

515-EMPLOYEE TRUST FUNDS

Dept # 700/ Department Name ETF DEPARTMENT RECORDS

RDA # RDA Title Retention Disposition PII

00009A00. ICI/LTDI VENDOR MONTHLY PERFORMANCE AND PAYMENT REPORTS EVT+4 DEST Y

Electronic monthly reports submitted to ETF by the Income Continuation Insurance (ICI) and Long Term Disability Insurance (LTDI) vendor responsible for plan administration. The electronic claims reports list payments and repayments of ICI and LTDI overpayments, and voided ICI and LTDI checks. The listings in the 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, Federal Insurance Contributions Act (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 payments of old ICI and LTDI overpayments. Other performance and related reports required by requests for proposals (RFP) include, but are not limited to: a) statistical reports; b) claim logs; c) expression of interest (EOI); d) monthly claims counts; e) medical recertifications; f) quarterly reconsiderations; g) customer satisfaction; h) customer service; i) phone stats; j) open & closed claims; k) W2 & letter of rights; l) dated checks; m) deductions; n) annual earnings statements by plan; o) refunds; and p) reports submitted to the Group Insurance Board.

RETENTION: EVENT (Close of contract) + 4 years and destroy confidential

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

Record series consists of various audit tools, workpapers and other 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

Box 16: These records are confidential and access if protected per ss. 40.07 (1) and (2).

Responsible Office - Office Internal Audit

RETENTION: EVENT (Close of audit) + 10 years and destroy confidential

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

RETENTION: EVENT (Reconciled and audited) + 7 years and destroy confidential

00052A00. ETF EMPLOYER CONTRIBUTION RATE HISTORY P PERM N

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

00053000. ETF GOVERNING BOARDS' MEETING MATERIALS - OPEN AND CLOSED SES: P PERM Y

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 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.

RETENTION: Permanent

00053A00. ETF GOVERNING BOARD'S MEETING MATERIALS - OPEN SESSIONS, ELECT P PERM Y

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.

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.

RETENTION: Permanent

00053B00. ETF GOVERNING BOARDS' MEETING MATERIALS - OPEN SESSIONS, ELECT P PERM N

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.

RETENTION: Permanent

00053C00. ETF GOVERNING BOARDS' MEETING MATERIALS - CLOSED SESSIONS - ELE P PERM Y

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

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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

00053D00. ETF GOVERNING BOARDS' MEETING MATERIALS - CLOSED SESSIONS, ELE P PERM Y

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 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.

RETENTION: Permanent

00053E00. BOARD ELECTION BALLOTS & REPORTS EVT+1 DEST Y

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).

RETENTION: EVENT (Results are processed and validated) + 1 year and destroy confidential

00053F00. BOARD MEMBER FILES EVT+2 DEST Y

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.

RETENTION: EVENT (Closed: last day individual is a board member) + 2 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
<u>00053G00.</u>	<u>BOARD POLICIES</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
	<p>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.</p> <p>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.</p> <p>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.</p> <p>RETENTION: Permanent</p>			
<u>00064000.</u>	<u>DEPARTMENT WORKER INSTRUCTIONS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
	<p>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.</p> <p>All worker instructions are retained until superseded. All divisions and offices are responsible for their worker instructions.</p> <p>RETENTION: EVENT (Superseded) and destroy</p>			
<u>00072000.</u>	<u>EMPLOYEE REIMBURSEMENT ACCOUNT (ERA) PROCESSING APPLICATION</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
	<p>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 compared to the amount of dollars deposited and to produce reports for use by departmental managers.</p> <p>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.</p> <p>The data is kept by the Trust Finance Division for 4 years after reconciled and destroyed confidential.</p> <p>Confidential or Limited Access: Wis. Stat. § 40.07</p> <p>RETENTION: EVENT (Reconciled) + 4 years and destroy confidential</p>			
<u>00074000.</u>	<u>EMPLOYEE REIMBURSEMENT ACCOUNT (ERA) ALLOCATION AND DOCUME</u>	<u>FIS+6</u>	<u>DEST</u>	<u>Y</u>
	<p>Remittance documents resulting from the depositing of State Agency Employee Reimbursement Account (ERA) payments maintained by month.</p> <p>This series includes, but is not limited to, form ET-1516 ERA Remittance Report; spreadsheet allocating remittances to the appropriate accounting code; and related memos/attachments from employers.</p> <p>RETENTION: EVENT (Fiscal) + 6 years and Destroy Confidential</p>			
<u>00085000.</u>	<u>ADMINISTRATIVE EXPENSE ALLOCATIONS</u>	<u>FIS+4</u>	<u>DEST</u>	<u>N</u>
	<p>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.</p> <p>Retained by the Trust Finance Division for the current fiscal year + 4 years.</p> <p>RETENTION: EVENT (Fiscal) + 4 years and destroy</p>			
<u>00086000.</u>	<u>WEBS - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	<p>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.</p> <p>The data includes information in the categories of:</p> <ol style="list-style-type: none"> 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

Program Contact: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov and Rory McGarry 608-261-8921, rory.mcgarry@etf.wi.gov

RETENTION: EVENT (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

00086A00. **WEBS - GENERATION DATA GROUPS** **EVT** **DEST** **Y**

Listed below are the generation data groups (GDGs) related to WEBS. The retention of these data groups 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 datasets 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 produce 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.

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RETENTION: EVENT (Number of generations listed) and destroy confidential

00086B00. **WEBS INPUT, UPDATE, AND INQUIRY SCREENS** **EVT** **DEST** **Y**

Includes input, update, and 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.

Program Contact: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov

RETENTION: EVENT (Obsoleted or modified) and destroy confidential

00086C00. **WEBS - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES** **EVT** **DEST** **N**

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

RETENTION: EVENT (Minimum of 10 generations) and destroy confidential

00086D00. **WEBS - STATEMENT OF BENEFIT EXTRACT** **CR+40** **DEST** **Y**

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.
 Program Contact: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov
 RETENTION: EVENT (Creation) + 40 years and destroy confidential

00086E00. WEBS LATE REPORTED EARNINGS REPORTS **CR+10** **DEST** **Y**

Contains late reported earnings 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.

Program Contact: Rory McGarry 608-261-8921, rory.mcgarry@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

00086F00. WEBS CHANGE ACTIVITY REPORTS **CR+7** **DEST** **Y**

Contains change and activity reports such as report id:
 EE042, EE044

These reports are generated every time a change is made to a member account and shows the before and after picture of the change.

Program Contact: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov

RETENTION: EVENT (Creation) + 7 years and destroy confidential

00086G00. WEBS RECONCILIATION, INTEREST CREDITING, ADJUSTMENT PROCESSOR **CR+10** **DEST** **Y**

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

These reports are retained for 10 years after generated in the event of any appeals related to the amount of reported earnings, interest, etc.

Program Contract: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

00086H00. WEBS SUSPENDED AND REJECTED TRANSACTION REPORTS **CR+10** **DEST** **Y**

Contains reports for suspended or rejected transactions such as report id's:
 EE009, 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.

Program Contact: Rory McGarry, 608-261-8921, rory.mcgarry@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

00086I00. WEBS TRANSACTION CONTROL REPORTS **CR+1** **DEST** **Y**

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.

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RETENTION: EVENT (Creation) + 1 year and destroy confidential

00086J00. STATEMENT OF BENEFIT (SOB) RECORD DUMPS **CR+1** **DEST** **Y**

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 purposes after the process is complete to ensure all SOB's were generated.

Program Contact: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov

RETENTION: EVENT (Creation) + 1 year and destroy confidential

00086L00. WEBS - EMPLOYER TRANSACTION DATA EVT+40 DEST Y

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 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.

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RETENTION: EVENT (Reconciled) + 40 years and destroy confidential

00086M00. WEBS - YEAR END PROCESSING EVT+40 DEST Y

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, 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.

Program Contact: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov and Rory McGarry, 608-261-8921, rory.mcgarry@etf.wi.gov

RETENTION: EVENT (Closed) + 40 years and destroy confidential

00086N00. ACTIVE LIVE ACTUARY FILE - ACTIVE/CLOSED/QDRO CR+10 DEST Y

The 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 destroyed confidential.

Program Contact: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

00086O00. SERVICE PURCHASE AND BUYBACK PROCESSING EVT+40 DEST Y

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 compile the information on all service purchases and the records are maintained in this system. 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.

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RETENTION: EVENT (Closed) + 40 years and destroy confidential

00091000. CUSTOM FILE MAINTENANCE **EVT+40** **DEST** **Y**

Custom file maintenance (CFM) requests are used to apply changes to data elements that are unable to be automatically updated by agency business applications. A few examples include, but are not limited to, updating code tables with revised payroll dates, new employer rates for contributions, and correcting incorrect employee demographic data between systems such as a member identification number, birthdate, marital status, or social security number. Once the CFM request is processed, the request and any related documentation must be retained to keep a history of member information changes which could impact payments. Previously, all requests were submitted in paper format using ET-8454- Custom File Maintenance Request Form, but since 2017, all requests have been submitted electronically.

Retention: Paper documentation was kept in-house for 1 year after completed and then sent to the State Records Center for the remaining 39 years. Now that requests are submitted electronically to an IT service request tracking software, the documentation is retained in a database where it is stored for 40 years and continued to be backed up for disaster recovery purposes. We reviewed IT0000IO and the retention is not sufficient for ETF. We are not only paying benefits to members, but we are also paying benefits to beneficiaries of a member which is why it is necessary to retain the information longer than IT0000IO. IT0000IO only requires records to be retained for 4 years after a system upgrade.

This record series contains content that is confidential under Wis. Stat. § 40.07.

RETENTION: EVENT (Date CFM request processed) + 40 years and destroy confidential

00101000. DEFERRED COMPENSATION PROGRAM CLOSED PARTICIPANT RECORDS (F **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 files 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.

Program Contract - Shelly Schueller, 608-266-6611, shelly.schueller@etf.wi.gov

RETENTION: EVENT (Individual participant account is closed (account balance is zero)) + 7 years and destroy confidential

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: EVENT (Scanned and verified) + 90 days and 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.

Program Contact - Shelly Schueller, 608-266-6611, shelly.schueller@etf.wi.gov

RETENTION: EVENT (Individual participant account is closed (account balance is zero)) + 7 years and destroy confidential

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

The Great-West Financial online system provides daily online 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.

Program Contact - Shelly Schueller, 608-266-6611, shelly.schueller@etf.wi.gov

RETENTION: EVENT (Individual participant account is closed (account balance is zero)) + 7 years and destroy confidential

00101D00. **DEFERRED COMPENSATION PROGRAM PARTICIPANT ACCOUNT STATEMENTS** **EVT+7** **DEST** **Y**

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).

Program Contact - Shelly Schueller, 608-266-6611, shelly.schueller@etf.wi.gov

RETENTION: EVENT (Individual participant account is closed (account balance is zero)) + 7 years and destroy confidential

00101E00. **DEFERRED COMPENSATION PROGRAM PARTICIPANT NEWSLETTER** **CR+7** **DEST** **N**

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.)

Program Contact - Shelly Schueller, 608-266-6611, shelly.schueller@etf.wi.gov

RETENTION: EVENT (Creation) + 7 years and destroy

00101F00. **DEFERRED COMPENSATION PROGRAM PARTICIPANT SURVEYS** **EVT+5** **DEST** **N**

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.

Program Contact - Shelly Schueller, 608-266-6611, shelly.schueller@etf.wi.gov

RETENTION: EVENT (Survey is completed and results are analyzed) + 5 years and destroy confidential

00101G00. **DEFERRED COMPENSATION PROGRAM REPORTS** **EVT+7** **DEST** **N**

Routine reports from WDC program administration and investment providers that detail financial and participation in the program. Reports may be 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.

Program Contact - Shelly Schueller, 608-266-6611, shelly.schueller@etf.wi.gov

RETENTION: EVENT (Closed) + 7 years and destroy confidential

00102000. **APPEAL AND LEGAL PROCEEDING DOCUMENTS** **EVT+25** **DEST** **Y**

Documents pertaining to administrative appeals or legal 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 received and the appeal is closed, these files are boxed up and sent to the State Records Center.

This record series contains content that is confidential or access is protected under Wis. Stat. § 40.07.

Responsible Division(s) - Office of the Secretary and Legal Services.

Retention - Appeal documents are retained in files by participant and kept for 25 years after the appeal is closed.

RETENTION: EVENT (Appeal closed) + 25 years and destroy confidential

00105000. **INCOME CONTINUATION INSURANCE AND LONG-TERM DISABILITY INSURANCE** **EVT+7** **DEST** **Y**

Individual files for claims processed by the Third-Party Administrator (TPA) for the Income Continuation Insurance and Long-Term Disability Insurance 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 files are used to monitor claims for eligibility from the first approval and on an ongoing basis until the claim is closed.

RETENTION: EVENT (Claim closed) + 7 years and destroy confidential

00114A00. **LIFE INSURANCE DEATH AND DISABILITY CLAIM FILES** **EVT+10** **DEST** **Y**

Life Insurance claim files for death and disability claims are imaged and are kept 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.

Per Wis. Stats § 137.20, the original paper applications will be imaged and subjected to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for two years for audit/quality control purposes and then confidentially destroyed.

RETENTION: EVENT (Claim is paid) + 10 years and destroy confidential

00117A00. **LIFE INSURANCE UNDERWRITING FILES & EVIDENCE OF INSURABILITY FILE** **EVT+10** **DEST** **Y**

Life Insurance Underwriting files are maintained electronically in Minnesota Life's image system by their Home Office Group's Underwriting Department (ETF's Third Party Administrator) for the Life Insurance Program. These files consist of correspondence, underwriting forms, medical records, etc.

Per Wis. Stats § 137.20, the original paper applications will be imaged and subjected to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for two years for audit/quality control purposes and then confidentially destroyed.

RETENTION: EVENT (Entered into the image system) + 10 years and destroy confidential

00124000. **LOGS / REPORTS - MISCELLANEOUS (EMPLOYER SERVICES SECTION)** **CR+3** **DEST** **N**

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 archives.

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: EVENT (Creation) + 3 years and destroy confidential

00129000. **WISCONSIN RETIREMENT SYSTEM (WRS) OVER/UNDER BALANCE PROCES** **EVT+1** **DEST** **N**

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 - Retirement Services

RETENTION: EVENT (Closed) + 1 year and destroy confidential

00136000. **OPEN ENROLLMENT HEALTH INSURANCE MATERIALS** **CR+10** **DEST** **N**

Records contain various pieces relating to the annual Open Enrollment (OE) health insurance process each year. This series includes, but not limited to:

RDA # RDA Title Retention Disposition PII

- Kickoff Materials
- Local Employer Contacts
- Low-Cost Plans
- Marketing Materials
- OE Employer bulletins
- OE Mailing
- OE Schedule
- Plan Contacts
- Provider Directories
- Rates
- State Contacts

RETENTION: EVENT (Creation) + 10 years and destroy

00138000. **LIFE INSURANCE BILLING FILES** **CR+7** **DEST** **Y**
 Monthly premium billings submitted by local government WRS employers to Minnesota Life and are kept by Minnesota Life's Madison Branch Office (ETF's third party administrator) for the Life Insurance Program.

RETENTION: EVENT (Creation) + 7 years and destroy

00139000. **LIFE INSURANCE ANNUAL RENEWAL CENSUS FILES** **CR+7** **DEST** **Y**
 These files include the annual renewal census schedule and exception reports which are maintained by Minnesota Life's Madison Branch Office (ETF's third party administrator) for the Life Insurance Program

RETENTION: EVENT (Creation) + 7 years and destroy confidential

00153000. **DOMESTIC PARTNER SYSTEM** **P** **PERM** **Y**
 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 Employee Trust Funds (ETF) and are eligible under Wis. Stat. ch. 40 for benefits, health insurance, and life insurance coverage.

ETF no longer accepts Affidavits of Domestic Partnership (ET-2371) on or after April 1, 2018. Employee Trust Funds continues to receive Affidavits of Termination of Domestic Partnership (ET-2372). Note: a partnership may also be terminated without an ET-2372. For example, "Termination based on member and partner ceasing Wisconsin Retirement System (WRS)/health insurance membership" or "Termination based on 'other' ETF determination". Cancellations returned in paper format are imaged and the data is stored in the Domestic Partners System. The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

The records stored in the Domestic Partner system must be stored permanently as they are used to reconcile health insurance coverage and determine benefits payable to beneficiaries. These benefits can have a duration of more than one lifespan.

Box 16: The records under this schedule contain member demographics and data, which is protected by Wis. Stats. § 40.07(1) and 40.07(2).

RETENTION: Permanent

00158B00. **RETIRED LIVES - EXTRACT FILE AND EXCLUSION FILE** **CR+10** **DEST** **Y**
 This series contains two data extracts for a given year. The retired lives extract file is a key deliverable to the outside actuaries and is used to perform the annual actuarial valuations to calculate annuity adjustments; set contributions rates; and calculate liabilities required by accounting standards. The retired lives exclusion file contains data that was excluded from the retired lives extract file. It also includes an explanation on why the data was not included in the extract file.

RETENTION: EVENT (Creation) + 10 years and destroy confidential

00158D00. **RETIRED LIVES TABLES** **P** **PERM** **Y**
 Retired lives tables contain data on ETF's annuitant population and works in conjunction with other ETF systems to provide a complete representation of the ETF annuitant population. The annuitant data is used for data comparison, reconciliation, and to verify and finalize the extract and exclusion files provided to the outside actuaries. This series includes, but is not limited to, the following tables: active retired lives, non-active retired lives, benefit account status, death status, snapshot files, payroll of calendar year, calendar year special checks, variable participation, exclusion files, annuity change code with the change code description.

RETENTION: Permanent

00160000. **CONTACT CENTER INTERACTIVE VOICE RESPONSE SYSTEM REPORTS ANI** **CR+3** **DEST** **Y**

This series includes the CallSS system reports and statistical data used for Employee Trust Funds (ETF) Main Line and Employer Line. The data is used for access and activity tracking and historical and work planning purposes.

Call Center Interactive Voice Response system reports and statistical data contains two different types of data:

1. Call detail records including logs, network logs schedules, and reports.
2. Agent activity data including access and use by agents.

ETF considered IT000023 and IT000026 and they did not meet our retention needs for these records.

RETENTION: EVENT (date of Creation) + 3 years and destroy confidential

00160A00. CALL CENTER INTERACTIVE VOICE RESPONSE SYSTEM CALL RECORDING: CR+0/1 DEST Y

This series includes recordings of call conversations between the customer and ETF's agents on ETF's main line and Employer line. This information is retained within a given interaction on the call center interactive voice response system.

RETENTION: EVENT (date of Creation) + 30 days and destroy confidential

00161000. VPS - BUSINESS DATASETS EVT DEST Y

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:

- 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 data, variable cancel type, flat amount)
 - Variable Application Information
 - Last Known Demo Information
 - Participant application status and acknowledgement history

Program Contact: Rory McGarry, 608-261-8921, rory.mcgarry@etf.wi.gov

RETENTION: EVENT (Superseded or deleted) and destroy confidential

00161A00. VPS - GENERATION DATA GROUPS EVT DEST Y

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 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.TR161E68.LETTER.BKUP (14 GENS) 21 DAYS
- ETFWEBSB.TR633P58.EXTRACT.BKP (15 GENS) 2 YRS
- ETFWEBSB.TR631P59.NEE70.BKP (15 GENS) 2 YRS
- ETFWEBSB.TR161R44.VPSCANC.TOBPS (16 GENS) 2 YRS
- ETFWEBSB.BPSLOGS.TR162A08 (30 GENS) 2 YRS
- ETFWEBSB.TR162A08.VPSTRNSF.FROMBPS (30 GENS) 2 YRS
- ETFWEBSB.TR161E68.LETTER.EXTRACT 2 YRS
- ETFWEBSB.TR161E68.LETTER.EXTRACTR 2 YRS
- ETFWEBSB.TR161P26.VARTRANS.CHANGE 2 YRS
- ETFWEBSB.TR161P26.VARTRANS.REPORT 2 YRS
- ETFWEBSB.TR161P26.VARTRANS.STATUS 2 YRS
- ETFWEBSB.TR161P26.VARTRANS.TOTALS 2 YRS
- ETFWEBSB.TR16101.TR161A28.ACTIVITY.DATA 2 YRS
- ETFWEBSB.TR16101.TR161A28.DOWN.REPORT 2 YRS
- ETFWEBSB.TR16101.TR161A28.ERROR.REPORT 2 YRS
- ETFWEBSB.TR16101.TR161A28.FUTURE.DATA 2 YRS
- ETFWEBSB.TR16101.TR161A28.NOBLANKS 2 YRS
- ETFWEBSB.TR16101.TR161A28.RETURN.DATA 2 YRS

RDA # RDA Title Retention Disposition PII

ETFWEBSB.TR16101.TR161A28.STATUS.REPORT 2 YRS
 ETFWEBSB.TR16101.TR161A28.WARNING.REPORT 2 YRS
 ETFWEBSB.TR161R44.OFFLINE.SSN 2 YRS
 ETFWEBSB.TR161R43.ACCTNG.NAC14.PARM 2 YRS
 ETFWEBSB.TR161R43.ACCTNG.NAC15.PARM 2 YRS
 ETFWEBSB.TR161R43.EMPSVCS.NEE52.PARM 2 YRS
 ETFWEBSB.TR161R43.RETSVCS.NBE62.PARM 2 YRS
 ETFWEBSB.TR161R43.RETSVCS.NBE63.PARM 2 YRS
 ETFWEBSB.TR161R43.RETSVCS.NBE63.PARM 2 YRS
 ETFWEBSB.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.

Program Contact: Rory McGarry, 608-261-8921, rory.mcgarry@etf.wi.gov

RETENTION: EVENT (Number of generations/approximate years listed) and destroy confidential

00161B00. **VPS - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES** **EVT** **DEST** **Y**

All Print program input/output temporary files - retention varies from 10 to 100 generations and are then deleted.

Program Contact: Rory McGarry, 608-261-8921, rory.mcgarry@etf.wi.gov

RETENTION: EVENT (Minimum of 10 generations) and delete

00161C00. **VPS CHANGE AND ACTIVITY REPORTS** **CR+10** **DEST** **Y**

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.

Program Contact: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

00161D00. **VPS ACCOUNT BALANCES, TRANSFERS, MOVES, EXCEPTIONS, CANCELLA** **CR+10** **DEST** **Y**

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
 EE962 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

Program Contact: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

00161E00. **VPS TRANSACTION CONTROL REPORTS** **CR+1** **DEST** **Y**

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

Program Contact: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov

RETENTION: EVENT (Creation) + 1 year and destroy confidential

00161F00. **VPS USER INTERFACE PAGES** **EVT** **DEST** **N**

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 (demographics, 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: Displays 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.

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 participant's demographic information.

SSN Change: This page allows the user to change the participant's SSN.

Program Contact: Stefanie Pauls, 608-267-0745, stefanie.pauls@etf.wi.gov

RETENTION: EVENT (Superseded or obsolete) and destroy

<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

Program Contact: Jeff Bogardus, 608-266-3099, jeff.bogardus@etf.wi.gov

RETENTION: EVENT (Account is superseded, obsolete, cancelled or purged from the system) + 10 years and destroy confidential

00165A00. **RDS - TABLES** **EVT+10** **DEST** **Y**

Listed below are the tables containing the data that is retained as it relates to the RDS 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

Program Contact: Jeff Bogardus, 608-266-3099, jeff.bogardus@etf.wi.gov

RETENTION: EVENT (System is superseded, obsolete, or information is moved to another system) + 10 years and destroy confidential

00165B00. **RDS - CMS MONTHLY UPDATE FILE** **CR+10** **DEST** **Y**

Files 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.

Program Contact: Jeff Bogardus, 608-266-3099, jeff.bogardus@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

00165C00. **RDS - MONTHLY UPDATE RESPONSE FILE** **CR+10** **DEST** **Y**

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 retrieve and review. Any errors identified were manually researched and corrected in HICS/MEBS and BPS (Benefit Payment System).

Program Contact: Jeff Bogardus, 608-266-3099, jeff.bogardus@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

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 systems 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 of 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.

Program Contact: Jeff Bogardus, 608-266-3099, jeff.bogardus@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

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

File crated by ETF and sent to CMS at the beginning of a new plan year to establish RDS eligible retirees for the new RDS application.

Program Contact: Jeff Bogardus, 608-266-3099, jeff.bogardus@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

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

File received from CMS monthly indicating the member was not eligible for the RDS 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.

Program Contact: Jeff Bogardus, 608-266-3099, jeff.bogardus@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

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

RDA # RDA Title Retention Disposition PII

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.

Program Contract: Jeff Bogardus, 608-266-3099, jeff.bogardus@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

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.

Program Contact: Jeff Bogardus, 608-266-3099, jeff.bogardus@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

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.

Program Contact: Jeff Bogardus, 608-266-3099, jeff.bogardus@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

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

File crated 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.

Program Contact: Jeff Bogardus, 608-266-3099, jeff.bogardus@etf.wi.gov

RETENTION: EVENT (Creation) + 10 years and destroy confidential

00166000. **PBM - BUSINESS DATASETS** **EVT** **DEST** **Y**

The datasets listed below includes the data records/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

Program Contact: Brian Schroeder, 608-266-7705, brian.schroeder@etf.wi.gov

RETENTION: EVENT (Superseded, obsolete, or moved to another system) and destroy confidential

00166A00. **PBM - TABLES** **EVT** **DEST** **Y**

Listed below are the tables containing the data that was retained as it relates 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

Dept #	<u>700/</u>	Department Name	<u>ETF DEPARTMENT RECORDS</u>		
RDA #	RDA Title		Retention	Disposition	PII

Program Contact: Brian Schroeder, 608-266-7705, brian.schroeder@etf.wi.gov

RETENTION: EVENT (Superseded, obsolete, or moved to another system) and destroy confidential

00166B00. PBM - DAILY EGWP AND PBM 834 FILES **CR+5** **DEST** **Y**

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.

Program Contact: Brian Schroeder, 608-266-7705, brian.schroeder@etf.wi.gov

RETENTION: EVENT (Creation) + 5 years and destroy confidential

00167000. MEBS - BUSINESS DATASETS **EVT** **DEST** **Y**

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

RETENTION: EVENT (Superseded or closed) and destroy confidential

00167A00. MEBS - EMPLOYER ACTIVITY UPLOAD (EMEB) **CR+3** **DEST** **Y**

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 myETFBenefits web applications, which will be used by nightly batch processors to execute such activities, along with all activities entered through the web portal.

RETENTION: EVENT (Creation) + 3 years and destroy confidential

00167B00. MEBS - USER INTERFACE **EVT** **DEST** **Y**

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.

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 Income Continuation Insurance (ICI) information and life insurance coverage(s) and effective dates.

RETENTION: EVENT (Superseded or closed) and destroy

00167C00. **MEBS - MONTHLY 820 FILE AND FULL FILE COMPARE (FFC) FILES** **EVT+3** **DEST** **Y**

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.

RETENTION: EVENT (Received or sent) + 3 years and destroy confidential

00167D00. **MEBS - DAILY HIPPA 834 FILES, EXCEPTION FILES, 999 FILES, DAILY EGWP, CR+1** **DEST** **Y**

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.

RETENTION: EVENT (Creation) + 12 month rolling period and destroy confidential

00167F00. **MEBS - EXTRACTS AND VIEWS** **CR+3** **DEST** **Y**

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

RETENTION: EVENT (Creation) + 3 years and destroy confidential

Dept #	<u>700/</u>	Department Name	<u>ETF DEPARTMENT RECORDS</u>		
RDA #	RDA Title		Retention	Disposition	PII
<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_uwhcActivities_(yyyyMMdd)_(DataSetID).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_uwhcActivities_(yyyyMMdd)_(DataSetID).xml 2. simplifiedResponse_eMEB_uwhcActivities_(yyyyMMdd)_(DataSetID).sml (this is a summary of the file in (1)).</p> <p>RETENTION: EVENT (Received or sent from HWHC) _ 3 years and destroy confidential Outgoing files are not retained once they are picked up by the WHCS each day.</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 of each health plan)</p> <p>RETENTION: EVENT (Creation) + 3 years and destroy confidential</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 the Health Screening Vendor (currently Optum; changing to StayWell in 2017). This is the Well Wisconsin's screening vendor who completes work-place on-site biometric screening for the Well Wisconsin program.</p> <p>Monthly full eligibility file - a 5010 compliant 834 file sent to the vendor containing all members enrolled in active coverage with all health plans. Health insurance enrollment eligibility file use to establish biometric screening program eligibility.</p> <p>Monthly response file from Vendor to the health plans - ETF receives a 5010 compliant 834 response file from the vendor 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: EVENT (Received or sent) + 3 years and destroy confidential</p>				
<u>00168D00.</u>	<u>CALLSS - REPORTS</u>		<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
	<p>Documents are created from CallSS and saved to the call center scanned documents folder for all appointments (and possibly other items). Location is H:\CallCtr\ScanDocs\Printed.</p> <p>CallSS Call Center Reports 1. Report Begin Date 2. Report End Date</p> <p>Supervisor Reports: 1. IVR Report 2. Agent Service Request Report 3. Group Service Request Report 4. Group Service Request Report by Call Agent 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</p> <p>Agent Reports: 1. Agent Service Request Report 2. Address Labels</p> <p>Program Contact: Kay Kalvin, 608-261-7009, kay.kalvin@eff.wi.gov and Michele Ouellette, 608-266-5807, michele.ouellette@eff.wi.gov</p> <p>RETENTION: EVENT (Creation) + 5 years and destroy confidential</p>				

<u>00170000.</u>	<u>DISABILITY - BUSINESS DATASETS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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The datasets maintained includes information in the categories of:

Duty Disability (Financial) Application -

1. Social Security Number
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. Couatts Review Needed
- 34. Gender

- 40.63 Application -
 - 1. Social Security Number
 - 2. Last Name
 - 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)

Program Contact: Matt Nelson (608) 266-8083, matt.nelson@etf.wi.gov

RETENTION: EVENT (Superseded, account information is moved to another system, or is closed) and destroy confidential

<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 = Not
- 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.

Program Contact: Matt Nelson, 608-266-8083, matt.nelson@etf.wi.gov

RETENTION: EVENT (Superseded or no longer needed) and destroy confidential

<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
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

Program Contact: Matt Nelson, 608-266-8083, matt.nelson@etf.wi.gov

RETENTION: EVENT (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 the actuary sheets that are run display the changes to the member benefits. The actuary sheets are imaged into Step 2000.

Program Contact: Matt Nelson, 608-266-8083, matt.nelson@etf.wi.gov

RETENTION: EVENT (Scanned) + 2 years and destroy confidential
(Retained according to RDA00087)

<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 ad hoc 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 with Social Security Offset
 3. Accounts with Retirement Offsets
 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 Benefits (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
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

RDA # RDA Title Retention Disposition PII

- 14. Duty Disability Applications Received
- 15. Duty Disability Recipients
- 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

Program Contact: Matt Nelson (608) 266-8083, matt.nelson@etf.wi.gov

RETENTION: EVENT (Superseded or no longer needed for business use or as determined by program lead) and destroy confidential

00170E00. **DISABILITY - GASB 44 FILE** **CR+3** **DEST** **Y**

Governmental Accounting Standards Board Statement 44 requires disclosure of the average monthly benefit, average final average salary, and number of retired members, organized by years of credited service in five-year increments. This extract provides the data necessary to meet that requirement.

Program Contact: Dan Gopalan, 608-261-0735, daniel.gopalan@etf.wi.gov

RETENTION: EVENT (Creation) + 3 years and destroy confidential

00171000. **BCS - MEMBER RECORDS** **EVT** **DEST** **Y**

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
- 3. Insurance line
- 4. Complaint data
- 5. Complaint activity

- 6. Contact method
- 7. Complaint type
- 8. Complaint status
- 9. Complaint result
- 10. Martial 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: EVENT (Superseded or closed) and destroy confidential

00171A00. BCS - TABLES EVT DEST Y

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_CMLPLNT_TYPE
- 17. TBL_CD_CMLPLNT_ST
- 18. TBL_CD_CMLPLNT_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
- 12. TBL_CD_PHONE_TYPE
- 13. TBL_CD_SUFEX
- 14. TBL_CDE_PRFX

RETENTION: EVENT (Superseded or closed) and destroy confidential

00171B00. BCS INPUTS - INQUIRIES, HEALTH INSURANCE COMPLAINTS AND DETERMI EVT+7 DEST Y

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.

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

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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.

RETENTION: EVENT (Entered into the system) + 7 years and destroy confidential

<u>00171C00.</u>	<u>BCS OUTPUTS</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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Listed below are types of outputs created from BCS data:

AdHoc Access Queries
Individual Ombudsperson Activity Logs
Excel Spreadsheets

RETENTION: EVENT (Creation) + 3 years and destroy confidential

<u>00172000.</u>	<u>INSURANCE MATERIALS - OPTIONAL INSURANCE PLANS AND LONG-TERM</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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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

RETENTION: EVENT (After ETF or Board rejects) + 6 years and destroy

<u>00174000.</u>	<u>PROPOSALS, CONTRACTS AND RELATED CORRESPONDENCE - APPROVED</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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Proposals, contracts and related correspondence from various companies for contracts to provide long term care 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 close of the contract.

Retention - Retain 20 years after contract is closed.

Responsible Area/Record Owner - Office of Strategic Health Policy

RETENTION: EVENT (Contract end) + 20 years and destroy

<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.

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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.

RETENTION: EVENT (Creation) + 3 years and destroy confidential

<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).

RETENTION: 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).

RETENTION: EVENT (Imaged) + 5 years and destroy confidential

<u>00179000.</u>	<u>PROPOSALS AND CONTRACTS - EMPLOYEE TRUST FUND PROGRAMS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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The record series includes technical and cost proposals, contracts and related correspondence for the following programs:

- Approved optional insurance plans: Includes dental, vision, or accident indemnity insurance. Responsible Area: Office of Strategic Health Policy
- Wisconsin Deferred Compensation Program: Includes administrative services and investment products. 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. Responsible Area: Division of Retirement Services
- Employee Reimbursement Account Program: Includes Health Care and Limited Purpose and Dependent Day Care Flexible Spending Accounts, Parking/Transit Accounts, and Section 125 Cafeteria Plan Administration Services. Request for proposals for this program are re-bid every three to seven years. Responsible Area: Management Services
- Health and dental insurance program: Includes State and Local Government employee health programs. Standard health plans are re-bid every three years and new HMO's may be added or changed each year. Responsible Area: Office of Strategic Health Policy
- Income Continuation Insurance Program: Includes State and Local Government employees. Request for proposals for this program are re-bid every three to seven years. Responsible Area: Management Services
- Life insurance program: Includes State and Local Government employees. Requests for proposals for this program are re-bid every three to seven years. Responsible Area: Management Services

Series may include, but is not limited to, a) documentation of awarded proposal(s) and specifications; b) documentation of Request for Proposals; c) contract (signed and/or unsigned); d) amendments; e) performance bonds/letters of credit; and f) related correspondence.

Box 16: This record series contains confidential information such as proprietary information from vendors, which is protected under Wis. Stat. § 40.07.

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RETENTION: EVENT (Close of contract) + 10 years and destroy confidential

00311000. **EMPLOYER CONTENT AND EMPLOYER DOCUMENTS (SOCIAL SECURITY REL** **P** **PERM** **Y**

Records include all content for employers who belong to the Wisconsin Retirement System (WRS). Including employer documents, correspondence, agreements, and contracts. Employee Trust Funds (ETF) retains these records electronically. ETF must retain these records permanently to preserve the history of the employer's eligibility, enrollment, and participation in the WRS and the benefits administered by ETF.

A subset of the records, Social Security Administration Section 218 agreements and contracts, must be retained in paper format and stored permanently per Federal Regulation 20 C.F.R. § 404.1204.

We are creating a new RDA because ETF has implemented a new enterprise content management system. ETF's requirements for capturing, storing, and retaining these records has changed with the new functionality provided through the ECM.

RETENTION: PERMANENT

00312000. **MEMBER CONTENT - WRS ACCOUNT CLOSED BY LUMP SUM RETIREMENT I** **EVT+25** **DEST** **Y**

Records include all content in the individual participant record which have their WRS account closed due to a lump sum retirement benefit paid or death of the participant with no further benefits payable.

This includes all content history, the work/low case (with notes and additional linked documents), and case history.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

We are creating a new RDA because ETF has implemented a new enterprise content management system. ETF's requirements for capturing, storing, and retaining these records has changed with the new functionality provided through the ECM.

RETENTION: EVENT (Date WRS account closed) + 25 years and destroy confidential

00313000. **MEMBER CONTENT - WRS ACCOUNT CLOSED BY SEPERATION** **EVT+50** **DEST** **Y**

Records Includes all content in the individual participant record which have their WRS account closed due to the payment of a separation. The information in the participant record is needed to answer questions for participants who may become re-employed in the future and wish to buy back this service they previously forfeited prior to retirement.

This includes all content history, the work/low case (with notes and additional linked documents), and case history.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

ETF must keep these records for 50 years as they are required to determine eligibility of participants who become re-employed and wish to buy back forfeited service.

We are creating a new RDA because ETF has implemented a new enterprise content management system. ETF's requirements for capturing, storing, and retaining these records has changed with the new functionality provided through the ECM.

RETENTION: EVENT (date WRS account closed) + 50 years and destroy confidential

00314000. **MEMBER CONTENT - WRS ACCOUNT CLOSED BY WRITE OFF** **EVT+10** **DEST** **Y**

Records Series consists of all content for individual participants which have their WRS account closed due to write off. May include, but not an all-inclusive list: abandoned accounts, forfeited accounts, and not eligible for the WRS.

This includes all content history, the workflow case (with notes and additional linked documents), and case history.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

We are creating a new RDA because ETF has implemented a new enterprise content management system. ETF's requirements for capturing, storing, and retaining these records has changed with the new functionality provided through the ECM.

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RETENTION: EVENT (Date WRS account closed) + 10 years and destroy confidential

00315000. WORKFLOW CASE AND CASE HISTORY (NO CASE NOTES OR ADDITIONAL (EVT+3 DEST Y

Records include the workflow case and information on the workflow case and steps. Tracking and logging changes or actions taken by users and the system. Including changes to step assignment, dates, transaction dates, event dates, event types, assignment groups, username, and other information related to changes that happen during the Case processing lifecycle.

Note: this record series only pertains to work/low cases and history that do not contain case notes or additional documents linked to the case. If the work/low case and history include case notes or linked documents, it would fall under RDA 312, 313, or 314.

We are creating a new RDA because ETF has implemented a new enterprise content management system. ETF's requirements for capturing, storing, and retaining these records has changed with the new functionality provided through the ECM.

RETENTION: EVENT (date the workflow case is closed) + 3 years and destroy confidentially