515-EMPLOYEE TRUST FUNDS

Dept # **I700I** 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 (ICl-State, !ICl- Local, LTDI) and alphabetical or SS# terminal digit order within each plan. Each monthly report contains SS# and name of participant, gross !ICl 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

00074000.	**EMPLOYEE REIMBURSEMENT ACCOUNT (ERA) ALLOCATION AND DOCUME**	**FIS+6**	**DEST**	**Y**

Remittance documents resulting f om the depositing of State Agency Employe Reimbursement Account (ERA) payments maintained by month.

This series includes, but is not limited to, form ET-1516 ERA Remittance Repott; spreadsheet allocating remittances to the appropriate accounting code; and related memos/attachments fRom employers.

RETENTION: EVENT (Fiscal) + 6 years and Destroy Confidentia

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.	**LATE REPORTED EARNINGS, SUSPENDED AND REJECTED TRANSACTION F**	**EVT+10**	**DEST**	**Y**

Records include, but are not limited to, late earning reports, and suspended or rejected transactions. Earnings and contributions reports are submitted by Wisconsin public employers enrolled in ETF pension benefits.

RETENTION: EVENT (Date Received) + 10 years and destroy confidential

00086F00.	**WISCONSIN EMPLOYEE BENEFIT CHANGE ACTIVITY REPORTS**	**CR+7**	**DEST**	**Y**

Records include, but are not limited to, change and activity reports with before and after documents for member accounts.

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

00086G00.	**WISCONSIN EMPLOYEE BENEFIT ENROLLMENT AND RECONCILIATION**	**CR+10**	**DEST**	**Y**

Records include, but are not limited to, enrollment, annual reconciliation, interest crediting, adjustments, journal entries, audit trails, billing letters for retroactive adjustments, individual wage adjustments, settlements, and refunds of members accounts.

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

00086I00.	**WISCONSIN EMPLOYEE BENEFIT TRANSACTION CONTROL REPORTS**	**CR+1**	**DEST**	**Y**

Contains reports generated from the transaction control system which includes unit backlog Transaction control records include, but are not limited to, unit backlog reports, assigned backlog reports, critical transaction reports, worker productivity reports and pending worker reports.

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

00086L00.	**EMPLOYER TRANSACTION DATA**	**EVT+40**	**DEST**	**Y**

Records include, but are not limited to, transaction coverage reports submitted to ETF from Wisconsin public employers enrolled in ETF pension benefits reporting participant earnings, contributions, and service.

RETENTION: EVENT (Date Received) + 40 years and destroy confidential

00086M00. WISCONSIN EMPLOYEE BENEFIT YEAR END PROCESSING EVT+40 DEST Y

Records include, but are not limited to, year-end records used to reconcile programs to reflect current year deposits and/or benefits paid plus interest and/or earnings. Records used to correct errors and/or other problems to balance out years reporting. Records contain annual reconciliation, year-end benefits bridge, annual transactions, annual annuities, application approvals, annual variable elections, transfers, and annual reserve.

RETENTION: EVENT (Year End Close) + 40 years and destroy confidential

00086N00. ACTIVE LIVES ACTUARY FILE CR+10 DEST Y

The active lives actuarial participant records, 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 Wisconsin Retirement System. The annual active lives actuarial file is the primary historical record on which the statutorily required actuarial valuation is based.

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

00086O00. WISCONSIN EMPLOYEE BENEFIT SERVICE PURCHASE AND BUYBACK EVT+40 DEST Y

Records include, but are not limited to, buybacks of service by type of buyback, payment method reports and reconciling documents. Members may to choose to purchase a prior service they had taken as a separation benefit where they lost the service years associated with that benefit and now purchase it back.

RETENTION: EVENT (Date of Purchase) + 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 examplesinclude, 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 T 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 ITOOOOlO 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 whyitis necessary to retain the informationlonger than ITOOOOlO. lTOOOOlO 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. WISCONSIN DEFERRED COMPENSATION PROGRAM PARTICIPANT RECORD EVT+7 DEST Y

Participant records for those enrolled in the Wisconsin Deferred Compensation Program include, but are not limited to, enrollment and distribution forms, beneficiary designations, deferral amount changes and financial emergency withdrawal application materials. Daily valuation of accounts, revised deferral amounts, and transferring funds between investment options.

Participant quarterly account statements include, but are not limited to, changes in value, account balances, transactions including contributions and distributions, interest, rate of return on investments, options for investments, fees, and charges.

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

00101C00. WISCONSIN DEFERRED COMPENSATION PROGRAM RECORDS EVT+7 DEST Y

Program records for the Wisconsin Deferred Compensation Program (WDC) include, but are not limited to, routine reports from the record keeping firm (currently Empower Retirement) as well as investment providers that detail financial and/or overall

participation in the WDC. The records provide daily valuation of WDC accounts, as well changes to participant accounts including revising deferral amounts, transferring balances between investment options, updating beneficiaries and contact information. The program records include data for multiple investment options in which participants may be invested. Program reports may be either monthly, quarterly, or annual periods.

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

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

Wisconsin Deferred Compensation Participant records include surveys used to ascertain or obtain participant satisfaction, investment options desired and services provided. Survey results are used to make determinations of investment options, participant, and service satisfaction reviews.

RETENTION: EVENT (Completion of survey analysis) + 5 years and destroy

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 INSURAI 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

00129000. EMPLOYER OVER / UNDER BALANCE RECORDS EVT+1 DEST Y

Records include, but are not limited to, outstanding over/under pension contribution balances used to produce credit and billing reports for Wisconsin public employers enrolled in Employee Trust Funds pension benefits. Records are closed when there is a zero balance.

RETENTION: EVENT (Closed Zero Balance) + 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:

- 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”. Cancelations 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 populaton. 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 AND 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 RECORDINGS 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 interative voice response system.

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

00161C00. VARIABLE PARTICIPATION CHANGE, ACTIVITY, AND ACCOUNT BALANCES EVT+10 DEST Y

Records include, but are not limited to, variable participation processor activity reports for members applications missing signatures, reprocess flags or follow up as expired, variable participation monthly and yearly reports.

Records include, but are not limited to, reports of variable participation account balances, transfers, estimated moves from annuity variable reserve for both annuitant and non-annuitant members, pending variable transfers on estimated annuity payments by month and year, annuitant variable cancellation exception report and listing.

RETENTION: EVENT (Date of Report) + 10 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

00167G00. MEBS - UWHC INGEST EVT+3 DEST Y

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)

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)).

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.

00167H00. MEBS - OUTPUT REPORTS CR+3 DEST Y

1. Daily batch reports to ETF staff are run.
2. On-Demand reports that ETF staff can run via Access queries

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)

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

00167I00. MEBS - VENDOR HEALTH SCREENING FILES EVT+3 DEST Y

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.

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.

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.

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

00168D00. CALL AND SERVICE SYSTEM (CALLSS) REPORTS CR+5 DEST Y

Reports include, but are not limited to, quality and accuracy evaluations of staff responding to member phone inquiries, service requests, type, and number of calls. Reports generated in CallSS cannot be produced elsewhere. Employee Trust Funds uses the reports to track workload trends, manage customer satisfaction, and ensure completion of workflows.

Employee Trust Funds considered Admin 354 and 355; however, they do not apply as the reports require confidential destruction.

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

RDA #	RDA Title	Retention	Disposition	PII
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

RDA #	RDA Title	Retention	Disposition	PII
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_CMPLNT_TYPE
17. TBL_CD_CMPLNT_ST
18. TBL_CD_CMPLNT_RSLT
19. TBL_CD_RLTNSHP
20. TBL_HI_SCRATCH_PAD
21. TBL_HI_SPA_LIST
22. TBL_HI_ TEMP MSG
23. TBL_HI_VARCHAR

The data in the following MESS (myETFBenefits) tables are shared with BCS:
1. TBL_CD_ADDR_TYPE
2. TBL_CD_ADDR_ VLDN
3. TBL_CD_COUNTY
4. TBL_CD_COUNTRY
5. TBL_CD_STATE
6. TBL_CD_DATA_SRCE
7. TBL_ETF ADDR
8. TBL_ETF_PHONE
9. TBL_ETF DEMO
10. TBL_DEMO_PTY
11. TBL_EE_PART
12. TBL_CD_PHONE_TYPE
13. TBL_CD_SUFX
14. TBL_CDE_PRFX

RETENTION: EVENT (Superseded or closed) and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII

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 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

00171C00. BCS OUTPUTS CR+3 DEST Y

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

00178000. LEGISLATIVE HISTORY FILES P PERM Y

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 administrated 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

00178A00. LEGISLATIVE HISTORY FILES - PAPER EVT+5 DEST Y

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 administrated 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

00179000. PROPOSALS AND CONTRACTS - EMPLOYEE TRUST FUND PROGRAMS EVT+10 DEST N

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.

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

00311000. EMPLOYER CONTENT AND EMLOYER 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.

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

00315000. **WORKFLOW CASE AND CASE HISTORY (NO CASE NOTES OR ADDITIONAL C** **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

00316000. **UNVERIFIED DOCUMENTS IN MY INSURANCE BENEFITS** **P** **PERM** **Y**

Members (or employees) are required to submit documentation to verify life events and/or dependents for insurance eligibility purposes. An unverified document is one which does not meet the verification requirements. This may include, but is not limited to, uncertified birth certificates, marriage certificates or divorce decrees.

Retention justification: : Social Security Administration Section 218 agreements and contracts, these records must be retained permanently per Federal Regulation 20 C.F.R. § 404.1204.

RETENTION: PERMANENT