESSED, ADJUSTMENTS WERE MADE BY THE CONTROLLER'S OFFICE, PAYMENTS WERE RECEIVED FOR PREVIOUS CHARGES, OR A CREDIT WAS TAKEN.

UNFUNDED ACTUARIAL ACCRUED LIABILITY STATEMENT - THIS REPORT PROVIDES ACCESS TO EMPLOYER POST-RECONCILIATION INFORMATION FOUND ON PAGE TWO OF THE ER032 REPORT (EMPLOYER ANNUAL CONTRIBUTION STATEMENT). PROVIDES EMPLOYERS WHO HAVE AN UNFUNDED LIABILITY BALANCE A SUMMARY OF TRANSACTIONS THAT WERE PROCESSED DURING THE RECONCILIATION YEAR. ON AN ANNUAL BASIS AND AFTER POST AND ROLL PROCESSING IS DONE, THE EMPLOYER RECONCILIATION DATA FOR THAT YEAR BECOMES STATIC DATA AND NO ADDITIONAL CHANGES TO THAT DATA ARE ALLOWED.

EARNING/CONTRIBUTION RECONCILIATION - THIS REPORT WILL DISPLAY THE TOTALS AND DIFFERENCES BETWEEN THE EARNINGS FROM ALL EMPLOYEE TRANSACTIONS BY CONTRIBUTIONS CATEGORY AND EARNINGS FROM THE EMPLOYER MONTHLY REMITTANCE REPORTS BY CONTRIBUTIONS CATEGORY FOR THE SELECTED YEAR. THIS REPORT ASSISTS IN THE RECONCILIATION PROCESS.

CONTRACT SETTLEMENT - THIS REPORT ALLOWS EMPLOYERS TO VIEW A PRE-POPULATED SPREADSHEET THAT CAN BE USED FOR SUBMITTING A LATE REPORTED EARNINGS FILE VIA THE TRANSACTION UPLOAD APPLICATION.

LATE REPORTED EARNINGS - THIS REPORT ALLOWS EMPLOYERS TO VIEW ALL LATE REPORTED EARNINGS CORRECTIONS COMPLETED DURING THE YEAR SELECTED.

RETENTION: RETAIN 5 YEARS AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: RORY MCGARRY, 608-261-8921
RORY.MCGARRY@ETF.WI.GOV

<u>00163H00.</u>	<u>ONE RELATED TEST DATA AND TEST CASES</u>	<u>EVT+0/6</u>	<u>DEST</u>	<u>Y</u>
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TEST DATA FOR SYSTEM LOADS, NEW PROGRAMS, CHANGES TO PROGRAMS, ETC.

EXAMPLE:
ONE TEST DATA
EMPLOYER TESTS

ALL TEST DATA AND CASES RESIDE ON THE H: DRIVE
TEST PLANS ARE IN THE PROJECT FILES AND RETAINED PER IT000009.

RETENTION: RETAIN FOR 6 MONTHS AFTER TESTING IS COMPLETE AND CONFIRMED AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: RORY MCGARRY, 608-261-8921
RORY.MCGARRY@ETF.WI.GOV

<u>00164000.</u>	<u>LSPS - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE DATASETS INCLUDE INFORMATION THAT WAS KEYED INTO OR UPLOADED FROM DB2 DATABASE TABLES, REPORT INFORMATION, PROGRAM EXTRACT INFORMATION, AND DATA ENTERED. THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF:

ACCOUNT RECEIVABLE DATA
ACCRUAL AMOUNT
ADDITIONAL PARTICIPATION
ADJUSTMENT TYPE
ADJUSTMENT DATA
BANK ACCOUNT DATA
BENEFICIARY DATA
BENEFIT ACCOUNT RELATIONSHIP
BENEFIT CALCULATION WORKSHEETS
CHANGE HISTORY
CODES AND CODE DESCRIPTIONS
CORE AND/OR VARIABLE PARTICIPATION
DEATH DATE
DEDUCTIONS
DEMOGRAHPICS(SHARED WITH BPS)
DISTRIBUTION TYPE
EFFECTIVE DATE
FUND SOURCE
LOST CONTACT DATE
LUMP SUM BENEFIT ACCOUNT TYPE
LUMP SUM PAYMENT RECOVERY
LUMP SUM ROLLOVER
MAILER TO MEMBER
PAYMENT DATA
PAYMENT METHOD
PAYMENT OPTION

RDA #	RDA Title	Retention	Disposition	PII
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RECONCILIATION
SERVICE
SNAPSHOTS OF WEBS & BPS DATA
SYSTEM ADMINISTRATION
TAX DATA (E.G. WITHHOLDING AND 1099R)
TAX DEFERRED PARTICIPATION
TIMESTAMPS
VOUCHER INFORMATION
WEBS PLAN TYPE & PLAN OCCURANCE
WISMART DATA

RETENTION: RETAIN INFORMATION UNTIL SUPERSEDED; AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

00164A00.**LSPS - GENERATION DATA GROUPS****EVT****DEST****Y**

LISTED BELOW ARE THE GENERATION DATA GROUPS (GDGS) RELATED TO LSPS. THE RETENTION OF THESE DATASETS IS DETERMINED BY THE NUMBER OF GENERATIONS DEFINED FOR THE GDG, AND ALSO BY THE MANAGEMENT CLASS ASSIGNED BY THE JOB THAT CREATES THE FILE. (IF THE GDG HAS A MAXIMUM OF 10 GENERATIONS, THEN ONLY 10 WILL BE SAVED. IF THE JOB CREATES THE FILE WITH A MANAGEMENT CLASS OF THREE MONTHS, THEN THE FILE WILL BE KEPT FOR ONLY THREE MONTHS, EVEN THOUGH THE MAXIMUM NUMBER OF GENERATIONS HAS NOT BEEN REACHED.)

BELOW ARE THE DATASETS WITH THE NUMBER OF GENERATIONS KEPT AND THE APPROXIMATE TIMEFRAME EACH IS KEPT.

ETFWEBS.LSPSLOGS.TR163A01(+1) 30 GENERATIONS (TR163A01)
ETFWEBS.RECON.LSPS.CHG.RPT.(+1) 30 GENERATIONS (TR163CHP)
ETFWEBS.LSPSLOGS.TR163E01(+1) 30 GENERATIONS (TR163E01)
ETFWEBS.LSPSLOGS.TR163E05(+1) 30 GENERATIONS (TR163E05)
ETFWEBS.LSPSLOGS.TR163E06(+1) 30 GENERATIONS (TR163E06)
ETFWEBS.LSPSLOGS.TR163P07(+1) 30 GENERATIONS (TR163P07)
ETFWEBS.LSPSLOGS.TR163P09(+1) 30 GENERATIONS (TR163P09)
ETFWEBS.LSPSLOGS.TR163P10(+1) 30 GENERATIONS (TR163P10)

NOTE: LSPSLOGS GDGS ARE NO LONGER BEING USED EFFECTIVE THE SUMMER OF 2012 SINCE MOVING BATCH PROCESSING ZLINUX. A LIST OF LSPS GDGS ARE IN: [HTTP://WIKID:8443/BROWSE/BPS-739](http://wikid:8443/BROWSE/BPS-739)

TR163E62 EACH RETAINED 30 GENERATIONS:
ETFWEBS.TR163E62.AFP1099.ARCH.YR10(+1)
ETFWEBS.TR163E62.AFP1099.ARCH.YR11(+1)
ETFWEBS.TR163E62.AFP1099.ARCH.YR12(+1)
ETFWEBS.TR163E62.AFP1099.ARCH.YR13(+1)
ETFWEBS.TR163E62.AFP1099.ARCH.YR14(+1)

ETFWEBS.TR163E01.AFPAYRL.EXTRACT(+1) 52 GENERATIONS (TR163E01)

LSPSAFP1099REPRINTEXTRACT:
ETFWEBS.TR163E62.AFP1099.ARCH.YR10(+1) 30 GENERATIONS (TR163F62)

LSPSCHECKINGEST(TR153P09)

LSPSCHECKINGESTCONVERTOR:
DOACHEXP.AD328.AD32863H.WARRANT.ETF, 52 GENERATIONS (TR163P08)
NOTE: ALSO LISTED IN SECTION G.

LSPSCHECKEXTRACT: CREATES CHECK-EXTRACT.DAT (TR153E05)

LSPSCHECKEXTRACTCONVERTOR: CREATES CHECK-EXTRACT-EBCIDIC.DAT, WHICH IS THEN TRANSFERRED TO
ETFWEBS.TR163E06.LSPS.CHECKS(+1) 30 GENERATIONS (TR163E06)

LSPSIRSRETURNFILING: ETFWEBS.TR163A01.IRSRTRN.FILING(+1) 30 GENERATIONS(TR163A01)

NOTE: THIS JOB WILL NO LONGER CREATE THE GDG'S. ONCE THE EXTRAC FILES (.DAT FILES) HAVE BEEN COPIES MANNUALLY TO: H:\ADB\PRODUCTIONSSUPPORT\TAX FILES SENT\LSPS\1099\2012\0105\YYYYMMDD) SUBFOLDER CREATED WITH BATCH RAN DATE, AN EMAIL IS SENT TO BITS INDICATING THE FILES HAVE BEEN COPIED TO THE LOCATION SPECIFIED AND THEY WILL UPLOAD THE .DAT FILES TO IRS THE SITE.

APPLICATIONS, JCLS AND PROGRAMS (JAVA AND COBOL) ACCESS THESE GENERATION DATA GROUP FILES TO USE THEM AS INPUT, AND THEY ALSO CREATE NEW GENERATIONS OF THESE DATASETS.

RETENTION: RETAINED FOR NUMBER OF GENERATIONS LISTED OR 2 YEARS AND DESTROYED CONFIDENTIAL.

Dept #: 700/

Department Name: ETF DEPARTMENT RECORDS

RDA #	RDA Title	Retention	Disposition	PII
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PROGRAM CONTACT: DIANE VULTAGGIO, 608-266-5578
DIANE.VULTAGGIO@ETF.WI.GOV

<u>00164B00.</u>	<u>LSPS - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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ALL PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES - RETENTION VARIES FROM 10 TO 100 GENERATIONS AND ONCE COMPLETE THEY ARE THEN DELETED.

RETENTION: RETAIN A MINIMUM OF 10 GENERATIONS AND DELETE.

PROGRAM CONTACT: CHRIS.LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

<u>00164C00.</u>	<u>LSPS - REPORTS</u>	<u>CY+4</u>	<u>DEST</u>	<u>Y</u>
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REPORTS ARE GENERATED FROM LSPS ON A WEEKLY/ON-DEMAND BASIS. EXAMPLES INCLUDE:

DEDUCTION REPORT
VOUCHER REPORT
VOUCHER PAYMENTS REPORT
ACCOUNTS RECEIVABLE RECOVERIES REPORT
ACCOUNTS RECEIVABLE DOCUMENT REPORT
PULL-TO-RECOVER REPORT
PULL-TO-HOLD REPORT
STOP-TO-RECOVER REPORT
STOP-TO-REISSUE REPORT
AUDIT REPORT
CHILD SUPPORT REMITTANCE REPORT

RETENTION: CURRENT YEAR + 4 (RETAIN CURRENT YEAR PLUS 4 BACK FISCAL YEARS) AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

<u>00164D00.</u>	<u>LSPS - 1099R YEAR END FILE</u>	<u>CR+14</u>	<u>DEST</u>	<u>Y</u>
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A COPY OF THE YEAR END 1099R FILE IS RETAINED FOR TAX PURPOSES AND TO PROVIDE DUPLICATE COPIES AS REQUESTED BY MEMBERS. WHENEVER A 1099R FILE (FOR ANNUITANTS OR FOR LUMP SUM PAYMENTS) IS SENT TO THE IRS, A COPY OF THE FILE IS DOWNLOADED AND SAVED IN H:\ADB\PRODUCTION SUPPORT\TAX FILES SENT.

FILE NAME = ETFWEBSB.TR163A01.IRSRTRN.FILING(+1) 14 GENERATIONS ARE KEPT ON THE H: DRIVE.
NOTE - THIS FILE IS SEPARATE AND UNIQUE FROM THE CORRESPONDING BPS FILE.

RETENTION: RETAIN 10 YEARS AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

<u>00164E00.</u>	<u>LSPS - 1099R CORRECTION FILE BY YEAR</u>	<u>CR+14</u>	<u>DEST</u>	<u>Y</u>
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A COPY OF CORRECTED 1099R'S IS RETAINED BY YEAR FOR TAX PURPOSES AND TO PROVIDE DUPLICATE COPIES AS REQUESTED BY MEMBERS.

FILE NAME = ETFWEBSB.TR163A05.IRSRTRN.CORRECTN(+1)

14 GENERATIONS ARE KEPT ON THE H: DRIVE.

NOTE - THIS FILE IS SEPARATE AND UNIQUE FROM THE CORRESPONDING BPS FILE.

RETENTION: RETAIN 14 YEARS AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

<u>00164F00.</u>	<u>LSPS - CUSTOMER STATEMENT MAILER</u>	<u>CR+4</u>	<u>DEST</u>	<u>Y</u>
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EACH WEEKLY PAYROLL CYCLE ALSO GENERATES CUSTOMER STATEMENT MAILER TO PAYEES WITH DETAILS OF THE GROSS & NET AMOUNTS AND DEDUCTIONS.

FILE NAMES = ETFWEBSB.TR163E01.AFPPAYRL.EXTRACT(+1) 52 GENERATIONS
52 GENERATIONS ARE RETAINED OR ABOUT 4 YEARS.

RETENTION: RETAIN 4 YEARS AND DESTROY CONFIDENTIAL.

Dept #: 700/

Department Name: ETF DEPARTMENT RECORDS

RDA # RDA Title Retention Disposition PII

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

00164G00. **LSPS - INPUTS/INGESTS** **EVT** **DEST** **Y**

CONTAINS THE FOLLOWING PROGRAMS THAT INPUT OR INGEST DATA INTO LSPS:

CHECK INGEST - DURING PAYROLL PROCESSING, A LIST OF ALL CHECK PAYMENTS IS SENT TO DOA FOR PRINTING. ONCE THE CHECKS ARE PHYSICALLY PRINTED THE ASSIGNED CHECK NUMBER IS POPULATED INTO THE ORIGINAL FILE AND SENT BACK TO ETF. THE CHECK INGEST JOB THEN POPULATES THE CHECK NUMBER INTO THE LSPS DATABASE. RETAIN - 52 GENERATIONS (1 VERSION PER WEEK); FILE NAME = DOACHEXP.AD328.AD32863H.WARRANT.ETF(0) (TR163P08)
NOTE: ALSO LISTED IN SECTION A

CHECK EXTRACT CONVERTER - THIS IS THE FILE RECEIVED FROM DOA TO LOAD THE CHECK NUMBERS TO LSPS FOR THE LUMP SUM CHECKS THAT WERE SENT. TRP163P08
RETAIN - 4 GENERATIONS (2 YRS). FILE NAME = LSPS.CHKWRTNG - ETFWEBSP.TR163E06.LSPS.CHECKS(+1) 30 GENERATIONS (TR163E06)

RETENTION: RETAINED FOR NUMBER OF GENERATIONS LISTED BELOW EACH INGEST AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

00164H00. **LSPS - OUTPUTS/EXTRACTS** **EVT** **DEST** **Y**

CONTAINS THE FOLLOWING PROGRAMS THAT OUTPUT OR EXTRACT DATA FROM LSPS.

TR153WRE - WISMART RECEIVABLES FILE EXTRACT (DAILY) - 30 GENS ETFWEBSP.BPS.WISMART.RCVBLEXT

TR153E02 - CHECK EXTRACT - THIS FILE IS SENT TO DOA FOR CHECK PRINTING. NOTHING IS SAVED HERE - CHECK WRITING IS SAVED IN THE INGEST STEP ABOVE.

RETENTION: RETAIN FOR NUMBER OF GENERATIONS LISTED BELOW EACH EXTRACT AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

00164I00. **LSPS - USER INTERFACE PAGES** **EVT** **DEST** **Y**

USER INTERFACE PAGES - THIS IS THE LIST OF LSPS APPLICATION PAGES INCLUDED IN THE USER INTERFACE. THESE PAGES ALLOW DATA INPUT FOR ALL AREAS OF BPS.

MAINTAIN BENEFIT ACCOUNT - THIS PAGE IS THE MAIN LOCATION TO ADD OR UPDATE INFORMATION RELATED TO A BENEFIT ACCOUNT. IT IS BROKEN INTO SECTIONS BASED ON THE AREA OF THE BENEFIT ACCOUNT.

MAINTAIN PAYMENT INFORMATION - THIS PAGE ALLOWS EDITING OF THE PAYMENT INFORMATION WHILE IT IS STILL PENDING OR ENTRY OF PAYMENT DATA FOR MANUAL CALCULATIONS.

MAINTAIN TAX WITHHOLDING DEDUCTION INFORMATION - THIS PAGE ALLOWS EDITING OF THE TAX WITHHOLDING DEDUCTION AMOUNT INFORMATION.

MAINTAIN DEDUCTION INFORMATION - THIS PAGE ALLOWS EDITING OF THE DEDUCTION INFORMATION.

MAINTAIN PAYMENT RECOVERY INFORMATION - THIS PAGE ALLOWS THE INITIATION OF PAYMENT RECOVERIES FOR ALREADY ISSUED PAYMENTS.

MAINTAIN CLOSURE INFORMATION - THIS PAGE ALLOWS USERS TO ENTER CLOSURE DATA FOR MANUAL CALCULATIONS.

RETENTION: RETAIN UNTIL SUPERSEDED OR OBSOLETE AND DESTROY.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

00164J00. **LSPS RELATED TEST DATA AND TEST CASES** **EVT** **DEST** **Y**

TEST DATA AND TEST CASES FOR SYSTEM LOADS, NEW PROGRAMS, CHANGES TO PROGRAMS, ETC.

EXAMPLES:
PAYROLL DEDUCTION TEST DATA IN THE USER INTERFACE REGION (UI) PAYROLL DEDUCTION TEST DATA IN THE DEVELOPMENT REGION LSPS TEST CASES.

RDA #	RDA Title	Retention	Disposition	PII
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ALL TEST DATA AND CASES RESIDE ON THE H: DRIVE H:/LSPS/TEST CASES. TEST PLANS ARE IN THE PROJECT FILES AND RETAINED PER IT000009.

RETENTION: RETAIN FOR 6 MONTHS AFTER TESTING IS COMPLETE AND CONFIRMED AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: CHRIS LINDEMAN, 608-267-9037
CHRIS.LINDEMAN@ETF.WI.GOV

<u>00165000.</u>	<u>RDS - MEMBER RECORDS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THE MEMBER RECORDS INCLUDE INFORMATION THAT WAS UPLOADED FROM HICS OR MEBS DATABASE TABLES. THE RECORDS INCLUDE INFORMATION IN THE CATEGORIES OF:

1. APPLICATION NUMBER
2. SSN
3. HICN (OPTIONAL)
4. FIRST NAME
5. MIDDLE INITIAL (OPTIONAL)
6. LAST NAME
7. DATE OF BIRTH
8. GENDER
9. COVERAGE EFFECTIVE DATE
10. COVERAGE TERMINATION DATE
11. UNIQUE BENEFIT OPTION IDENTIFIER
12. RELATIONSHIP TO RETIREE
13. TRANSACTION TYPE
14. CONTRACT ID
15. DATE STAMP
16. SUBSCRIBER ID

RETENTION: RETAIN FOR 10 YEARS AFTER ACCOUNT IS SUPERSEDED, OBSOLETE, CANCELLED OR PURGED FROM THE SYSTEM AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: JEFF BOGARDUS, 608-266-3099
JEFF.BOGARDUS@ETF.WI.GOV

<u>00165A00.</u>	<u>RDS - TABLES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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LISTED BELOW ARE THE TABLES CONTAINING THE DATA THAT IS RETAINED AS IT RELATES TO THE RDA SYSTEM.

TBL_CD_HI_RDS_APPL
TBL_CMS_TRANS
TBL ETF_ADDR
TBL ETF_DEMO
TBL_HLTH_COV_INDV
TBL_HLTH_CONTRACT
TBL_HLTH_HIST
TBL_RCH_RECORD

RETENTION: RETAIN FOR 10 YEARS AFTER SYSTEM IS SUPERSEDED, OBSOLETE, OR INFORMATION IS MOVED TO ANOTHER SYSTEM AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: JEFF BOGARDUS, 608-266-3099
JEFF.BOGARDUS@ETF.WI.GOV

<u>00165B00.</u>	<u>RDS - CMS MONTHLY UPDATE FILE</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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FILE CREATED TO ADD, UPDATE OR DELETE SUBSCRIBERS WHO QUALIFY. THIS FILE IS CREATED EACH MONTH AND ONLY CONTAINED THE STATE RETIREES THAT WERE CORRECTED OR HAD A CHANGE MADE IN HICS/MEBS. A CHANGE THAT WILL TRIGGER A RETIREE TO BE SENT TO CMS INCLUDES SSN, FIRST NAME, LAST NAME, BIRTH DATE, GENDER, GROUP NUMBER AND RELATIONSHIP CODE. ADDITIONALLY, ANY NEW MEDICARE PART D RETIREES AND ANY TERMINATIONS WAS INCLUDED. A FILE WAS SENT TO NAVITUS AS WELL.

RETENTION: RETAIN FILE FOR 10 YEARS AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: JEFF BOGARDUS, 608-266-3099
JEFF.BOGARDUS@ETF.WI.GOV

<u>00165C00.</u>	<u>RDS - MONTHLY UPDATE RESPONSE FILE</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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AFTER ETF SENDS CMS AN ANNUAL OR MONTHLY FILE, CMS WILL PROCESS THE FILE AND IDENTIFY ANY ERRORS THAT MAY BE CONTAINED IN IT. CMS WILL CREATE A "RESPONSE FILE", WHICH ETF WOULD RETREIVE AND REVIEW. ANY ERRORS IDENTIFIED WERE MANUALLY RESEARCHED AND CORRECTED IN HICS/MEBS AND BPS (BENEFIT PAYMENT SYSTEM).

Dept #: 700/

Department Name: ETF DEPARTMENT RECORDS

RDA # RDA Title Retention Disposition PII

RETENTION: RETAIN FILE FOR 10 YEARS AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: JEFF BOGARDUS, 608-266-3099
JEFF.BOGARDUS@ETF.WI.GOV

00165D00. **RDS - WEEKLY NOTIFICATION FILE** **CR+10** **DEST** **Y**

ETF MUST PROCESS WEEKLY NOTIFICATION FILES SENT BY CMS AND UPDATE SUBSIDY PERIOD INFORMATION IN THEIR INTERNAL SYSTEM SO THAT THE APPROPRIATE COST CALCULATIONS MAY BE PERFORMED. ETF MAY RECEIVE MULTIPLE NOTIFICATION RECORDS FOR A SINGLE QUALIFYING COVERED RETIREE (QCR) IN THE EVENT THAT THERE IS A GAP IN SUBSIDY COVERAGE PERIODS OR THE BENEFICIARY IS ENROLLED IN MULTIPLE BENEFIT OPTIONS.

THE WEEKLY NOTIFICATION FILES CONTAIN ALL THE ORIGINAL DATA ELEMENTS THAT ETF SENT IN THE MOST RECENT RETIREE FILE, PLUS THE DETERMINATION INDICATOR, REASON CODES, SUBSIDY PERIOD EFFECTIVE DATE, AND THE SUBSIDY PERIOD TERMINATION DATE.

RETENTION: RETAIN FILE FOR 10 YEARS AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: JEFF BOGARDUS, 608-266-3099
JEFF.BOGARDUS@ETF.WI.GOV

00165E00. **RDS INITIAL RETIREE FILES** **CR+10** **DEST** **Y**

FILE CREATED BY ETF AND SENT TO CMS AT THE BEGINNING OF A NEW PLAN YEAR TO ESTABLISH RDS ELIGIBLE RETIREES FOR THE NEW RDS APPLICATION.

RETENTION: RETAIN FOR 10 YEARS AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: JEFF BOGARDUS, 608-266-3099
JEFF.BOGARDUS@ETF.WI.GOV

00165F00. **RDS ENROLLMENT REJECTION FILE** **CR+10** **DEST** **Y**

FILE RECEIVED FROM CMS MONTHLY INDICATING THE MEMBER WAS NOT ELIGIBLE FOR THE RDA PROGRAM DUE TO NOT BEING MEDICARE ELIGIBLE OR DUES TO ENROLLMENT IN AN ACTUAL MEDICARE PART D PLAN OUTSIDE THE STATE GROUP HEALTH INSURANCE PROGRAM.

RETENTION: RETAIN FOR 10 YEARS AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: JEFF BOGARDUS, 608-266-3099
JEFF.BOGARDUS@ETF.WI.GOV

00165G00. **RDS PBM QUARTERLY FILE** **CR+10** **DEST** **Y**

FILE CREATED BY ETF AND SENT TO THE PBM (NAVITUS) FOR REPORTING CLAIMS COSTS TO THE RDS PROGRAM. FILE CONTAINED ELIGIBLE MEMBERS AND DATES OF COVERAGE.

RETENTION: RETAIN FOR 10 YEARS AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: JEFF BOGARDUS, 608-266-3099
JEFF.BOGARDUS@ETF.WI.GOV

00165H00. **RDS ANNUAL RECONCILIATION** **CR+10** **DEST** **Y**

FILES CREATED BY ETF DOCUMENTING THE ANNUAL RECONCILIATION OF THE CURRENT YEARS' RDS APPLICATION AND SUBSIDY PAYMENTS RECEIVED FROM CMS VIA THE RDS WEB SITE.

RETENTION: RETAIN FOR 10 YEARS AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: JEFF BOGARDUS, 608-266-3099
JEFF.BOGARDUS@ETF.WI.GOV

00165I00. **RDS PROGRAM ANNUAL APPLICATIONS** **CR+10** **DEST** **Y**

FILES CREATED BY ETF DOCUMENTING THE ANNUAL RDS APPLICATION PROCESS PERFORMED VIA THE RDS WEB SITE.

RETENTION: RETAIN FOR 10 YEARS AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: JEFF BOGARDUS, 608-266-3099
JEFF.BOGARDUS@ETF.WI.GOV

00165J00. **PHARMACY PLAN CODE CFM** **CR+10** **DEST** **Y**

RDA #	RDA Title	Retention	Disposition	PII
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FILE CREATED BY ETF TO ADJUST THE PHARMACY PLAN CODE FOR MEMBERS ENROLLED IN THE RDS PROGRAM AND TO IDENTIFY THOSE WHO HAD OPTED OUT OF THE RDS PROGRAM BY ENROLLING IN AN ACTUAL MEDICARE PART D PLAN OUTSIDE THE STATE GROUP HEALTH INSURANCE PROGRAM.

RETENTION: RETAIN FOR 10 YEARS AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: JEFF BOGARDUS, 608-266-3099
JEFF.BOGARDUS@ETF.WI.GOV

<u>00166000.</u>	<u>PBM - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE DATASETS LISTED BELOW INCLUDES THE DATA RECORD/INFORMATION THAT WAS KEYED INTO THE APPLICATION FROM APPLICATIONS RECEIVED FROM EMPLOYERS, REPORT INFORMATION, PROGRAM EXTRACT INFORMATION, AND DATA ENTERED.

THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF:

1. SUBSCRIBER AND DEPENDENT SSN
2. HEALTH PLAN
3. COVERAGE CODE
4. COVERAGE EFFECTIVE DATE
5. COVERAGE TERMINATION DATE
6. SUBSCRIBER AND DEPENDENT NAME
7. SUBSCRIBER ADDRESS
8. SUBSCRIBER HOME PHONE NUMBER
9. SUBSCRIBER WORK PHONE NUMBER
10. SUBSCRIBER AND DEPENDENT DATE OF BIRTH
11. SUBSCRIBER AND DEPENDENT GENDER
12. RELATIONSHIP TO THE SUBSCRIBER
13. EMPLOYER NUMBER
14. GROUP NUMBER
15. OTHER NEEDED FIELDS

RETENTION: RETAIN UNTIL SUPERSEDED, OBSOLETE, OR MOVED TO ANOTHER SYSTEM. IF OBSOLETE, DESTROY CONFIDENTIAL.

PROGRAM CONTACT: BRIAN SCHROEDER, (608) 266-7705
BRIAN.SCHROEDER@ETF.WI.GOV

<u>00166A00.</u>	<u>PBM - TABLES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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LISTED BELOW ARE THE TABLES CONTAINING THE DATA THAT WAS RETAINED AS IT RELATED TO THE PBM APPLICATION.

TBL_HLTH_CONTRACT
TBL_HLTH_HIST
TBL_CD_HI_EMPE_TYP
TBL_CD_HI_CONTR_ST
TBL_CD_HI_ENRL_TYP
TBL_CD_HI_COV_TYPE
TBL_CD_HLTH_CARR
TBL_CD_EMPR_GROUP
TBL_CD_RET_DUE_DT
TBL_HI_CTR_ACTY

RETENTION: RETAIN UNTIL SUPERSEDED, OBSOLETE, OR MOVED TO ANOTHER SYSTEM. IF OBSOLETE, DESTROY CONFIDENTIAL.

PROGRAM CONTACT: BRIAN SCHROEDER, (608) 266-7705
BRIAN.SCHROEDE@ETF.WI.GOV

<u>00166B00.</u>	<u>PBM - DAILY EGWP AND PBM 834 FILES</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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THE DAILY EGWP FILE IS A DAILY 834 ELIGIBILITY FILE SENT TO NAVITUS. THIS FILE CONTAINS THE CONTRACTS THAT ARE MEDICARE CONTRACTS AND ALL COVERED INDIVIDUALS ENROLLED IN MEDICARE. THESE COVERED INDIVIDUALS WILL BE ENROLLED IN A MEDICARE PART D PLAN.

THE DAILY BPM FILE IS AN 834 ELIGIBILITY FILE SENT TO ETF'S PHARMACY BENEFIT MANAGER, CURRENTLY NAVITUS. THIS FILE CONTAINS ALL ACTIVE EMPLOYEE CONTRACTS AND DEPENDENTS ON THOSE CONTRACTS AS WELL AS NON-MEDICARE ANNUITANT AND CONTINUANT CONTRACTS.

RETENTION: RETAIN FOR 5 YEARS AND DESTROY CONFIDENTIAL

RDA #	RDA Title	Retention	Disposition	PII
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PROGRAM CONTACT: BRIAN SCHROEDER, (608) 266-7705
BRIAN.SCHROEDER@ETF.WI.GOV

<u>00167000.</u>	<u>MEBS - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE DATASETS INCLUDE INFORMATION THAT WAS KEYED INTO OR UPLOADED FROM EMPLOYERS, REPORT INFORMATION, PROGRAM EXTRACT INFORMATION, AND DATA ENTERED.

THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF:

1. EMPLOYER NUMBER
2. EMPLOYER NAME
3. AGENT TITLE
4. AGENT NAME
5. EMPLOYER GROUP NUMBER
6. EMPLOYMENT CATEGORY
7. MEMBER SOCIAL SECURITY NUMBER
8. MEMBER LAST NAME, FIRST NAME, MIDDLE INITIAL
9. MEMBER DATE OF BIRTH
10. MEMBER ADDRESS
11. MEMBER GENDER
12. DEPENDENT DEMOGRAPHIC INFORMATION
13. ACTIVITY CODE
14. EVENT DATE
15. ENROLLMENT REASON
16. COVERAGE TYPE/LEVEL
17. CARRIER (HEALTH PLAN)
18. EMPLOYEE TYPE
19. PHYSICIAN INFORMATION
20. MEDICARE INFORMATION
21. COVERAGE EFFECTIVE DATE
22. COVERAGE EXPIRATION DATE
23. HIRE DATE
24. EVENT DATE
25. BEGIN DATE
26. END DATE
27. REQUEST DATE
28. OTHER INSURANCE INFORMATION
29. MONTHLY PREMIUM

EVENT = UNTIL SUPERSEDED OR ACCOUNT INFORMATION IS MOVED TO ANOTHER SYSTEM AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: BRIAN SCHROEDER, 608-266-7705
BRIAN.SCHROEDER@ETF.WI.GOV

<u>00167A00.</u>	<u>MEBS - EMPLOYER ACTIVITY UPLOAD (EMEB)</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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THIS COMPONENT ALLOWS EMPLOYERS TO UPLOAD XML FILES THAT CONTAIN HEALTH CONTRACT RELATED ACTIVITY, ADD COVERAGE, ADD DEPENDENT, REMOVE DEPENDENT, CHANGE HEALTH PLAN - GENERALLY ANY ACTIVITIES THAT CAN BE ENTERED VIA MY ETF BENEFITS WEB APPLICATIONS, WHICH WILL BE USED BY NIGHTLY BATCH PROCESSORS TO EXECUTE SUCH ACTIVITIES, ALONG WITH ALL ACTIVITIES ENTERED THROUGH THE WEB PORTAL.

EVENT = Created

<u>00167B00.</u>	<u>MEBS - USER INTERFACE</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE MEBS MAIN MENU CONTAINS THE FOLLOWING USER INTERFACES:

APPLICATIONS

MYETFBENEFITS - THE MYETFBENEFITS ADMINISTRATOR APPLICATION FOR - EMPLOYERS ALLOWS EMPLOYERS TO EXECUTE BENEFITS TRANSACTIONS. THESE INCLUDE, BUT ARE NOT LIMITED TO, VIEWING AND UPDATING INDIVIDUAL MEMBER HEALTH INSURANCE ELIGIBILITY AND DEMOGRAPHIC DATA, COMPLETING MASS EMPLOYEE TERMINATIONS, ADDING AND DELETING A DEPENDENT OR DOMESTIC PARTNER AND UPDATING HEALTH INSURANCE ENROLLMENT DATA AND PERSONAL CONTACT INFORMATION.

THE APPLICATION CONTAINS INFORMATION AVAILABLE THROUGH ONE OF THE INTERFACES BELOW:

EMPLOYER INFORMATION - CONTAINS THE EMPLOYER AGENT, INSURANCE AGENT, RETIREMENT CONTACT AND EMPLOYER ADDRESS

MYMEMBERS - CONTAINS DEMOGRAPHIC SUBSCRIBER INFORMATION, EMPLOYER INFORMATION, AND ADDRESS INFORMATION. THIS INFORMATION CAN BE UPDATED.

RDA #	RDA Title	Retention	Disposition	PII
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HEALTH INSURANCE - PROVIDES THE HEALTH INSURANCE INFORMATION FOR THE MEMBERS COVERAGE WHICH INCLUDES THEIR EMPLOYER GROUP; PROGRAM OPTION; ORIGINAL HEALTH EFFECTIVE DATE; SURCHARGE CODE; SURCHARGE EFFECTIVE DATE; SURCHARGE EXPIRATION DATE; EXPIRATION DATE; RESOLUTION EFFECTIVE DATE; AND RESOLUTION EXPIRATION DATE.

LIFE INSURANCE - CONTAINS GENERAL INFORMATION ABOUT THE LIFE INSURANCE PROGRAM.

DISABILITY - CONTAINS GENERAL INFORMATION ABOUT THE DISABILITY PROGRAMS.

WRS - REFERS USER TO ETF.WI.GOV

OTHER BENEFITS - CONTAINS GENERAL INFORMATION ABOUT THE OTHER BENEFIT PROGRAMS AVAILABLE TO WRS MEMBERS, INCLUDING COMMUTER BENEFITS, ERA, LONG TERM CARE, OPTIONAL DENTAL, OPTIONAL VISION, AND ACCIDENTAL DEATH AND DISMEMBERMENT.

HELP - PROVIDES HELP SCREENS

LOGOFF - ENDS THE USER SESSION

IN ADDITION, WITHIN A SUBSET FOR THE MEMBER, IT LISTS THE ICI INFORMATION AND LIFE INSURANCE COVERAGE(S) AND EFFECTIVE DATES.

EVENT = SUPERSEDED OR OBSOLETE AND DESTROY

PROGRAM CONTACT: BRIAN SCHROEDER, 608-266-7705
BRIAN.SCHROEDER@ETF.WI.GOV

<u>00167C00.</u>	<u>MEBS - MONTHLY 820 FILE AND FULL FILE COMPARE (FFC) FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Monthly 820 File - Electronic Data Interchange (EDI) Payroll Deducted and other group Premium Payment for Insurance Products (820): used to make premium payments for insurance products.

The FFC files are 5010 compliant 834 files that are received once per month, 2nd Monday of every month, from all health plans. This file contains all active contracts and all active covered individuals on a contract. Health plans are required to review and respond to identified exceptions from the Full File Compare process and update their system. myETFBenefits is the system of record. The intent of the FFC process is to keep all health plan's systems in-sync with myETFBenefits.

EVENT = after received or sent and destroyed confidential

<u>00167D00.</u>	<u>MEBS - DAILY HIPPA 834 FILES, EXCEPTION FILES, 999 FILES, DAILY EGWP, CR+1</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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HIPAA 834 File - EDI Benefit Enrollment and Maintenance Set: used to enroll members to a health care organization.

The 999 files are EDI Functional Acknowledgement Transaction Set: used for acknowledgement reports.

The daily EGWP file is a daily 834 eligibility file sent to Navitus. This file contains the contracts that are Medicare contracts and all covered individuals enrolled in Medicare. These covered individuals will be enrolled in a Medicare Part D plan.

The daily PBM file is an 834 eligibility file sent to ETF's pharmacy benefit manager, currently Navitus. This file contains all active employee contracts and dependents on those contracts as well as all non-Medicare annuitant and continuant contracts.

EVENT = Creation

<u>00167F00.</u>	<u>MEBS - EXTRACTS AND VIEWS</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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BELOW ARE EXTRACTS AND VIEWS OF DATA FROM OTHER SYSTEMS THAT EMPLOYERS, HEALTH PLANS AND ETF STAFF CAN REQUEST.

HEALTH INSURANCE ENROLLMENT INQUIRY REPORT
HEALTH INSURANCE DEPENDENT INQUIRY REPORT
HEALTH INSURANCE ADDRESS INQUIRY REPORT
HEALTH INSURANCE ENROLLMENT EXCEPTION REPORT
HEALTH PLAN HEALTH INSURANCE EMPLOYER PREMIUM INQUIRY REPORT
HEALTH INSURANCE EMPLOYER PREMIUM INVOICE REPORT
HEALTH INSURANCE HEALTH PLAN PREMIUM INQUIRY REPORT
HEALTH INSURANCE MEMBER INVOICE SUMMARY
HEALTH INSURANCE INVOICE SUMMARY
HEALTH INSURANCE INVOICE DETAIL
HEALTH INSURANCE CONTRACT ACTIVITY

EVENT = Creation

PROGRAM CONTACT: BRIAN SCHROEDER, 608-266-7705

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
	BRIAN.SCHROEDE@ETF.WI.GOV			
<u>00167G00.</u>	<u>MEBS - UWHC INGEST</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	<p>DAILY FILE SENT TO EMEB FROM UWHC WITH ACTIVITIES FOR EMEB. EMEB_UWHC_ACTIVITIES_(YYYYMMDD)_(DATESETID).XML SUBMITTED TO THE SFTP SERVER\(\EMPLOYERNO) RETAINED IN H:\HICS\EDIREPOSITORY\EMPLOYERS\(\EMPLOYERNO)</p> <p>DAILY FILE SENT FROM EMEB TO UWHC WITH THE RESULTS OF ANY ACTIVITIES PROCESSED THAT DAY: - 1. RESPONSE_EMEB_UWHC_ACTIVITIES_(YYYYMMDD)_(DATESETID).XML 2. SIMPLIFIEDRESPONSE_EMEB_UWHC_ACTIVITIES_(YYYYMMDD)_(DATASETID).XML (THIS IS A SUMMARY OF THE FILE IN (1)).</p> <p>RETENTION: INCOMING FROM UWHC: RETAIN FOR 3 YEARS AFTER RECEIVED OR SENT AND DESTROY CONFIDENTIAL. OUTGOING FILES ARE NOT RETAINED ONCE THEY ARE PICKED UP BY THE UWHC EACH DAY.</p> <p>PROGRAM CONTACT: BRIAN SCHROEDER, 608-266-7705 BRIAN.SCHROEDER@ETF.WI.GOV</p>			
<u>00167H00.</u>	<u>MEBS - OUTPUT REPORTS</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
	<p>1. DAILY BATCH REPORTS TO ETF STAFF ARE RUN. 2. ON-DEMAND REPORTS THAT ETF STAFF CAN RUN VIA ACCESS QUERIES</p> <p>REPORTS - MYETFBENEFITS POST RECONCILIATION - ERROR REPORT MYETFBENEFITS - HEALTH INSURANCE EXCEPTION REPORT HEALTH CONTRACT ACTIVITY INVOICE RECONCILIATION REPORT HEALTH INSURANCE TRAIL BALANCE INVOICE RECONCILIATION REPORT DAILY ELIGIBILITY EXTRACT REPORT (ONE FOR EACH HEALTH PLAN)</p> <p>EVENT = Creation</p> <p>PROGRAM CONTACT: BRAIN SCHROEDER, 608-266-7705 BRIAN.SCHROEDER@ETF.WI.GOV</p>			
<u>00167I00.</u>	<u>MEBS - VENDOR HEALTH SCREENING FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	<p>THE FOLLOWING TWO FILES ARE CREATED AND SENT TO OPTUM. OPTUM IS THE WELL WISCONSIN'S SCREENING VENDOR WHO COMPLETES WORK-PLACE ON-SITE BIOMETRIC SCREENING FOR THE WELL WISCONSIN'S PROGRAM.</p> <p>MONTHLY FULL ELIGIBILITY FILE FOR OPTUM - A 5010 COMPLIANT 834 FILE SENT TO OPTUM CONTAINING ALL MEMBERS ENROLLED IN ACTIVE COVERAGE WITH ALL HEALTH PLANS. HEALTH INSURANCE ENROLLMENT ELIGIBILITY FILE USED TO ESTABLISH BIOMETRIC SCREENING PROGRAM ELIGIBILITY.</p> <p>MONTHLY RESPONSE FILE FROM OPTUM TO THE HEALTH PLANS - ETF RECEIVES A 5010 COMPLIANT 834 RESPONSE FILE FROM OPTUM REPORTING THE RESULTS OF A MEMBER'S BIOMETRIC SCREENING. ETF THEN GENERATES A 5010 COMPLIANT 834 FILE FOR EACH HEALTH PLAN TO REPORT THE RESULTS OF THEIR MEMBER'S COMPLETED BIOMETRIC SCREENING.</p> <p>RETENTION: RETAIN FOR 3 YEARS AFTER RECEIVED OR SENT AND DESTROY CONFIDENTIAL.</p> <p>PROGRAM CONTACT: SARAH BRADLEY, 608-266-0246 SARAH.BRADLEY@ETF.WI.GOV</p>			
<u>00168000.</u>	<u>CALLSS - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	<p>THE DATASETS INCLUDE INFORMATION THAT WAS UPLOADED FROM WEBS AND BPS DATABASE TABLES AND INCLUDES INFORMATION KEYED IN.</p> <p>THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF: 1. SOCIAL SECURITY NUMBER 2. MEMBER ID 3. COMMENTS 4. FULL NAME (LAST, FIRST, MIDDLE INITIAL) 5. BIRTHDATE 6. STATUS 7. DAYTIME PHONE 8. EVENING PHONE 9. ACCOUNT TYPE 10. NOTIFICATIONS 11. COMMUNICATION START DATE 12. INQUIRY SUBJECT</p>			

RDA #	RDA Title	Retention	Disposition	PII
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13. STATUS
 14. CONTACT IS PARTICIPANT
 15. RELATIONSHIP
 16. CONTACT LAST NAME
 17. CONTACT FIRST NAME
 18. BIRTHDATE
 19. DAYTIME PHONE
 20. EVENING PHONE
 21. EMAIL ADDRESS
 22. CONTACT SSN
 23. PERSONAL STREET ADDRESS
 24. PERSONAL CITY
 25. PERSONAL STATE
 26. PERSONAL ZIP
 27. PERSONAL COUNTRY
 28. DATE UPDATED
 29. COMMENTS
 30. INTERACTION TYPE
 31. COMMENT
 32. CREATED BY
 33. INTERACTION ID
 34. REQUEST TYPE
 35. EMAIL ADDRESS
 36. PARTICIPANT ADDRESS
 37. CITY, STATE, ZIP
 38. FOREIGN ADDRESS INDICATOR
 39. DAYTIME PHONE
 40. DATE CREATED AND TIME
 41. WORKFLOW STATUS
 42. PRINTED
 43. RUSH INDICATOR
 44. EVENING PHONE

WORKFLOW JOBS CREATED IN STEP2000:

45. B151 RETIREMENT ESTIMATE - COMMENTS
 46. B151 RETIREMENT ESTIMATE - TERMINATION DATE
 47. B151 RETIREMENT ESTIMATE - ANNUITY EFFECTIVE DATE
 48. B151 RETIREMENT ESTIMATE - HIGHEST YEARS OF EARNINGS YEAR (3 FIELDS)
 49. B151 RETIREMENT ESTIMATE - HIGHEST YEARS OF EARNINGS (3 FIELDS)
 50. B151 RETIREMENT ESTIMATE - HIGHEST YEARS OF EARNINGS NUMBER OF YEARS OF SERVICE (3 FIELDS)
 51. B151 RETIREMENT ESTIMATE - HIGHEST YEARS OF EARNINGS CY/FY/PRIOR SERVICE (3 FIELDS)
 52. B151 RETIREMENT ESTIMATE - PRINTED
 53. B151 RETIREMENT ESTIMATE - NAME SURVIVOR LAST NAME
 54. B151 RETIREMENT ESTIMATE - NAMED SURVIVOR FIRST NAME
 55. B151 RETIREMENT ESTIMATE - NO NAMED SURVIVOR
 56. B151 RETIREMENT ESTIMATE - NAMED SURVIVOR BIRTHDATE
 57. B151 RETIREMENT ESTIMATE - NAMED SURVIVOR RELATIONSHIP
 58. B151 RETIREMENT ESTIMATE - POTENTIAL MILITARY SERVICE NO MILITARY SERVICE
 59. B151 RETIREMENT ESTIMATE - POTENTIAL MILITARY SERVICE WILL SEND DISCHARGE PAPERS
 60. B151 RETIREMENT ESTIMATE - POTENTIAL MILITARY SERVICE FORM (3 FIELDS)
 61. B151 RETIREMENT ESTIMATE - POTENTIAL MILITARY SERVICE TO (3 FIELDS)
 62. B151 RETIREMENT ESTIMATE - POTENTIAL MILITARY SERVICE AMT OF SERVICE
 63. B151 RETIREMENT ESTIMATE - POTENTIAL MILITARY SERVICE DISCHARGE PAPERS ON FILE
 64. B151 RETIREMENT ESTIMATE - TYPE OF ACCOUNT
 65. B210 BROCHURE/FORMS REQUEST FORMS - COMMENTS
 66. B210 BROCHURE/FORMS REQUEST FORMS - PRINTED
 67. B153 AND B155 DISABILITY ESTIMATE - COMMENTS
 68. B153 AND B155 DISABILITY ESTIMATE - TERMINATION DATE
 69. B153 AND B155 DISABILITY ESTIMATE - ANNUITY EFFECTIVE DATE
 70. B153 AND B155 DISABILITY ESTIMATE - HIGHEST YEARS OF EARNINGS YEAR (3 FIELDS)
 71. B153 AND B155 DISABILITY ESTIMATE - HIGHEST YEARS OF EARNINGS (3 FIELDS)
 72. B153 AND B155 DISABILITY ESTIMATE - HIGHEST YEARS OF EARNINGS NUMBER OF YEARS OF SERVICE (3 FIELDS)
 73. B153 AND B155 DISABILITY ESTIMATE - HIGHEST YEARS OF EARNINGS CY/FY/PRIOR SERVICE (3 FIELDS)
 74. B153 AND B155 DISABILITY ESTIMATE - PRINTED
 75. B153 AND B155 DISABILITY ESTIMATE - NAMED SURVIVOR LAST NAME
 76. B153 AND B155 DISABILITY ESTIMATE - NAMED SURVIVOR FIRST NAME
 77. B153 AND B155 DISABILITY ESTIMATE - NO NAMED SURVIVOR
 78. B153 AND B155 DISABILITY ESTIMATE - NAMED SURVIVOR BIRTHDATE
 79. B153 AND B155 DISABILITY ESTIMATE - NAMED SURVIVOR RELATIONSHIP
 80. B153 AND B155 DISABILITY ESTIMATE - POTENTIAL MILITARY SERVICE NO MILITARY SERVICE
 81. B153 AND B155 DISABILITY ESTIMATE - POTENTIAL MILITARY SERVICE WILL SEND DISCHARGE PAPERS
 82. B153 AND B155 DISABILITY ESTIMATE - POTENTIAL MILITARY SERVICE FORM (3 FIELDS)
 83. B153 AND B155 DISABILITY ESTIMATE - POTENTIAL MILITARY SERVICE TO (3 FIELDS)
 84. B153 AND B155 DISABILITY ESTIMATE - POTENTIAL MILITARY SERVICE AMT OF SERVICE

RDA #	RDA Title	Retention	Disposition	PII
85.	B153 AND B155 DISABILITY ESTIMATE - POTENTIAL MILITARY SERVICE DISCHARGE PAPERS ON FILE			
86.	B153 AND B155 DISABILITY ESTIMATE - TYPE OF ACCOUNT			
87.	B153 AND B155 DISABILITY ESTIMATE - LAST DAY WORKED			
88.	B153 AND B155 DISABILITY ESTIMATE - LAST DAY PAID			
89.	B153 AND B155 DISABILITY ESTIMATE - WORK RELATED			
90.	B162 DEATH OF SPOUSE - DEATH INFORMATION DEATH DATE			
91.	B162 DEATH OF SPOUSE - DEATH INFORMATION WHO DIED?			
92.	B162 DEATH OF SPOUSE - DEATH INFORMATION SSN			
93.	B162 DEATH OF SPOUSE - DEATH INFORMATION LAST NAME			
94.	B162 DEATH OF SPOUSE - DEATH INFORMATION FIRST NAME			
95.	B162 DEATH OF SPOUSE - FOLLOW-UP CONTACT LAST NAME			
96.	B162 DEATH OF SPOUSE - FOLLOW-UP CONTACT FIRST NAME			
97.	B162 DEATH OF SPOUSE - FOLLOW-UP CONTACT LEGAL TYPE			
98.	B162 DEATH OF SPOUSE - FOLLOW-UP CONTACT FAMILY TYPE			
99.	B162 DEATH OF SPOUSE - PRINTED			
100.	B162 DEATH OF SPOUSE - COMENTS			
101.	B163 BENEFICIARY OF DEATH - ORIGINAL PARTICPANT INFORMATION SSN			
102.	B163 BENEFICIARY OF DEATH - ORIGINAL PARTICIPANT INFORMATION LAST NAME			
103.	B163 BENEFICIARY OF DEATH - ORIGINAL PARTICIPANT INFORMATION FIRST NAME			
104.	B163 BENEFICIARY OF DEATH - ORIGINAL PARTICIPANT INFORMATION GET NAME			
105.	B163 BENEFICIARY OF DEATH - ORIGINAL PARTICIPANT INFORMATION MID NAME			
106.	B163 BENEFICIARY OF DEATH - DEATH INFORMATION DEATH DATE			
107.	B163 BENEFICIARY OF DEATH - DEATH INFORMATION WHO DIED?			
108.	B163 BENEFICIARY OF DEATH - DEATH INFORMATION LAST NAME			
109.	B163 BENEFICIARY OF DEATH - DEATH INFORMATION FIRST NAME			
110.	B163 BENEFICIARY OF DEATH - PRINTED			
111.	B163 BENEFICIARY OF DEATH - B163 BENEFICIARY OF DEATH - SURVIVING SPOUSE INFORMATION - LAST NAME			
112.	B163 BENEFICIARY OF DEATH - SURVIVING SPOUSE INFORMATION - FIRST NAME			
113.	B163 BENEFICIARY OF DEATH - SURVIVING SPOUSE INFORMATION - BIRTHDATE			
114.	B163 BENEFICIARY OF DEATH - SURVIVING SPOUSE INFORMATION - SSN OF SPOUSE			
115.	B163 BENEFICIARY OF DEATH - SURVIVING SPOUSE INFORMATION - NO SURVIVING SPOUSE			
116.	B163 BENEFICIARY OF DEATH - FOLLOW-UP CONTACT LAST NAME			
117.	B163 BENEFICIARY OF DEATH - FOLLOW-UP CONTACT FIRST NAME			
118.	B163 BENEFICIARY OF DEATH - FOLLOW-UP CONTACT LEGAL TYPE			
119.	B163 BENEFICIARY OF DEATH - FOLLOW-UP CONTACT FAMILY TYPE			
120.	B163 BENEFICIARY OF DEATH - FOLLOW-UP CONTACT COMMENTS			
121.	B165 ANNUITANT DEATH ESTIMATE - COMMENTS			
122.	B165 ANNUITANT DEATH ESTIMATE - DEATH INFORMATION DEATH DATE			
123.	B165 ANNUITANT DEATH ESTIMATE - DEATH INFORMATION WHO DIED?			
124.	B165 ANNUITANT DEATH ESTIMATE - DEATH INFORMATION LAST NAME			
125.	B165 ANNUITANT DEATH ESTIMATE - DEATH INFORMATION FIRST NAME			
126.	B165 ANNUITANT DEATH ESTIMATE - SURVIVING SPOUSE INFORMATION LAST NAME			
127.	B165 ANNUITANT DEATH ESTIMATE - SURVIVING SPOUSE INFORMATION FIRST NAME			
128.	B165 ANNUITANT DEATH ESTIMATE - SURVIVING SPOUSE INFORMATION BIRTHDATE			
129.	B165 ANNUITANT DEATH ESTIMATE - SURVIVING SPOUSE INFORMATION SSN OF SPOUSE			
130.	B165 ANNUITANT DEATH ESTIMATE - SURVIVING SPOUSE INFORMATION NO SURVIVING SPOUSE			
131.	B165 ANNUITANT DEATH ESTIMATE - FOLLOW-UP CONTACT LAST NAME			
132.	B165 ANNUITANT DEATH ESTIMATE - FOLLOW-UP CONTACT FIRST NAME			
133.	B165 ANNUITANT DEATH ESTIMATE - FOLLOW-UP CONTACT LEGAL TYPE			
134.	B165 ANNUITANT DEATH ESTIMATE - FOLLOW-UP CONTACT FAMILY TYPE			
135.	B165 ANNUITANT DEATH ESTIMATE - PRINTED			
136.	B166 NON-ANNUITANT DEATH ESTIMATE - COMMENTS			
137.	B166 NON-ANNUITANT DEATH ESTIMATE - DEATH INFORMATION DEATH DATE			
138.	B166 NON-ANNUITANT DEATH ESTIMATE - DEATH INFORMATION WHO DIED?			
139.	B166 NON-ANNUITANT DEATH ESTIMATE - DEATH INFORMATION LAST NAME			
140.	B166 NON-ANNUITANT DEATH ESTIMATE - DEATH INFORMATION FIRST NAME			
141.	B166 NON-ANNUITANT DEATH ESTIMATE - SURVIVING SPOUSE INFORMATION LAST NAME			
142.	B166 NON-ANNUITANT DEATH ESTIMATE - SURVIVING SPOUSE INFORMATION FIRST NAME			
143.	B166 NON-ANNUITANT DEATH ESTIMATE - SURVIVING SPOUSE INFORMATION BIRTHDATE			
144.	B166 NON-ANNUITANT DEATH ESTIMATE - SURVIVING SPOUSE INFORMATION SSN OF SPOUSE			
145.	B166 NON-ANNUITANT DEATH ESTIMATE - SURVIVING SPOUSE INFORMATION NON SURVIVING SPOUSE			
146.	B166 NON-ANNUITANT DEATH ESTIMATE - FOLLOW-UP CONTACT LAST NAME			
147.	B166 NON-ANNUITANT DEATH ESTIMATE - FOLLOW-UP CONTACT FIRST NAME			
148.	B166 NON-ANNUITANT DEATH ESTIMATE - FOLOW-UP CONTACT LEGAL TYPE			
149.	B166 NON-ANNUITANT DEATH ESTIMATE - PRINTED			
150.	B166 NON-ANNUITANT DEATH ESTIMATE - POTENTIAL MILITARY SERVICE FOR ACTIVE DEATHS NO MILITARY SERVICE			
151.	B166 NON-ANNUITANT DEATH ESTIMATE - POTENTIAL MILITARY SERVICE FOR ACTIVE DEATHS WILL SEND DISCHARGE PAPERS			
152.	B166 NON-ANNUITANT DEATH ESTIMATE - POTENTIAL MILITARY SERVICE FOR ACTIVE DEATHS FROM (3 FIELDS)			
153.	B166 NON-ANNUITANT DEATH ESTIMATE - POTENTIAL MILITARY SERVICE FOR ACTIVE DEATHS (3 FIELDS)			
154.	B166 NON-ANNUITANT DEATH ESTIMATE - POTENTIAL MILITARY SERVICE FOR ACTIVE DEATHS AMT OF SERVICE			
155.	B166 NON-ANNUITANT DEATH ESTIMATE - POTENTIAL MILITARY SERVICE FOR ACTIVE DEATHS DISCHARGE PAPERS ON FILE			

RDA #	RDA Title	Retention	Disposition	PII
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156. B184 DUPLICATE STATEMENT OF BENEFITS - COMMENTS
 157. B184 DUPLICATE STATEMENT OF BENEFITS - PRINTED
 158. B201 ACCOUNT SUMMARY - COMMENTS
 159. B201 ACCOUNT SUMMARY - REASON
 160. B201 ACCOUNT SUMMARY - PRINTED
 161. B202 BENEFICIARY DESIGNATION - COMMENTS
 162. B202 BENEFICIARY DESIGNATION - PRINTED
 163. B203 GENERAL CORRESPONDENCE, B204 HEALTH INSURANCE INQUIRY, B205 LIFE INSURANCE INQUIRY, B207 PENSION VERIFICATION, B209 TAX INQUIRY - COMMENTS
 164. B203 GENERAL CORRESPONDENCE, B204 HEALTH INSURANCE INQUIRY, B205 LIFE INSURANCE INQUIRY, B207 PENSION VERIFICATION, B209 TAX INQUIRY - PRINTED
 165. B212 WALK-INS, B213 APPOINTMENTS, B214 GROUP COUNSELING SESSION, B215 OUTREACH GROUP APPOINTMENTS - DATE
 166. B212 WALK-INS, B213 APPOINTMENTS, B214 GROUP COUNSELING SESSION, B215 OUTREACH GROUP APPOINTMENTS - TIME
 167. B212 WALK-INS, B213 APPOINTMENTS, B214 GROUP COUNSELING SESSION, B215 OUTREACH GROUP APPOINTMENTS - SPECIALIST
 168. B212 WALK-INS, B213 APPOINTMENTS, B214 GROUP COUNSELING SESSION, B215 OUTREACH GROUP APPOINTMENTS - LOCATION
 169. B212 WALK-INS, B213 APPOINTMENTS, B214 GROUP COUNSELING SESSION, B215 OUTREACH GROUP APPOINTMENTS - COMMENTS
 170. B212 WALK-INS, B213 APPOINTMENTS, B214 GROUP COUNSELING SESSION, B215 OUTREACH GROUP APPOINTMENTS - PRINTED
 171. B222 LIFE TO HEALTH/LTC - COMMENTS
 172. B222 LIFE TO HEALTH/LTC - PRINTED
 173. P111 QUALIFIED SERVICE ESTIMATE/APPLICATION - COMMENTS
 174. P111 QUALIFIED SERVICE ESTIMATE/APPLICATION - PRINTED
 175. P111 QUALIFIED SERVICE ESTIMATE/APPLICATION - FORMER NAME(S)
 176. P111 QUALIFIED SERVICE ESTIMATE/APPLICATION - PAYROLL CYCLE
 177. P116 FORFEITED SVC ESTIMATE/APPLICATION - COMMENTS
 178. P116 FORFEITED SVS ESTIMATE/APPLICATION - FORMER NAME(S)
 179. P116 FORFEITED SVS ESTIMATE/APPLICATION - PAYROLL CYCLE
 180. P116 FORFEITED SVC ESTIMATE/APPLICATION - FROM (2 FIELDS)
 181. P116 FORFEITED SVC ESTIMATE/APPLICATION - TO (2 FIELDS)
 182. P116 FORFEITED SVC ESTIMATE/APPLICATION - EMPLOYER (2 FIELDS)
 183. P116 FORFEITED SVC ESTIMATE/APPLICATION - PRINTED
 184. P117 OUTSIDE GOVERNMENT SERVICE REQUEST - COMMENTS
 185. P117 OUTSIDE GOVERNMENT SERVICE REQUEST - FORMER NAME(S)
 186. P117 OUTSIDE GOVERNMENT SERVICE REQUEST - PAYROLL CYCLE
 187. P117 OUTSIDE GOVERNMENT SERVICE REQUEST - PRE-2000 # OF YEARS OGS
 188. P117 OUTSIDE GOVERNMENT SERVICE REQUEST - POST 1999 # OF YEARS OGS
 189. P117 OUTSIDE GOVERNMENT SERVICE REQUEST - PRINTED
 190. Z981 IVR TAX FOR WORKFLOW, Z983 IVR ADDRESS FOR WORKFLOW - COMMENTS
 191. Z981 IVR TAX FOR WORKFLOW, Z983 IVR ADDRESS FOR WORKFLOW - BPS READ ONLY
 192. Z981 IVR TAX FOR WORKFLOW, Z983 IVR ADDRESS FOR WORKFLOW - PRINTED
 193. Z992 IVR FORM - ADD ROW
 194. Z992 IVR FORM - QUANTITY
 195. Z992 IVR FORM - ET - (FORM NUMBER FIELD)
 196. Z992 IVR FORM - LIST OF FORMS
 197. Z992 IVR FORM - DELETE ROW
 198. Z992 IVR FORM - COMMENTS
 199. Z992 IVR FORM - ADDRESS CHANGED
 200. Z992 IVR FORM - PRINTED
 201. Z993 IVR ADDRESS, Z989 OTHER SERVICE REQUESTS - COMMENTS
 202. Z993 IVR ADDRESS, Z989 OTHER SERVICE REQUESTS - PRINTED
 203. Z998 IVR DUPLICATE 1099-R(S) - COMMENTS
 204. Z998 IVR DUPLICATE 1099-R(S) - DUPLICATE 1099R YEARS
 205. Z998 IVR DUPLICATE 1099-R(S) PRINTED

RETENTION: RETAIN UNTIL SUPERSEDED, OBSOLETE, OR TRANSFERRED TO ANOTHER SYSTEM. IF OBSOLETE, DESTROY CONFIDENTIAL

PROGRAM CONTACT: KAY KALVIN, 608-261-7009
 KAY.KALVIN@ETF.WI.GOV AND MICHELLE OUELLETTE, 608-266-5807 MICHELLE.OUELLETTE@ETF.WI.GOV

00168A00.CALLSS - TABLESEVTDESTY

LISTED BELOW ARE THE TABLES RELATED TO CALLSS USED FOR RECORDING CALLS, TRACKING ACCOUNT STATUS, OR SUBMITTING WORKFLOW REQUESTS TO THE IMAGING AND WORKFLOW SYSTEM.

SEE ORIGINAL FOR COMPLETE LISTING

RETENTION: RETAIN UNTIL SUPERSEDED, OBSOLETE, OR TRANSFERRED TO ANOTHER SYSTEM. IF OBSOLETE, DESTROY CONFIDENTIAL

RDA #	RDA Title	Retention	Disposition	PII
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PROGRAM CONTACT: KAY KALVIN, 608-261-7009 KAY.KALVIN@ETF.WI.GOV AND MICHELE OUELLETTE, 608-266-5807 MICHELE.OUELLETTE@ETF.WI.GOV

<u>00168B00.</u>	<u>CALLSS - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
ALL PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES - RETENTION VARIES FROM 10 TO 100 GENERATIONS AND ARE THEN DELETED.				
RETENTION: RETAIN A MINIMUM OF 10 GENERATIONS AND DELETE.				
PROGRAM CONTACT: KAY KALVIN, 608-261-7009 KAY.KALVIN@ETF.WI.GOV AND MICHELE OUELLETTE, 608-266-5807 MICHELE.OUELLETTE@ETF.WI.GOV				

<u>00168C00.</u>	<u>CALLSS - INTERFACES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
CALLSS HAS THE ABILITY TO LINK TO OTHER APPLICATIONS.				
1. WHILE IN A CALLSS SCREEN WITH MEMBER/PARTICIPANT/ANNUITANT'S INFORMATION ON THE SCREEN, THE NON-ANNUITANTS LINK OPENS UP THE FRED VERSION OF THE MEMBER/PARTICIPANT/ANNUITANTS' PAL ACCOUNT.				
2. WHILE IN AN EMPTY CALLSS SCREEN, THE NON-ANNUITANTS LINK OPENS UP THE FRED VERSION OF THE PAL ACCOUNT SEARCH.				
3. WHILE IN A CALLSS SCREEN WITH MEMBER/PARTICIPANT/ANNUITANT'S INFORMATION ON THE SCREEN OR WITH AN EMPTY CALLSS SCREEN, THE BPS LINK OPENS TO THE LOGIN SCREEN OF BPS. IF ALREADY LOGGED INTO BPS, THE LINK OPENS TO THE BPS MAIN "WELCOME TO BPS" SCREEN.				
4. WHILE IN A CALLSS SCREEN WITH MEMBER/PARTICIPANT/ANNUITANT'S INFORMATION ON THE SCREEN OR WITH AN EMPTY CALLSS SCREEN, THE MYETF BENEFITS LINK OPENS TO THE MYETF BENEFITS ADMIN HOME PAGE.				
5. WHILE IN A CALLSS SCREEN WITH MEMBER/PARTICIPANT/ANNUITANT'S INFORMATION ON THE SCREEN THE WORKFLOW SEARCH LINK OPENS THE IMAGING/WORKFLOW SYSTEM DISPLAYING THE WORKFLOW STATUS FOR THAT MEMBER/PARTICIPANT/ANNUITANT.				
6. WHILE IN AN EMPTY CALLSS SCREEN, THE WORKFLOW SEARCH LINK OPENS TO THE IMAGING/WORKFLOW SYSTEM WORK FLOW STATUS SEARCH.				
7. WHILE LOGGED INTO CALLSS, THE FRED LINK OPENS UP TO THE FRED HOME PAGE.				

STEP 2000:

- SERVICE REQUESTS UPDATE THE MEMBER/PARTICIPANT/ANNUITANT'S FOLDER CONTENT IN STEP 2000.
- MAJORITY OF THE SERVICE REQUESTS (IF CODED AS A JOB) ALSO POPULATE VARIOUS WORKBASKETS IN STEP 2000 FOR ETF STAFF. FOR EXAMPLE, IF A B151 RETIREMENT ESTIMATE REQUEST IS DOCUMENTED IN CALLSS, THAT SERVICE REQUEST IS SAVED TO THE MEMBER/PARTICIPANT/ANNUITANT'S FOLDER CONTENT IN STEP 2000 AND HTE JOB IS POPULATED IN THE RETIREMENT ESTIMATE WORKBASKET THE NEXT DAY. JOBS ARE POPULATED TO WORKBASKETS GENERALLY OVERNIGHT.

RETENTION: RETAIN UNTIL SUPERSEDED OR OBSOLETE AND DESTROY.

PROGRAM CONTACT: KAY KALVIN, 608-261-7009
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<u>00168D00.</u>	<u>CALLSS - REPORTS</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
DOCUMENTS ARE CREATD FORM CALLSS AND SAVED TO THE CALL CENTER SCANNED DOCUMENTS FOLDER FOR APPOINTMENTS (AND POSSIBLY OTHER ITEMS). LOCATION IS H:\CALLCTR\SCANDOCS. EACH DAY MEMBER SERVICES STAFF PRINT OUT ALL DOCUMENTS AND MOVE THEM INTO THE FOLDER H:\CALLCTR\SCANDOCS\PRINTED.				
CALLSS CALL CENTER REPORTS				
1. REPORT BEGIN DATE				
2. REPORT END DATE				
SUPERVISOR REPORTS:				
1. IVR REPORTS				
2. AGENT SERVICE REQUEST REPORT				
3. GROUP SERVICE REQUEST REPORT				
4. GROUP SERVICE				
5. DAILY B165 ANNUITANT DEATH SERVICE REQUEST REPORT				
6. DAILY B166 NON-ANNUITANT DEATH SERVICE REQUEST REPORT				
7. ALL SERVICE REQUESTS				
8. SERVICE REQUESTS BY TYPE				
9. ACTION REPORTS				
10. ACTION REPORTS BY INQUIRY SUBJECT				
11. ADDRESS LABELS				
AGENT REPORTS:				
1. AGENT SERVICE REQUEST REPORT				
2. ADDRESS LABELS				

Dept #: 700/

Department Name: ETF DEPARTMENT RECORDS

RDA # RDA Title Retention Disposition PII

RETENTION: RETAIN 5 YEARS AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: KAY KALVIN, 608-261-7009 KAY.KALVIN@ETF.WI.GOV AND MICHELE OUELLETTE, 60-266-5807 MICHELE.OUELLETTE@ETF.WI.GOV

00169000. PERSONNEL - BUSINESS DATASETS EVT DEST Y

THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF:

1. SOCIAL SECURITY NUMBER
2. LAST NAME
3. FIRST NAME
4. ADDRESS
5. CITY
6. STATE
7. ZIP CODE
8. GENDER
9. HANDICAP STATUS
10. ETHNICITY
11. BIRTHDATE
12. HOME PHONE
13. WORK PHONE
14. CONTINUOUS SERVICE START DATE
15. ETF HIRE DATE
16. TERMINATION DATE (PERSONAL INFORMATION IS CLEARED WHEN THE POSITION IS VACATED)
17. POSITION #
18. ORG CODE
19. PAY RATE
20. PREVIOUS PAY RATE
21. PREVIOUS EMPLOYEE IN POSITION
22. SCHEDULE AND RANGE
23. FTE BUDGETED
24. CLASSIFICATION CODE
25. REPRESENTATION
26. FLSA STATUS

RETENTION: RETAINED UNTIL EMPLOYEE TERMINATES OR TRANSFERS TO ANOTHER AGENCY AND PURGED.

PROGRAM CONTACT; STACIE MEYER, 608-266-5803
STACIE.MEYER@ETF.WI.GOV

00169A00. PERSONNEL - QUARTETLY REPORTS EVT+1 DEST Y

THE FOLLOWING REPORTS ARE RUN QUARTERLY:

1. JOB GROUP REPORT (USED TO CREATE A MORE DETAILED REPORT THAT IS SUBMITTED TO OSER QUARTERLY)
2. DESCENDING PAY ORDER
3. NON-REP PAY REPORT
4. BIRTHDATE REPORT
5. PERSONNEL LISTING (USED FOR FORECASTING AND SUCCESSION PLANNING)
6. AFFIRMATIVE ACTION REPORT (USED TO CREATE A MORE DETAILED REPORT THAT IS SUBMITTED TO OSER QUARTERLY)

RETENTION: ELECTRONIC REPORTS ARE RETAINED FOR 1 CALENDAR YEAR AND DESTROYED CONFIDENTIAL. PAPER COPIES ARE ONLY KEPT UNTIL SUPERSEDED AND THEN DESTROYED CONFIDENTIAL.

PROGRAM CONTACT: STACIE MEYER, 608-266-5803
STACIE.MEYER@ETF.WI.GOV

00169B00. PERSONNEL - ANNUAL REPORTS CR+1 DEST Y

THE FOLLOWING REPORTS ARE RUN ANNUALLY:

1. LENGTH OF SERVICE REPORT

RETENTION: RETAIN FOR ONE YEAR AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: STACIE MEYER, 608-266-5803
STACIE.MEYER@ETF.WI.GOV

00170000. DISABILITY - BUSINESS DATASETS EVT DEST Y

THE DATASETS MAINTAINED INCLUDES INFORMAITON IN THE CATEGORIES OF:

- DUTY DISABILITY (FINANCIAL) APPLICATION -
1. SOCIAL SECURITY NUMBER

RDA #	RDA Title	Retention	Disposition	PII
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2. TYPE
3. MRC
4. SEQ
5. SOCIAL SECURITY (Y OR NO)
6. LAST NAME
7. FIRST NAME
8. MI
9. DATE OF BIRTH
10. DATE OF DEATH
11. EMPLOYER NO.
12. YEARS OF SERVICE
13. ORIGINAL MONTHLY SALARY
14. SPOUSE NAME
15. SPOUSE SSN
16. SPOUSE DOB
17. SPOUSE DEATH DATE
18. SPOUSE BENEFIT FLAG
19. DEPENDENT BIRTHDATES
20. ORIGINAL BENEFIT NET AMOUNT
21. BEGIN DATE
22. FIRST PAYABLE ON
23. EFFECTIVE DATE OF LAW
24. SAL REP % 1
25. SAL REP % DATE 1
26. SAL REP % 2
27. SAL REP % DATE 2
28. FROM AND TO OFFSETS
29. AMOUNTS RECEIVING FOR SOCIAL SECURITY, UNEMPLOYMENT COMP., WORKER'S COMP, WRS SEPARATION
30. WRS DISABILITY (FIXED, VARIABLE, REGULAR, SPECIAL, LTDI)
31. DISABILITY ORIGINAL BEGIN DATE
32. WRS RETIREMENT (FIXED, VARIABLE, REGULAR, SSI)
33. EARNINGS - SAME EMPLOYER
34. OTHER EARNINGS
35. NET BENEFIT

DUTY DISABILITY (CLAIMS) APPLICATION -

1. LAST NAME
2. FIRST NAME
3. SOCIAL SECURITY NUMBER
4. BIRTHDATE
5. DATE OF APPLICATION
6. TYPE OF GOVERNMENT AGENCY
7. EMPLOYER
8. POSITION
9. AGE AT BENEFIT BEGIN DATE
10. YEARS OF SERVICE
11. IMPAIRMENT
12. PERCENTAGE OF DISABILITY ON MED 1
13. PERCENTAGE OF DISABILITY ON MED 2
14. INJURY DATES
15. MULTIPLE INJURIES
16. INJURED DURING HAZARDOUS WORK
17. CIRCUMSTANCES OF INJURY/DISEASE
18. NUMBER OF MEDICAL REPORTS
19. DIFFERENCES IN MEDICAL REPORTS
20. APPLIED UNDER PRESUMPTIVE
21. PRESUMPTIVE CATEGORY
22. APPROVAL DATE
23. DENIAL DATE
24. VOID/WITHDRAWN/WAIVED
25. REASON FOR DENIAL
26. WAS CLAIM APPEALED
27. DENIAL UPHELD OR DISMISSED
28. BENEFIT TERMINATED
29. REASON FOR TERMINATION
30. DATE OF DEATH
31. DEATH BENEFIT PAYABLE
32. SPOUSE MINOR CHILD BOTH
33. COUTTS REVIEW NEEDED
34. GENDER

40.63 APPLICATION -

1. SOCIAL SECURITY NUMBER
2. LAST NAME

RDA #	RDA Title	Retention	Disposition	PII
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3. FIRST NAME
4. GENDER
5. BIRTHDATE
6. APPLICATION RECEIVED DATE
7. TYPE OF GOVERNMENT
8. EMPLOYER NAME
9. TYPE OF EMPLOYMENT
10. WEBS EMPLOYMENT CATEGORY
11. TYPE OF BENEFIT
12. AGE AT EFFECTIVE DATE
13. AGE INCREMENTS
14. YEARS OF CREDITABLE SERVICE
15. SERVICE INCREMENTS
16. DISABILITY CATEGORIES
17. WORK RELATED (YES OR NO)
18. NUMBER OF MEDICALS
19. DATE OF REVIEW
20. RECOMMENDATION
21. RECERTIFICATION (YES OR NO)
22. DENIAL REASONS
23. APPEALED (YES OR NO)
24. MEDICAL REPORT DENIAL (YES OR NO)

RETENTION: RETAIN INFORMATION UNTIL SUPERSEDED, ACCOUNT INFORMATION IS MOVED TO ANOTHER SYSTEM, OR IS CLOSED AND DESTROY CONFIDENTIAL.

PROGRAM CONTACT: MATT NELSON (608) 266-8083
MATT.NELSON@ETF.WI.GOV

<u>00170A00.</u>	<u>DISABILITY - REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE FOLLOWING REPORTS ARE GENERATED FROM THESE APPLICATIONS. SOME ARE GENERATED ELECTRONICALLY AND SOME IN PAPER AND ARE USED FOR SUCH THINGS AS ACTUARIAL REPORTS, DETERMINING OFFSETS, DETERMINING WHICH DISABILITY RECIPIENTS ARE REQUIRED TO APPLY FOR SOCIAL SECURITY OR REGULAR RETIREMENT IN THE NEXT CALENDAR YEAR, REPORTS FOR INTERNAL STAFF AND MANAGERS, AND BOARD REPORTS.

DUTY DISABILITY (FINANCIAL) APPLICATION:

1. SINGLE ACTUARY REPORT
2. ALL ACTUARIAL REPORTS IN ORDER BY LAST NAME
3. ALL ACTUARIAL REPORTS IN TERM DIGIT ORDER
4. ACTUARIAL REPORTS IN ORDER BY LAST NAME WHERE WRS OFFSET INCREASE FLAG = YES
5. ACTUARIAL REPORTS IN TERM DIGIT ORDER WHERE WRS OFFSET INCREASE FLAG = YES
6. LISTING OF ALL MEMBERS IN DATABASE
7. LISTING OF MEMBERS WITH NET BENEFIT = \$0.00
8. LISTING OF MEMBERS WITH EFFECTIVE DATE BEFORE MM/DD/YYYY
9. LISTING OF MEMBERS WITH REGULAR OR SPECIAL DISABILITY
10. LISTING OF MEMBERS WITH EARNINGS > OTHER1 LEVEL
11. LISTING OF MEMBERS WITH REGULAR RETIREMENT
12. LISTING OF MEMBERS RECEIVING SOCIAL SECURITY
13. LISTING OF MEMBERS TURNING 62 WITHOUT SOCIAL SECURITY OFFSET
14. LISTING OF MEMBERS TURNING 50 WITHOUT SEPARATION OR DISABILITY OFFSET
15. LISTING OF MEMBERS WITH OFFSET INCREASE FLAG = NO
16. ANNUAL LIST FOR ACCOUNTING
17. LISTING OF SS MEMBERS WITH OFFSET INCREASE FLAG = NO
18. LISTING OF MEMBERS WITH VARIABLE WRS OFFSET

NOTE: ITEM 1-5 ARE IMAGED AND RETAINED ACCORDING TO RDA00087.

RETENTION: RETAIN REPORTS UNTIL SUPERSEDED OR NO LONGER NEEDED AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: MATT NELSON (608) 266-8083
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<u>00170B00.</u>	<u>DISABILITY - MEMBER DATA TABLES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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LISTED BELOW ARE THE TABLES RELATED TO THE DISABILITY APPLICATIONS USED FOR TRACKING DISABILITY RELATED BENEFITS, OFFSETS, SALARY INDEXING, APPROVALS, DENIALS, ETC.

DUTY DISABILITY (FINANCIAL) APPLICATION:

- TBL BE 4065 BEN
- TBL BE 4065 OFFSETS
- TBL BE 4065 SAL INDEXING
- TBL BE TAX RTN
- TBL CD FIX VAR INCREASE

RDA #	RDA Title	Retention	Disposition	PII
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TBL CD INDEX DIV
TBL CD LOU BRADY
TBL EE 4065 PART
TBL FM ET7201 TO BPS

DUTY DISABILITY (CLAIMS) APPLICATION:
DUTYDIS

40.63 APPLICATION:
AGE INCREMENTS
APPROVALS BY NATURE OF WORK
DENIAL REASON
DISABILITY CATEGORIES
GENDER
LTDI WRS DISABILITY PARTICIPANT
LTDI WRS DISABILITY PARTICIPANT EXPORT ERRORS
RECOMMENDATION
SERVICE INCREMENTS
TYPE OF BENEFIT
TYPE OF EMPLOYMENT
TYPE OF GOVERNMENT AGENCY
WRS EMPLOYMENT CATEGORY

RETENTION: RETAIN INFORMATION UNTIL SUPERSEDED, ACCOUNT INFORMATION IS MOVED TO ANOTHER SYSTEM, OR IS CLOSED AND DESTROY CONFIDENTIAL.

<u>00170C00.</u>	<u>DISABILITY - BPS OUTPUTS/BPS UPLOADS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE FOLLOWING OUTPUTS ARE USED TO UPLOAD INFORMATION INTO THE BENEFIT PAYMENT SYSTEM (BPS):

1. ET7201 FILE MAINTENANCE RECORDS FOR BPS FEBRUARY 1ST CHECK
2. ET7201 FILE MAINTENANCE RECORDS FOR BPS MAY 1ST CHECK (WRS OFFSET ONLY)

THE INFORMATION THAT HAS BEEN UPLOADED BECOMES A PERMANENT RECORD FOR EACH MEMBER. THE PAYMENT HISTORY IS RETAINED IN BPS AND HTE ACTUARY SHEETS THAT ARE RUN DISPLAY THE CHANGES TO THE MEMBER BENEFITS. THE ACTUARY SHEETS ARE IMAGED INTO STEP 2000.

RETENTION: RETAINED ACCORDING TO RDA00087(SEE DESCRIPTION).

PROGRAM CONTACT: MATT NELSON (608) 266-8083
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<u>00170D00.</u>	<u>DISABILITY - QUERY'S</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE FOLLOWING QUERIES ARE AVAILABLE TO STAFF FOR ROUTINE AND/OR ADHOC EMPLOYER INQUIRIES, BOARD REPORTS, MANAGEMENT REPORTS, TRENDS ANALYSIS, ETC. SOME MAY BE PRINTED AND SHARED WITH OTHER ENTITIES.

- DUTY DISABILITY (FINANCIAL) APPLICATION:
1. BENEFIT TYPES 16 & 22 FOR SPOUSE SSN
 2. BENEFIT TYPES 16 & 22 WIHT SOCIAL SECURITY OFFSET
 3. ACCOUNTS WITH RETIREMENT OFFSETES
 4. ACTUARIAL SUB-QUERY
 5. AGE 50 END OF CURRENT YEAR WITH NO WRS OR SEPT OFFSET
 6. AGE 62 END OF CURRENT YEAR WITH NO SOCIAL SEC OFFSET
 7. AGE QUERY
 8. AGE WITH EFFECTIVE DATE
 9. AGE WITH QUALIFYING AND EFFECTIVE DATES
 10. ALL DUTY DISABILITY RECIPIENTS
 11. ANNUAL INCREASE LETTER TYPE 21
 12. ANNUAL INCREASE LETTER TYPES 16 AND 22 AND 1988 LOCAL ONLY
 13. APPLICATIONS APPROVED BY MONTH
 14. BENEFIT QUERY 071212
 15. BPS 7201 TABLE QUERIES
 16. CEM NET BENEFIT BY FISCAL YEAR
 17. COUTTS NEED TO LOOK AT
 18. DD 50 OR OLDER
 19. DEATH BENFEITS (16 AND 22'S) WITH SEPARATION OFFSETS
 20. DISABILITY "NO" QUERY FOR MAY
 21. DUTY DIS BENEFIT BEG DATE IN 2001
 22. DUTY DIS EE BY TERM DIGIT
 23. DUTY DIS RECIPIENT AT AGE 60
 24. DUTY DIS RECIPIENTS FIRST PAID
 25. DUTY DIS RECIPIENTS WITH 25 YEARS OR MORE

RDA #	RDA Title	Retention	Disposition	PII
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26. DUTY DIS RECIPIENTS 1988 LAW ONLY
 27. DUTY DIS RECIPIENTS LESS THAN 75%
 28. DUTY DISABILITY WITH WRS OFFSETS
 29. DUTY DIS JOIN
 30. DUTY DIS JOIN REPORTS
 31. EMPLOYEES BY EMPLOYER #
 32. EMPLOYEES WITH OTHER EARNINGS OFFSETS
 33. EMPLOYEES WITH SEPARATION OFFSETS
 34. EFFECTIVE DATE QUERY
 35. END OF YEAR AGE 50 QUERY
 36. END OF YEAR AGE 62 QUERY
 37. ET-5929 ANNUAL INCREASE QUERY (DECEMBER MAILING)
 38. INDEXING VERIFICATION AGE 60
 39. JOSH_TBL_BE_4065_BEN QUERY
 40. LISTING MEMBERS
 41. LTDI OFFSETS
 42. NET BENEFIT FOR ALL RECIPIENTS
 43. NEXT YEAR AGE 50 QUERY
 44. NEXT YEAR AGE 62 QUERY
 45. ORIGINAL BEGIN DATES ENTERED - WRS DIS
 46. ORIGINAL BEGIN DATES ENTERED - WRS RET
 47. OVER AGE 60 AND NO RETIREMENT
 48. OVERPAYMENT NEW PART
 49. QUERY FOR MINOR CHILDREN
 50. QUERY FOR SPOUSE
 51. QUERY FIX VARIABLE INCREASE
 52. QUERY INDEX YEAR
 53. QUERY INDEX YEAR LOUBRADY
 54. QUERY OFFSET FLAG YES
 55. QUERY SOCIAL SEC OFFSETS
 56. RETIREMENT "NO" QUERY FOR MAY
 57. RETIREMENT OFFSETS
 58. SAL REP %1
 59. SAME EMPLOYER EARNINGS
 60. SOCIAL OFFSET ANNUAL UPDATE
 61. SORT BY BENEFIT TYPE
 62. SS FLAG OFF AND BEGIN 2006
 63. SS OFFSETS W/SPOUSES
 64. TAX RETURN EARNINGS STATEMENT NOT NEEDED 1982 AND 16, 22
 65. TAX RETURN EARNINGS STATEMENT NOT NEEDED 1988 AND 16, 22
 66. TAX RETURN EARNINGS STATEMENT NOT NEEDED 1988 ZERO NET BENEFIT
 67. TAX RETURN QUERY
 68. TBL_EE_4065 PART QUERY
 69. TEST FOR OTHER RETIREMENT OFFSETS
 70. TYPE 16 AND 22 BENEFITS
 71. TYPE 21 BENEFITS
 72. TYPE 21 ZERO BENEFIT
 73. UNDER AGE 40 AND NO SEP
 74. WORKERS COMP AND SOC SEC OFFSETS
 75. WORKERS COMP OFFSETS
 76. WRS BENEFIT OFFSET
 77. WRS DISABILITY OFFSET
 78. WRS OFFSET ANNUAL UPDATE
 79. WRS OFFSET WITH FLAG
 80. WRS SSI MASTER QUERY
 81. WRS SSI QUERY
 82. ZERO BALANCES MAY ONLY

DUTY DISABILITY (CLAIMS) APPLICATION:
 1. % OF DISABILITY
 2. APPEALED DUTY DISABILITY APPLICATIONS
 3. APPEALS
 4. CANCER PRESUMPTIVE APPLICATIONS
 5. CANCER PRESUMPTIVE CASES
 6. DEATH
 7. DEATHS PER YEAR
 8. DECEASED DD RECIPIENTS WITH SEPARATION OFFSET
 9. DUTY DISABILITY BY IMPAIRMENT
 10. DUTY DISABILITY DEATH BENEFITS
 11. DUTY DISABILITY APPLICATION DENIALS
 12. DUTY DISABILITY APPLICATION DENIALS/APPEALS
 13. DUTY DISABILITY APPLICATIONS BY YEAR
 14. DUTY DISABILITY APPLICATIONS RECEIVED
 15. DUTY DISABILITY RECIPIENTS

RDA #	RDA Title	Retention	Disposition	PII
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16. DUTY DISABILITY MONTHLY SALARY
17. DUTY DISABILITY QUERY
18. DUTY DISABILITY VOID/WITHDRAWN SUMMARY
19. EMPLOYEES BY EMPLOYER
20. JANUARY FOLLOW-UP
21. PENDING APPEALED DUTY DISABILITY APPLICATIONS
22. PENDING DUTY DISABILITY APPLICATIONS
23. PRESUMPTIVES

40.63 APPLICATION:

1. 40.63 APPROVAL
2. AGE
3. APPLICATIONS RECEIVED AND PROCESSED
4. APPLICATIONS RECEIVED BY TERM DIGIT
5. APPLICATIONS RECEIVED BY YEAR
6. APPS NOT APPROVED
7. AVERAGE AGE BY MONTH
8. BENEFIT TYPE
9. COUNT OF DISABILITIES BY RECOMMENDATION
10. DENIAL REASONS
11. DISABILITY CATEGORIES APPROVED PER EMPLOYER GROUP
12. DISABILITY APPS APPROVED PER EMPLOYER GROUP AND NATURE OF WORK
13. EMPLOYER QUERY
14. RECOMMENDATION STATISTICS
15. RECOMMENDATIONS BY RECEIVED DATE
16. RECOMMENDATIONS BY TYPE OF EMPLOYMENT
17. TR AVERAGE AGE FOR ALL
18. TR AVERAGE AGE FOR APPROVALS
19. TR AVERAGE YEARS OF SERVICE FOR ALL
20. TR AVERAGE YEARS OF SERVICE FOR APPROVALS
21. TR BOARD BY DISABILITY BY CATEGORY
22. TR BOARD BY RECOMMENDATION
23. TR BOARD - # FOR AGE INCREMENTS
24. TR BOARD - # FOR SERVICE INCREMENTS
25. TR DISABILITY BY EMPLOYMENT CATEGORY
26. WR AVERAGE AGE FOR ALL
27. WR AVERAGE AGE FOR APPROVALS
28. WR AVERAGE SERVICE FOR ALL
29. WR AVERAGE YEARS OF SERVICE FOR APPROVALS
30. WR BOARD BY DISABILITY CATEGORY
31. WR BOARD BY EMPLOYMENT TYPE
32. WR BOARD BY RECOMMENDATION
33. WR BOARD BY SERVICE
34. WR BOARD - # FOR AGE INCREMENTS
35. WR BOARD - # FOR SERVICE INCREMENTS
36. YEAR END DISABILITY STATISTICS

RETENTION: RETAIN UNTIL SUPERSEDED OR NO LONGER NEEDED FOR BUSINESS USE OR AS DETERMINED BY PROGRAM LEAD AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: MATT NELSON (608) 266-8083
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<u>00170E00.</u>	<u>DISABILITY - GASB 44 FILE</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
GOVERNMENTAL ACCOUNTING STANDARDS BOARD STATEMENT 44 REQUIRES DISCLOSURE OF THE AVERAGE MONTHLY BENEFIT, AVERAGE FILE AVERAGE MONTHLY BENEFIT, AVERAGE FINAL AVERAGE SALARY, AND NUMBER OF REITRED MEMBERS, ORGANIZED BY YEARS OF CREDITED SERVICE IN FIVE-YEAR INCREMENTS. THIS EXTRACT PROVIDES THE DATA NECESSARY TO MEET THAT REQUIREMENT.				

RETENTION: RETAIN 3 YEARS AND DESTROY CONFIDENTIAL

PROGRAM CONTACT: DAN GOPALAN (608) 261-0735
DANIEL.GOPALAN@ETF.WI.GOV

<u>00171000.</u>	<u>BCS - MEMBER RECORDS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
THE DATA ITEMS LISTED BELOW INCLUDE THE DATA RECORD/INFORMATION THAT IS KEYED INTO THE APPLICATION FROM FORMS RECEIVED FROM EMPLOYERS, REPORT INFORMATION, PROGRAM EXTRACT INFORMATION, AND DATA ENTERED.				

THE DATA INCLUDES INFORMATION IN THE CATEGORIES OF:

1. CONTACT SOURCE
2. PROGRAM TYPE

RDA #	RDA Title	Retention	Disposition	PII
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3. INSURANCE LINE
4. COMPLAINT DATA
5. COMPLAINT ACTIVITY
6. CONTACT METHOD
7. COMPLAINT TYPE
8. COMPLAINT STATUS
9. COMPLAINT RESULT
10. MARITAL STATUS
11. RELATIONSHIP

IN ADDITION, THE FOLLOWING TYPES OF MEMBER DATA ARE IMPORTED FROM THE MEBS TABLES LISTED BELOW:

DEMOGRAPHIC INFORMATION
HEALTH PLAN
MEMBER COVERAGE INFORMATION

RETENTION: RETAIN DATASETS UNTIL SUPERSEDED, OBSOLETE, OR MOVED TO ANOTHER SYSTEM. IF OBSOLETE, DESTROY CONFIDENTIAL.

PROGRAM CONTACT: OMBUDSPERSON SERVICES (608) 261-7947

<u>00171A00.</u>	<u>BCS - TABLES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Listed below are examples of the tables containing the data that is keyed into and retained as it relates to complaints entered into the BCS system.

1. TBL_CD_PGM_TYPE
2. TBL_CD_HI_PGM_OPT
3. TBL_CD_RPT DB_ID
4. TBL_CD_HLTH_CONTRACT
5. TBL_HLTH_COV_INDV
6. TBL_CD_HLTH_CARR
7. TBL_CD_CNTCT_SRC
8. TBL_CD_HI_COV_TYPE
9. TBL_CD_EMPR_GROUP
10. TBL_CD_HLTH_CARR
11. TBL_CD_HI_EMPR_RES
12. TBL_COMPLAINT
13. TBL_COMPLAINT_ACTV
14. TBL_CD_CNTCT_METHD
15. TBL_CD_HI_EMPR_TYPE
16. TBL_CD_CMPLNT_TYPE
17. TBL_CD_CMPLNT_ST
18. TBL_CD_CMPLNT_RSLT
19. TBL_CD_RLTNSHP
20. TBL_HI_SCRATCH_PAD
21. TBL_HI_SPA_LIST
22. TBL_HI_TEMP MSG
23. TBL_HI_VARCHAR

The data in the following MESS (myETFBenefits) tables are shared with BCS:

1. TBL_CD_ADDR_TYPE
2. TBL_CD_ADDR_VLDN
3. TBL_CD_COUNTY
4. TBL_CD_COUNTRY
5. TBL_CD_STATE
6. TBL_CD_DATA_SRCE
7. TBL ETF ADDR
8. TBL ETF_PHONE
9. TBL ETF DEMO
10. TBL DEMO_PTY
11. TBL EE_pART fc
12. TBL_CD_PHONE_TYPE
13. TBL_CD_SUFIX
14. TBL_CDE_PFX

EVENT = until superseded or closed

<u>00171B00.</u>	<u>BCS INPUTS - INQUIRIES, HEALTH INSURANCE COMPLAINTS AND DETERMI</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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Inputs include data keyed into BCS from Ombudsperson Inquiry Intake Sheets (ET-2420) and related documents gathered while researching a member inquiry. Documents could include health plan information, documents, insurance contracts or administrative code citations.

RDA #	RDA Title	Retention	Disposition	PII
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These inquiries are informal and do not proceed to a complaint or departmental determination. The paper documents once entered are considered a non-record and are retained for six months as reference or as follow up if a subsequent inquiry on the same subject from the same member comes up again and destroyed confidential. Just the data in the system is kept as the record.

Inputs also include Formal Ombudsperson Health Insurance Complaints and Departmental Determinations filed by Wisconsin Retirement System members. Documents could include health plan or third-party administrator grievance decision letters, member correspondence and consultant reviews. Both the Ombudsperson Closure letters and the Departmental Determinations provide subsequent rights to a Board Appeal reviewed by the Group Insurance Board.

These paper files are kept by the ombudsperson for one year after claimant appeal rights expire and then are prepared for imaging. All medical and personal health information is removed and destroyed confidential and the remaining items are imaged into the member's account. Items imaged may include, but are not limited to: Complaint Summary (ET-2405, ET-2406), member correspondence to the Department or Health Plan, Health Plan Grievance Decision letter, Independent Review (ET-2424), ETF Ombudsperson Complaint Closure letter, Departmental Determination letter and worksheets. The imaged documents are retained according to RDA #00087.

Any complaints or departmental determinations that become appeals are covered by RDA #00102, Appeal & Legal Proceeding Documents which are retained by legal staff.

EVENT = entered into system

<u>00171C00.</u>	<u>BCS OUTPUTS</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
LISTED BELOW ARE TYPES OF OUTPUTS CREATED FROM BCS DATA: ADHOC ACCESS QUERIES INDIVIDUAL OMBUDSPERSON ACTIVITY LOGS EXCEL SPREADSHEETS				
RETENTION: RETAIN FOR 3 YEARS AFTER CREATED AND DESTROY CONFIDENTIAL				
PROGRAM CONTACT: OMBUDSPERSON SERVICES (608) 261-7947				
<u>00172000.</u>	<u>INSURANCE MATERIALS - OPTIONAL INSURANCE PLANS AND LONG-TERM</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
PROPOSALS AND RELATED CORRESPONDENCE AND MATERIALS RECEIVED FROM VARIOUS COMPANIES REQUESTING THE GROUP INSURANCE BOARD (GIB) CONSIDER TO PROVIDE SUCH INSURANCES AS VISION, ACCIDENT, DENTAL, OR LONG-TERM CARE FOR STATE EMPLOYEES. THESE ARE UNSOLICITED BUT ARE REVIEWED BY ETF. THE PROPOSAL MAY BE INSUFFICIENT TO MEET GUIDELINES OR STANDARDS, OR IT MAY BE PRESENTED TO THE GIB BUT REJECTED.				
RECORDS MAY INCLUDE: A) PROPOSAL AND SPECIFICATIONS; B) COMPANY DATA; C) OTHER RELATED CORRESPONDENCE. MATERIALS ARE KEPT IN PAPER AND ELECTRONIC FORM.				
SOME DOCUMENTS MAY BE OF HISTORICAL VALUE AS THEY WERE USED TO START UP AND ESTABLISH NEW PROGRAMS AND ARE THE ONLY RECORDS AVAILABLE FOR REFERENCE.				
RETENTION: RETAIN 6 YEARS AFTER REVIEWED, AND/OR REJECTED BY THE GIB AND DESTROY.				
RESPONSIBLE AREA/RECORDS OWNER - OFFICE OF STRATEGIC HEALTH POLICY				
<u>00173000.</u>	<u>PROPOSALS, CONTRACTS AND RELATED CORRESPONDENCE - APPROVED</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
PROPOSALS, CONTRACTS AND RELATED CORRESPONDENCE FROM VARIOUS COMPANIES FOR CONTRACTS TO PROVIDE EXCEPTED INSURANCE SUCH AS DENTAL, VISION, OR ACCIDENT INDEMNITY INSURANCE TO STATE EMPLOYEES.				
SERIES MAY INCLUDE: A) OFFICIAL COPY OF PROPOSAL AND SPECIFICATIONS; B) STATE PROCUREMENT CONTRACT; C) SAMPLE PLAN MATERIALS SUCH AS BROCHURES AND ADMINISTRATIVE GUIDES, D) CONTRACT (SIGNED AND UNSIGNED COPIES); E) AMENDMENTS; F) PERFORMANCE BONDS/LETTERS OF CREDIT; AND G) OTHER RELATED CORRESPONDENCE. COPIES OF MATERIALS ARE KEPT IN PAPER AND ELECTRONIC FORM.				
SOME DOCUMENTS MAY BE OF HISTORICAL VALUE AS THEY WERE USED TO START UP AND ESTABLISH THE PROGRAM AND ARE THE ONLY RECORDS AVAILABLE FOR REFERENCE. DOCUMENTS ALSO MAY HAVE LEGAL AND AUDIT VALUE BEYOND THE LCOSE OF THE CONTRACT.				
RESPONSIBLE AREA/RECORD OWNER - OFFICE OF STRATEGIC HEALTH POLICY				
RETENTION: EVENT(CONTRACT END) + 10 YEARS AND DESTROY				
<u>00174000.</u>	<u>PROPOSALS, CONTRACTS AND RELATED CORRESPONDENCE - APPROVED</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
PROPOSALS, CONTRACTS AND RELATED CORRESPONDENCE FROM VARIOUS COMPANIES FOR CONTRACTS TO PROVIDE LONG TERM CARE INSURANCE TO STATE EMPLOYEES.				

RDA #	RDA Title	Retention	Disposition	PII
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SERIES MAY INCLUDE: A) OFFICIAL COPY OF PROPOSAL AND SPECIFICATIONS; B) STATE PROCUREMENT CONTRACT; C) SAMPLE PLAN MATERIALS SUCH AS BROCHURES AND ADMINISTRATIVE GUIDES, D) CONTRACT (SIGNED AND UNSIGNED COPIES); E) AMENDMENTS; F) PERFORMANCE BONDS/LETTERS OF CREDIT; AND G) OTHER RELATED CORRESPONDENCE. COPIES OF MATERIALS ARE KEPT IN PAPER AND ELECTRONIC FORM.

SOME DOCUMENTS MAY BE OF HISTORICAL VALUE AS THEY WERE USED TO START UP AND ESTABLISH THE PROGRAM AND ARE THE ONLY RECORDS AVAILABLE FOR REFERENCE. DOCUMENTS ALSO MAY HAVE LEGAL AND AUDIT VALUE BEYOND THE CLOSED OF THE CONTRACT.

RESPONSIBLE AREA/RECORD OWNER - OFFICE OF STRATEGIC HEALTH POLICY

RETENTION: EVENT(CONTRACT END) + 20 YEARS AND DESTROY

<u>00176000.</u>	<u>INTERNAL COMMUNICATIONS</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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These records consist of internal communication to Department of Employee Trust Funds divisions, executive staff, management, or selected employees from the Office of Communications.

Records may also include reports, data extracts, specifications, or other items used by or created for PIO/ETF staff to prepare communication such as agency tools and resources, fact sheets, press releases and other materials.

Examples may include: internal blog communications or speeches and talking points developed for staff use/communication; spreadsheets; reports; specifications, stock photos and images of buildings and program services; or biographies of personnel other than executive leadership. Some or all of these may be saved with the official communication.

Administrative Note: While there may be both paper and electronic records under this series, the official and most complete file is the electronic file maintained in Microsoft Word. These records also do not include items that could be covered by ADM00001, ADM00009, ADM00010 or ADM00015.

*These records may contain Confidential or PII items. Confidential items may be in the original documents, however, records could be redacted prior to release of information.

EVENT = Creation

<u>00177000.</u>	<u>EXTERNAL COMMUNICATIONS</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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These records consist of external communications with media, legislature, and the public on items related to the agency programs, events, or other information.

Records may also include reports, data extracts, specifications, or other items used by or created for PIO/ETF staff to prepare communication such as agency tools and resources, fact sheets, press releases and other materials.

Examples may include: daily external media log, correspondence, talking points developed for staff use/communication regarding the issue; spreadsheets; reports; data extracts used to prepare public information requests; specifications, stock photos and images of buildings and program services; or biographies of personnel other than executive leadership. Some or all of these may be saved with the official communication.

Administrative Note: While there may be both paper and electronic records under this series, the official and most complete file is the electronic file maintained in Microsoft Word. These records also do not include items that could be covered by ADM00001, ADM00009, ADM00010 or ADM00015.

*These records may contain PII or Confidential items. Confidential items may be in the original documents, however, records could be redacted prior to release of information.

EVENT = Creation

<u>00178000.</u>	<u>LEGISLATIVE HISTORY FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Legislative History Files are created for each Wisconsin Assembly or Senate bill introduced that has an impact on the Wisconsin Retirement System or any of the benefit programs administered by the agency (i.e. Health Insurance, Life Insurance, Income Continuation Insurance, Deferred Compensation Program, and Employee Reimbursement Program). These files are a history of legislation affecting ETF programs and contain information that cannot be found anywhere else.

These files are filed by the bill number (ex: AB__ or SB__ or Wis. Act __ and includes joint resolutions, etc. which are numbered AJR__ or SJR__). The files contain memos; letters; fiscal estimates; hand written notes; spreadsheets; Joint Survey Committee notes and analysis; the bill as introduced or amended; memos by other agencies, such as the Department of Justice; etc.

These files will be kept permanently in the agency Knowledge Management System due to the ongoing research needs and business needs of the agency when it comes to legislation affecting our programs. These records were identified during an agency review as records that needed to be captured electronically and saved due to their historical reference for agency policy and legal staff.

Box 16: Files contain documentation used to develop fiscal estimates that includes member data which is protected by Wis. Stats. § 40.07 (1) and 40.07 (2).

EVENT = Permanent

<u>00178A00.</u>	<u>LEGISLATIVE HISTORY FILES - PAPER</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Legislative History Files are created for each Wisconsin Assembly or Senate bill introduced that has an impact on the Wisconsin Retirement System or any of the benefit programs administered by the agency (i.e. Health Insurance, Life Insurance, Income Continuation Insurance, Deferred Compensation Program, and Employee Reimbursement Program). These files are a history of legislation affecting ETF programs and contain information that cannot be found anywhere else.

These files are filed by the bill number (ex: AB__ or SB__ or Wis. Act __ and includes joint resolutions, etc. which are numbered AJR__ or SJR__). The files contain memos; letters; fiscal estimates; hand written notes; spreadsheets; Joint Survey Committee notes and analysis; the bill as introduced or amended; memos by other agencies, such as the Department of Justice; etc.

The paper files are in the process of being imaged. These records were identified during an agency review for the upcoming move to the west side of Madison as records that needed to be captured electronically and saved due to their historical reference and business need for agency policy and legal staff.

Box 16: Files contain documentation used to develop fiscal estimates that includes member data which is protected by Wis. Stats. § 40.07 (1) and 40.07 (2).

EVENT = Imaged

<u>00300000.</u>	<u>WRS PARTICIPANT AND EMPLOYER NON-SOCIAL SECURITY RELATED REC</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system.

Participant Records

This record series consists of documents imaged into the system for each member who participates in the Wisconsin Retirement System (WRS) and/or in the benefit programs administered by the Department of Employee Trust Funds (ETF). The types of documents received includes, but are not limited to, the following:

- a. Employer submitted forms relating to enrollment and participation in the WRS.
- b. Insurance forms including those from ETF third party administrators (TPAs) relating to insurance coverage and claims in which the member has enrolled in.
- c. Beneficiary Designation forms filed by the member, including those on Teacher Affidavits.
- d. Legal correspondence and documents.
- e. Qualified Domestic Relation Orders (QDRO) filed with ETF on ETF and/or court forms for dividing retirement accounts as part of a divorce action.
- f. Member's benefit process related records including estimates, benefit applications, and Long Term Disability Insurance applications.
- g. Miscellaneous correspondence, documents, and/or forms that do not relate to the other categories identified.
- h. Numerous forms and documents related to updating or changing payments to members which includes, but are not limited to, tax withholding changes; and annuitant income changes and requests.
- i. Benefit termination records.
- j. Indicative Data related records.

These records are maintained per ETF's business needs and are required for documenting member enrollment, eligibility and benefit payment rights to programs administered by the department.

Employer Records

This record series consists of documents imaged into the system for each employer who participates in the Wisconsin Retirement System (WRS) and may also participate in the benefit programs administered by the Department of Employee Trust Funds (ETF). The types of documents received includes, but is not limited to, the following:

- a. Resolutions to join the WRS
- b. Resolutions to join any of the other ETF programs
- c. Agent designation forms
- d. Various forms for program changes or terminations
- e. Interest Due Notices
- f. Correspondence
- g. Resolution of Inclusion forms for the WRS and each of the benefit plans
- h. Employer Options for Increasing Retirement forms
- i. Initial Enrollment into the WRS or Benefit Plans Letters
- j. New Employer Mailing Checklists
- k. Resolutions to Withdraw from the Benefit Plans
- l. Prior Service Cost Studies
- m. Employer Invoices
- n. Interest Due Notices
- o. WRS Eligibility Determination forms
- p. Employee Prior Service Statements

RDA #	RDA Title	Retention	Disposition	PII
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q. Employer Transaction Audits
 r. Rejected Transactions
 s. Electronic Reporter Transmittal
 t. Unfunded Liability Balance

The paper is retained onsite for 3 months after completion of imaging, QA process and commitment to permanent storage, then it is sent to State Record Center for the remaining 21 months.

EVENT = after scanned and indexed

<u>00301000.</u>	<u>WRS IMAGING SYSTEM PARTICIPANT AND EMPLOYER RECORDS - TEMPOR</u>	<u>CR+0/1</u>	<u>DEST</u>	<u>Y</u>
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A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system.

This RDA applies to the temporary image files stored on the myETF Kofax server. All Images are initially stored on the myETF Kofax server's local network file system upon the completion of the indexing function. These images are uploaded to myETF servers twice daily - so all images (both those assigned to a valid SSN, Plan Type, and Plan Occurrence, and those requiring further research) are stored here waiting for the next export from Kofax to myETF to complete. Each export will take all pending images and load them to the myETF servers' permanent storage location.

All temporary image files need to be retained as records because the files must go through a quality assurance review to ensure the image has uploaded properly. The quality assurance review occurs within three days of the image being uploaded.

EVENT = creation

<u>00302000.</u>	<u>WRS IMAGING SYSTEM PARTICIPANT AND EMPLOYER RECORDS - PERMAN</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system.

This record series consists of the documents in the record for each member who belongs to the Wisconsin Retirement System (WRS) and participates in the benefit programs administered by the Department of Employee Trust Funds (ETF). See description in RDA 00000300 (above) for additional information.

These records are maintained per Wis. Stats. and are required for documenting member enrollment, eligibility and benefit payment rights to various programs administered by the department.

Documents and metadata are retained permanently on the myETF server's production system.

Permanent retention justification: These documents contain the full history of member and employer accounts. They are critical for paying benefits to annuitants, beneficiaries, and survivors. They are also critical for payment reconciliation.

EVENT = Permanent

<u>00303000.</u>	<u>IMAGING & WORKFLOW MEMBER RECORDS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system. The member record data includes information that was keyed into or uploaded from the V3 scan subsystem.

The data includes information in the categories of:

- Social Security Number
- Plan Type
- Plan Occurrence
- Document Number
- Subfolder Code
- Scan Date/Timestamp
- Received Date
- Batch Number
- Box Number
- Staple ID or Staple Name
- Scan Operator
- Document Status
- Folder Flags
- Workflow Number

Each of these items is described under the processing section in the program description above (beginning on page 2 of this RDA).

The retention is EVT + 0 because any changes made are recorded in tables covered by RDA 00000304 (the following RDA) and the actual changes are done immediately in real time.

RDA #	RDA Title	Retention	Disposition	PII
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EVENT = superseded

<u>00304000.</u>	<u>IMAGE IMPORT AND WORKFLOW TABLES</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system. The image import and workflow tables maintain information about drop-filed documents.

myETF maintains information about dropfiled documents in the image import and workflow process Information about how these workflow jobs are processed will be available in the workflow audit tables.

Examples include: changes to an account, documents processed or rejected, changes to member data, etc.

EVENT = Creation

<u>00305000.</u>	<u>KOFAX AND MYETF WORKFLOW REPORTS</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
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A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system.

Several types of reports are available to records staff (such as scanning by operator; scanning summary; indexing by employee; indexing summary; research workbasket summary, etc.) and program units (such as workbasket summaries; backlog summaries; research workbasket summary; etc.). These reports are utilized as needed and oftentimes are not printed.

The following Kofax reports are available for staff:

- * Batch summary
- * System status
- * Module productivity
- * User productivity
- * Pages scanned

The following myETF reports are available for staff:

- 1) Imaging Reports
 - a. Deleted images report
 - b. Image import report
 - c. Index summary reporting
 - d. Reindexed document report
 - e. Reindexed member document report
 - f. Workflow status report
 - g. Workflow step status report
 - h. Reject report
 - i. Daily export logs
 - j. Documents exported out of Kofax
- 2) Security Reports
 - a. Full SSN audit log report
 - b. Security roles per user
 - c. Security summary reporting
 - d. Users per security role
- 3) Workflow Reports
 - a. Documents and expected workflow report
 - b. Quarterly completed workflow count report
- 4) Audit logs
 - a. CRM - audit table
 - b. Admin - audit logs
 - c. Workflow - history steps is in the workflow tab
- 5) Archive

<u>00306000.</u>	<u>EMPLOYER DOCUMENTS (SOCIAL SECURITY RELATED AND WRS RESOLUT</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system.

This record series consists of paper documents imaged into the record for each employer who participates in Social Security via Section 218 agreements. ETF serves as the Social Security Administrator for all governmental agencies in the State of Wisconsin. The types of documents received includes, but is not limited to, the following:

-Correspondence related to covered positions and reporting

RDA #	RDA Title	Retention	Disposition	PII
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- Letters specific to positions covered and cooperating teaching services
- Form Letters to the New Old Age Survivors Disability Health Insurance (OASDHI) agent
- Requests for corrected data and reports
- Social Security Internal Worksheets
- Refund of Excess Payment on OAR-S3 quarterly reports
- Change in reporting agent or address of agent
- Social Security Reconciliation of Wages Paid
- Quarterly Coverage Detail Ledgers
- Quarterly Coverage Report Summary

The Social Security Administration related documents must be kept permanently per:

SL 10001.130 (4.) Maintain Section 218 related records

It is the responsibility of the state administrator to maintain Section 218 records permanently and securely. Destruction of original records is not authorized. In order to meet the records retention requirements, the state administrator shall: *Maintain the State's original hardcopy file of all Section 218 related coverage information, including the State's Section 218 Agreement, modifications, dissolutions, intrastate agreements, and all associated correspondence in a secure environment that should be both waterproof and fireproof; *Consider implementing a redundant system to backup hardcopy files (example, an electronic database of scanned files); *Routinely back up electronic files, and the backup files should be stored in a separate and secure location away from the originals; and *Routinely evaluate electronic and hardcopy files to insure the integrity of the documents.

<https://secure.ssa.gov/apps1O/poms.nsf/lnx/1910001130>

For the WRS resolutions - the paper records are being kept permanently in the event employers challenge ETF on whether they are bound to remain in the WRS.

EVENT = Permanent

<u>00307000.</u>	<u>ADDRESS CHANGE REQUESTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system.

ETF receives address changes in paper form from Wisconsin Retirement System (WRS) participants, annuitants, inactive participants, beneficiaries, and employers. These address changes are keyed into ETF systems, which includes but is not limited to, WEBS, Annuity System, BPS, IVR, etc. This series also includes the address change request report ID EE051, Program TR673POO generated from the IVR system (see RDA #00149). Address changes contain personal information such as name, social security number, old address and new address. Processed requests are imaged either as workflow or after processed and are boxed and sent to the State Record Center separately from other imaged member documents.

EVENT = Entered into system

<u>00308000.</u>	<u>DAILY EXPORT LOGS</u>	<u>CR+2</u>	<u>DEST</u>	<u>N</u>
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A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system.

A daily export log is generated/printed each day to reconcile that day's export of images. These are filed in binders and kept in the Records Management Section for two years and then destroyed.

EVENT = Creation