

515-EMPLOYEE TRUST FUNDS

Dept #: 700/ Department Name: ETF DEPARTMENT RECORDS

RDA # RDA Title Retention Disposition PII

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

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, IICI- 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**

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 is 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**

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**

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**

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

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

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

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

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

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

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

<u>00053G00.</u>	<u>BOARD POLICIES</u>	<u>P</u>		
	Original electronic records of the proceedings of the various Board meetings held by the various governing boards of the Department of Employee Trust Funds (DETF). Current boards include: Employee Trust Funds (ETF) Board, Wisconsin Retirement (WR) Board, Teachers Retirement (TR) Board, Group Insurance Board, Deferred Compensation (DC) Board, and the Joint Meeting (JM) of the Boards. Records include, but are not limited to: Policies and Procedures adopted by one or more of the governing boards.			
	Original Board Policies are maintained permanently by the Board Liaison and will only be kept in electronic record. Electronic versions are stored on the ETF LAN at H:\Governing Board Policy then by board.			
	Electronic records are kept permanently as the Governing Boards set all program policies and these materials are the history of the Wisconsin Retirement System and Benefit Programs offered to State and Local government employees and are frequently referenced by current Boards when making or changing policies.			
	RETENTION: Permanent			
<u>00064000.</u>	<u>DEPARTMENT WORKER INSTRUCTIONS</u>	<u>EVT</u>		
	This records series includes all Unit/Section/Division worker instructions. These are task specific directions used to ensure compliance with policies and procedures. The original electronic file for each worker instruction is maintained on the LAN and is accessible to all staff via the internal staff website. Backup and disaster recovery copies are available via the nightly and weekly LAN backups.			
	All worker instructions are retained until superseded. All divisions and offices are responsible for their worker instructions.			
	RETENTION: EVENT (Superseded) and destroy			
<u>00072000.</u>	<u>EMPLOYEE REIMBURSEMENT ACCOUNT (ERA) PROCESSING APPLICATION</u>	<u>EVT+4</u>		
	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.			
	This application contains administrative fee amounts paid by month by employer and monthly totals submitted by the Employee Reimbursement Account contractor showing amounts applied to employee accounts by payroll center as well as any adjustments to previous amounts applied. This application is also used to produce a monthly report with year to date totals.			
	The data is kept by the Trust Finance Division for 4 years after reconciled and destroyed confidential.			
	Confidential or Limited Access: Wis. Stat. § 40.07			
	RETENTION: EVENT (Reconciled) + 4 years and destroy confidential			
<u>00074000.</u>	<u>EMPLOYEE REIMBURSEMENT ACCOUNT (ERA) ALLOCATION AND DOCUME</u>	<u>FIS+6</u>		
	Remittance documents resulting from the depositing of State Agency Employee Reimbursement Account (ERA) payments maintained by month.			
	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.			
	RETENTION: EVENT (Fiscal) + 6 years and Destroy Confidential			
<u>00085000.</u>	<u>ADMINISTRATIVE EXPENSE ALLOCATIONS</u>	<u>FIS+4</u>		
	Worksheets and reports used to allocate the Department's administrative expenses to the various benefit plans plus worksheets used to distribute investment earnings to the various group insurance accounts administered by the Department. Contains charges and billings to the various benefit plan programs and respective insurers. Arranged in chronological order by fiscal year.			
	Retained by the Trust Finance Division for the current fiscal year + 4 years.			
	RETENTION: EVENT (Fiscal) + 4 years and destroy			
<u>00086000.</u>	<u>WEBS - BUSINESS DATASETS</u>	<u>EVT</u>		
	The datasets include information that is keyed into or uploaded from DB2 database tables, report information, program extract information, and data entered. These can change over time but the data collected remains permanently in the system until one of the retention criteria are met.			
	The data includes information in the categories of:			
	1. Participant/Demographic information (SSN, Plan Type, Plan Occurrence)			
	2. Service and Earnings			
	3. Transaction History			
	4. Account Balances			

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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

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.

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 (Number of generations listed) and destroy confidential

00086B00. **WEBS INPUT, UPDATE, AND INQUIRY SCREENS**

EVT

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

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

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.

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	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			
<u>00086E00.</u>	<u>WEBS LATE REPORTED EARNINGS REPORTS</u> 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	<u>CR+10</u>		
<u>00086F00.</u>	<u>WEBS CHANGE ACTIVITY REPORTS</u> 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	<u>CR+7</u>		
<u>00086G00.</u>	<u>WEBS RECONCILIATION, INTEREST CREDITING, ADJUSTMENT PROCESSOR</u> Contains reports generated during enrollment and annual reconciliation; interest crediting, adjustments, journal entry, audit trails and Benefit Bridge loads such as the following report id's or titles: See hard copy for full list 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	<u>CR+10</u>		
<u>00086H00.</u>	<u>WEBS SUSPENDED AND REJECTED TRANSACTION REPORTS</u> 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	<u>CR+10</u>		
<u>00086I00.</u>	<u>WEBS TRANSACTION CONTROL REPORTS</u> Contains reports generated from the transaction control system which includes unit backlog reports, assigned backlog reports, critical transaction reports, worker productivity reports, pending by worker reports, etc. Program Contact: Rory McGarry 608-261-8921 rory.mcgarry@etf.wi.gov RETENTION: EVENT (Creation) + 1 year and destroy confidential	<u>CR+1</u>		
<u>00086J00.</u>	<u>STATEMENT OF BENEFIT (SOB) RECORD DUMPS</u> These are reports and listings of Statement of Benefit counts created prior to running the statements for printing and mailing. Also, includes output from the employer sort option files along with employee addresses etc. after run through our program which shows the	<u>CR+1</u>		

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**

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.

Program Contact: Rory McGarry, 068-261-8921, rory.mcgarry@etf.wi.gov

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

00086M00. **WEBS - YEAR END PROCESSING** **EVT+40**

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**

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**

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.

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

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

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

*** Participant Records ***

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

- A. Employer submitted forms relating to enrollment and participation in the WRS including begin dates, employment category(s), creditable service/earnings, military service, purchased service, additional contributions, impact reports, and general participation related documents.
- B. Insurance forms including those from ETF third party administrators (TPAs) relating to insurance coverage and claims in which the member has enrolled in. Includes, but is not limited to, Life, Health, Income Continuation, Long Term Disability, and rehired annuitant coverage.
- C. Beneficiary Designation forms filed by the member, including those on Teacher Affidavits.
- D. Legal correspondence and documents to and from courts, legal counsel, federal and state government, and the member relating to appeals, guardianship papers, court orders, power or attorney papers, tax levies, authorizations, and departmental determinations.
- E. Qualified Domestic Relation Orders (QDRO) filed with ETF on ETF and/or court forms for dividing retirement accounts as part of a divorce action. Includes forms used to set up separate account records for the alternate payee, rejection notices, QDRO annuity initiation notices, statement of account after division; etc.
- F. Member's benefit process related records including estimates, Retirement, Disability, or Separation applications, Death Benefit applications from beneficiaries, Long Term Disability Insurance application, final computations, estimated payrolls, application cancellations, and death benefit waiver(s).
- G. Miscellaneous correspondence, documents, and/or forms that do not relate to the other categories identified which could include but are not limited to, account or benefit inquiries and responses; responses to letters or memos relating to Employee Reimbursement Accounts (ERA), Deferred Compensation program, or other miscellaneous subjects.
- H. Numerous forms and documents relating to updating or changing payments to members which includes, but is not limited to, tax withholding changes; and annuitant income changes and requests.
- I. Benefit termination records which may include forms and correspondence which are generated due to re-established accounts, accounts receivables, stop payments, disability termination/suspensions, annuity terminations, benefits paid in error, and waiver of benefits (other than death).
- J. Indicative Data related records which may include, but is not limited to: Automated Clearing House (ACH) enrollment/changes for benefit checks; address changes; employee ID changes and copies of cards for such changes as name, social security number; date of birth corrections and/or copies of birth certificates filed by the member or employer to update their account(s).

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

*** Employer Records ***

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

- Resolutions to join the WRS
- Resolutions to join any of the other ETF programs
- Agent designation forms
- Various forms for program changes or terminations
- Interest Due Notices
- Correspondence

Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

RETENTION: EVENT (Scanned) + 2 years and destroy confidential
(The paper is retained onsite for 3 months after completion of imaging, QA process and commitment to permanent storage, then it is sent to State Records Center for the remaining 21 months)

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

RETENTION: (Temporary Storage) All images are initially stored on ETF's local network file system upon the completion of the indexing function. Since we only export images once a day starting after 5:00 PM, even images assigned to a valid SSN, Plan Type, and Plan Occurrence are stored here waiting for the nightly export to complete. The nightly export will take a copy of the images that have a valid SSN, Plan Type, Plan Occurrence from the local file system and store them to the permanent storage (See RDA 00087C) location. The following morning after reconciliation has been completed, (7:00 AM) any images that were successfully stored to the permanent location are removed from the temporary storage. Images that have not been assigned to a valid SSN, Plan Type, and Plan Occurrence (i.e. Step2000 Research Jobs) will remain on the local network file system until the image can be assigned a valid SSN, Plan Type, and Plan Occurrence or until the image is deleted through the Research Screen and the paper is pulled for manual processing.

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Department Name: ETF DEPARTMENT RECORDS

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Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

RETENTION: EVENT (24-72 hours and move to permanent storage and retain per RDA #00087C (see below)) and destroy confidential

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

This record series consists of the images in the record for each member who belongs to the Wisconsin Retirement System (WRS) and participates in the benefit programs administered by the Department of Employee Trust Funds (ETF). See description in 00087 for additional information.

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

Images and metadata are retained permanently on production system.

Images assigned to a valid SSN, Plan Type, and Plan Occurrence are exported each night for permanent storage to the Content Management (CM) System on the mainframe at DOA.

Program Contact: Diane Vultaggio, 608-266-5578, diane.viltaggio@etf.wi.gov

RETENTION: Permanent (unless rejected or deleted as non-WRS related documents)

00087D00. **IMAGING & WORKFLOW BUSINESS DATASETS** **EVT**

The datasets include information that was keyed into or uploaded from the InputAccel scan subsystem.

The data includes information in the categories of:

- Social Security Number
- Plan Type
- Plan Occurrence
- Document Number
- Subfolder Code
- Scan Date/Timestamp
- Received Date
- Batch Number
- Box Number
- Staple Count
- Scan Operator
- Document Status
- Folder Tag(s)

Each of these items is described under Processing above.

Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

RETENTION: EVENT (Superseded, obsoleted, or moved to a new system) and destroy confidential

00087E00. **APPLICATION INPUTS, UPDATE AND INQUIRY SCREENS** **EVT**

Includes all application input, update, & inquiry screens. Examples include:

- Login
- Main Menu
- Folder Contents
- Document Search
- Staple Document
- Document Reindex (select staff only)
- Statistical Reports
- Reject/Delete Reports (Records Mgt. only)
- Delete Document (Records Mgt. only)
- Job Workbasket
- Workflow Status
- Worker Reassign

A total inventory of these applications is not included in this RDA, because the focus of the RDA is on the files that are kept (and how long they are kept).

Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

RETENTION: EVENT (Superseded or obsoleted) and destroy

00087F00. **IMAGING & WORKFLOW SYSTEM - PRINT PROGRAM INPUT/OUTPUT TEMPORARY** **EVT**

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

Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

RETENTION: EVENT (Minimum of 10 generations) and delete

00087G00. **STP TABLE - DROPFILE** **CR+1**

This table holds rows of information on workflow documents as they go through each step of a workflow. There are two workflow types - first unit route daily mail and drop filed documents. For dropfile documents there is no workflow job created. These table rows hold system information on when the document was stored to Content Manager, which is still available on the Scandocs table if needed. These rows are purged in the third quarter for the previous year.

Program Contact: Kurt Ludeking, 608-264-6636, kurt.ludeking@etf.wi.gov

RETENTION: EVENT (Creation) + 1 year, purge in third quarter of each year for the previous year's data, and destroy confidential

00087H00. **TBL_WF_ACTVTY_LOG** **CR+3**

This workflow table holds the statistical information for the indexing function and is used exclusively for indexing management reports. This data will be kept for three years and then purged. This will allow ETF to continue to get statistical data as needed for three years before it is purged.

Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

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

00087I00. **EMPLOYER DOCUMENTS (NON SOCIAL SECURITY RELATED) - BACKFILE** **EVT+3**

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

- Correspondence
- Designation of Agent
- Resolution of Inclusion forms for the WRS and each of the benefit plans
- Employer Options for Increasing Retirement forms
- Initial Enrollment into the WRS or Benefit Plans Letters
- New Employer Mailing Checklists
- Resolutions to Withdraw from the Benefit Plans
- Prior Service Cost Studies
- Employer Invoices
- Interest Due Notices
- WRS Eligibility Determination forms
- Employee Prior Service Statements
- Employer Transaction Audits
- Rejected Transactions
- Electronic Reporter Transmittal
- Unfunded Liability Balance

Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

RETENTION: (Scanned and entered into system) + 3 years and destroy confidential

00087J00. **EMPLOYER DOCUMENTS (SOCIAL SECURITY RELATED AND WRS RESOLUT P**

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

- Correspondence related to covered positions and reporting
- Letters specific to positions covered and cooperating teaching services
- Form Letters to the New OASDHI agent
- Requests for corrected data and reports
- Social Security Internal Worksheets
- Refund of Excess Payment on OAR-S3 quarterly reports
- Change in reporting agent or address of agent
- Social Security Reconciliation of Wages Paid
- Quarterly Coverage Detail Ledgers
- Quarterly Coverage Report Summary

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

SL10001.130(4.) Maintain section 218 related records

It is the responsibility of the state administrator to maintain Section 218 records permanently and securely. Destruction of original records is not authorized. In order to meet the records retention requirements, the state administrator shall: "Maintain the state's original

RDA #	RDA Title	Retention	Disposition	PII
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hardcopy file of all Section 218 related coverage information, including the State's Section 218 agreement, modifications, dissolutions, intrastate agreements, and all associated correspondence in a secure environment that should be both waterproof and fireproof, *Consider implementing a redundant system to backup hardcopy files (example, an electronic database of scanned files); * Routinely back up electronic files, and the backup files should be stored in a separate and secure location away from the originals; and *Routinely evaluate electronic and hardcopy files to insure the integrity of the documents. <https://secure.ssa.gov/apps10/poms.nsf/lnx/1910001130>

For the WRS resolutions - the paper copies are being kept permanently in the event employers challenge ETF on whether or not they are bound to remain in the WRS.

Program Contact: Diana Felsmann, (608) 261-8944 diana.felsmann@etf.wi.gov

RETENTION: Permanent

00087K00. **IMAGING AND WORKFLOW REPORTS** **EVT**

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

Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

RETENTION: EVENT (No longer needed) and destroy confidential

00087L00. **REJECT/DELETE REPORTS** **EVT+3**

Records Management staff have access to a reject/delete report that is printed daily to facilitate pulling documents out of batches that have been rejected or deleted by the business units for various reasons. Once the documents are pulled the original documents are routed to the business staff person who performed the action to be returned to the sender. The status on the workflow graphical screen is used as a reference on what happened to the original. The paper report is retained in Records Mgt. for 3 years after documents are bulled and the associated batches have been destroyed per RDA's 00087 and 00087M.

Program Contact: Diane Vultaggio, 608-266-5587, diane.vultaggio@etf.wi.gov

RETENTION: EVENT (Documents are pulled) + 3 years and destroy confidential

00087M00. **ADDRESS CHANGE REQUESTS** **EVT+3**

ETF receives address changes in paper form from Wisconsin Retirement System (WRS) participants, annuitants, inactive participants, beneficiaries, and employers. These address changes are keyed into ETF systems, which includes but is not limited to, WEBS, Annuity System, BPS, IVR, etc. This series also includes the address change request report ID EE051, Program TR673P00 generated from the IVR system (see RDA #00149). Address changes contain personal information such as name, social security number, old address and new address. Processed requests are imaged either as workflow or after processed and are boxed and sent to the State Record Center separately from other imaged member documents.

Program Contact: Matt Stohr, 608-266-1210, matt.stohr@etf.wi.gov

RETENTION: EVENT (Entered into system) + 3 years and destroy confidential

00087N00. **WRS PARTICIPANT RECORDS IMAGING SYSTEM DOCUMENTATION** **EVT**

Electronic and paper documents which describe or define procedures and implementation components or modification of the imaging information system for retirement and benefit program account records. This includes system development and maintenance documents, program language, user guides or manuals, data libraries and dictionaries, system update documents and modification records, context diagram, entity relationship diagrams, workflow diagrams, and detail design summaries.

System documentation is retained to ensure that information can be read, accessed and validated for any date created for the entire life of the system.

Program Contact: Kurt Ludeking, 608-264-6636, kurt.ludeking@etf.wi.gov

RETENTION: EVENT (Superseded) and destroy

00087O00. **IMAGING/BACKFILE CONVERSION CD FILES** **EVT+20**

Records series includes CD ROM copies of images, electronic files from the conversion vendor, and critical directories used as part of the imaging project. Files may contain participant names and social security numbers, so they are confidential.

Sample files included on the CD ROM's includes, but is not limited to:

- 1) ATI (backfile conversion vendor) E-Files
- 2) DoIT Directory Backup/ADB Directory Backup - includes databases used to assist with populating the Folder Status Table, MIA's, New Enrollments, Deceased Annuitants, etc.

These CD's will be retained 20 years for auditing purposes, final project reconciliation, research, and the original images for historical

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background until conversion to a new system.

One copy will be maintained at ETF and one copy of the State Records Center.

Program Contact: Kurt Ludeking, 608-264-6636, kurt.ludeking@etf.wi.gov

RETENTION: EVENT (Conversion is complete) + 20 years and destroy confidential
The CDs will be checked for readability/viability and recopied as necessary during this timeframe (per Admin 12).

00087P00. **STP TABLE - FIRST UNIT ROUTE** **CR+3**

This table holds information on workflow documents as they go through each step of a workflow. There are two workflow types - first unit route daily mail and drop files (see 00087G above) documents. These rows are for documents a workflow job is created. These table rows hold system information on which workbasket the document went to, who processed the job or routed it if applicable, including when the document was stored to Content Manager. These rows will be retained for three full years and then purged.

Program Contact: Kurt Ludeking, 608-264-6636, kurt.ludeking@etf.wi.gov

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

00087Q00. **DAILY EXPORT LOGS (00087Q00.)** **CR+2**

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

Program Contact: Kurt Ludeking, 608-264-6636, kurt.ludeking@etf.wi.gov

RETENTION: EVENT (Creation) + 2 years and destroy

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

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 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 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

00099000. **SECRETARY'S OFFICE CORRESPONDENCE** **CR+5**

Records series includes correspondence received in the Secretary's Office and responses relating to Department administration, policies, procedures, and benefit programs administered by the Department. Correspondence is from the Secretary, Deputy Secretary, Assistant Deputy Secretary, Division Administrators, Assistant Division Administrators, Legal Counsel, Policy Initiatives Advisor, Office Directors or Bureau Directors.

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

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

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

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

RETENTION: EVENT (Creation) + 5 years and transfer to State Archives (WHS)

00101000. **DEFERRED COMPENSATION PROGRAM CLOSED PARTICIPANT RECORDS (I** **EVT+7**

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,

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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

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 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

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

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

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

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

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**

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**

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**

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**

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**

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**

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:

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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

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

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

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

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

00147000. SOCIAL SECURITY ADMINISTRATION SECTION 218 AGREEMENTS/MODIFICA P

Wisconsin record of the Social Security Section 218 Agreement and Modifications between the Federal Social Security Administration, the State of Wisconsin and Wisconsin Public Employers. The originals are kept by the Social Security Administration after executed and a signed copy is sent to ETF (also considered an original). These documents are a historical record of when governmental employers

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were enrolled in the federal social security program. ETF serves as the SSA liaison with over 2,400 public Wisconsin entities. As new public entities join the WRS, they must also join the Social Security program for their employees which results in Modifications being executed to add them to the program on an annual basis.

Retention: The documents must be retained permanently. The SSA related documents must be kept permanently per: SL 10001.130 (4.) - Maintain Section 218 related records. It is the responsibility of the state administrator to maintain Section 218 records permanently and securely. Destruction of original records is not authorized. In order to meet the records retention requirements, the state administrator shall: "Maintain the State's original hardcopy file of all Section 218 related coverage information, including the State's Section 218 Agreement, modifications, dissolutions, intrastate agreements, and all associated correspondence in a secure environment that should be both waterproof and fireproof; *Consider implementing a redundant system to backup hardcopy files (example, an electronic database of scanned files); *Routinely back up electronic files, and the backup files should be stored in a separate and secure location away from the originals; and *Routinely evaluate electronic and hardcopy files to insure the integrity of the documents. <https://secure.ssa.gov/apps10/poms.nsf/inx/1910002230>

Responsible Division - Retirement Services

RETENTION: Permanent

00153000. **DOMESTIC PARTNER SYSTEM**

P

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

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

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

00159000. **BPS - BUSINESS DATASETS**

EVT

The datasets include information that was keyed into or uploaded from DB2 database tables, report information, program extract information, and data entered.

The data includes information in the categories of:

- Account Receivable Data
- Accrual Amount
- Additional Participation
- Annuity Fund Source
- Adjustment type
- Adjustment data

RDA #	RDA Title	Retention	Disposition	PII
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- Bank Account Number
- Bank Account Type
- Bank Name
- Benefit Account Type
- Change Reasons, Indicators, Details, etc.
- Codes and Code Descriptions
- Core Participation
- Death Date
- Deductions
- Distribution Type
- Effective Date
- Fund Source
- Gender
- Health Insurance Participation
- ICI Participation
- ID Verification Codes
- Life Insurance Participation
- Mailer to Member
- Member Address
- Member DOB
- Member ID
- Member SSN
- Monthly Amount
- Other Member Demographic Data
- Party Descriptions
- Payment Method
- Payment Option
- Privacy Indicator
- Retirement Calculations (Estimate/Final)
- Service
- Snapshots of Principal Data
- Tax Data (e.g. Withholding and 1099R)
- Tax Deferred Participation
- Timestamps
- Variable Participation
- Voucher Information
- WISMART Data
- Workflow

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Superseded) and destroy confidential

00159A00. **BPS - GENERATION DATA GROUPS**

EVT

Listed below are the Generation Data Groups (GDGs) related to BPS. The retention of these datasets is determined by the number of generations defined for the GDG, and also by the management class assigned by the job that creates the file. (If the GDG has a maximum of 10 generations, then only 10 will be saved. If the job creates the file with a management class of three months, then the file will be kept for only three months, even though the maximum number of generations has not been reached.)

Below are the datasets with the number of generations kept and the approximate timeframe each is kept. (See hard copy)

Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

RETENTION: EVENT (Number of generations listed or 2 years) and destroy confidential

00159B00. **BPS APPLICATIONS, JCL'S, AND PROGRAMS**

EVT

Applications, JCLs and programs (Java and COBOL) access these generation data group files to use them as input, and they also create new generations of these datasets.

Includes input, updated, & inquiry screens.

An inventory of these applications is not included in this RDA, because the focus of the RDA is on the files that are kept (and how long they are kept), not on the applications that use or create them.

Java Applications - Retain all versions

Mainframe components:

JCL and COBOL programs are managed by ChangeMan. ChangeMan maintains 999 changes of each JCL or program change.

The code is always available, and ETF has the history of what the code was at any point in time. Code is checked in and out and is tagged with a release identifier. Should there be a need, ETF can identify through the use of the Release Identifier what the "source code" was at a given point of time. Since the code is never thrown away, the loss prevention threat is minimal.

RDA #	RDA Title	Retention	Disposition	PII
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Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

RETENTION: Permanent (Java Applications)

RETENTION: EVENT (Timeframe listed) and destroy confidential (JCL and COBOL program)

00159C00. **BPS - PRINT PROGRAM INPUT/OUTPUT** **EVT**

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

Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

RETENTION: EVENT (Minimum of 10 generations) and delete

00159D00. **BPS REPORTS** **CR+4**

Reports are generated from bps on a daily or monthly basis. Examples include:

- * 62.13 Billing Report Deaths and Named Survivors (Monthly)
- * 62.13 Billing Report-Detail/Summary Report by Employer (Monthly)
- * 69A Annuity Payments Total Transmittal Form - Detail Voucher Reports Accounts on Estimate Which Have Variable Opt-Out (Monthly)
- * Accounts Receivable Deductions Report - WISMART A/R CodeSort Order (Monthly)
- * Accounts Receivable Recoveries (Monthly)
- * Annuitants with Health Insurance and expiring fund sources (Daily)
- * Audit Report (Daily)
- * BPS Finalized Annuities for the Month and Year for Retirement, 40.63 Disability, 40.63(4) Disability, Rollover (WEBS Closure): Active and Pends (Monthly)
- * BPS Finalized Annuities for the Month and Year for Retirement, 40.63 Disability, 40.63(4) Disability, Rollover (WEBS Closure): Cancelled, Terminated, etc. (Monthly)
- * Board Report: Annuitant County by Location (Monthly)
- * Board Report: Beneficiaries Paid for First Time (Monthly)
- * Board Report: Beneficiary Terms and Cancels (Monthly)
- * Board Report: Count BY Account and Recipient Type (Monthly)
- * Board Report: Creditable Service (Monthly)
- * Board Report: Member Account Count (Monthly)
- * Board Report: Ret Paid for First Time (Monthly)
- * Board Report: Ret Terms and Cancels (Monthly)
- * Child Support Deduction Report(S) (out of state) (Monthly)
- * Daily Reconciliation Change Report (Daily)
- * Daily Voucher Report (Daily)
- * Daily WisMart Upload Document Report (Daily)
- * Deduction Adjustments Entered during Payroll Period (Monthly)
- * Deduction Report - Child Support, In/Out of State (Monthly)
- * Deduction Report - Other (Monthly)
- * Direct Deposit Reversal Report (Daily)
- * Guaranteed Beneficiary and Annuity Certain Accounts to Check End Month for Partial Payment Report (Monthly)
- * Health Insurance Deduction Coverage Report: Detailed Carrier List (Monthly)
- * Health Insurance Deduction Coverage Report: State/Local (Monthly)
- * Income Review Addresses - without deaths (Monthly)
- * New Accounts Receivable Report (Monthly)
- * New Annuities with option code of 40 & 41 (Monthly)
- * Payment Inquiry (Daily)
- * Produce Daily New Accounts Receivable -TFES Version (Daily)
- * PSO Deductions Report (Monthly)
- * State Tax Levy Report (Monthly)
- * Stop Payment to Recover (Daily)
- * Stop Payment to Reissue (Daily)
- * Terminated, Suspended, and Cancelled Accounts (Monthly)
- * Tickler Reports - Disability (Monthly)
- * Vendor PSO Deductions Report (Monthly)

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Current year) + 4 years (retain current year plus 4 back fiscal years) and destroy confidential

00159E00. **1099R YEAR END FILE** **CR+14**

A copy of the year end 1099R file is retained for tax purposes and to provide duplicate copies as requested by retirees. Whenever a 1099R file (for annuitants or for lump sum payments) is sent to the IRS, a copy of the file is downloaded and saved in H:\ADB\Production Support \Tax Files Sent.

File name = ETFWEBSB.TR162A05.IRSRTRN.FILING(+1)

14 generations are kept on the H: drive.

RDA #	RDA Title	Retention	Disposition	PII
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Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Creation) + 14 years and destroy confidential

00159F00. **1099R CORRECTION FILE BY YEAR** **CR+14**

A copy of corrected 1099R's is retained by year for tax purposes and to provide duplicate copies as requested by retirees.

File name = ETFWEBSP.TR162A05.IRSRTRN.CORRECTN(+1)

14 generations are kept on the H: drive.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Creation) + 14 years and destroy confidential

00159G00. **BPS BENEFIT STATEMENT MAILER** **CR+4**

Each monthly payroll cycle also generates benefit statement mailers to retirees if their amounts or deductions change from the previous month.

File names = ETFWEBSP.TR162E01.AFPMAILR.EXTRACT - Regular mailers. ETFWEBSP.TR162E12.AFPMAILR.EXTRACT - Duty Disability mailers.

48 generations are retained for both or about 4 years.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Creation) + 4 years and destroy confidential

00159H00. **BPS INPUTS/INGESTS** **EVT**

See hard copy for description.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Retain for number of generations listed below each ingest and destroy confidential) and destroy confidential

00159I00. **BPS OUTPUTS/EXTRACTS** **EVT**

Contains the following programs that output or extract data from BPS. Some of these are sent to our third party administrators, US Bank or Milwaukee schools as they identify new annuitants, provide premiums collected, identify deaths, etc.

- TR152WRE - WisMart Receivables File Extract (Daily) - 30 GENS ETFWEBSP.BPS.WISMART.RCVBLEXT
- TR152E02 - Check Extract - this file is sent to DOA for check printing. Nothing is saved here - check writing is saved in the ingest step above.
- TR152E05 - Direct Deposit Extract (Domestic and International)
 - ETFWEBSP.WRS.ACH.MILW (regular monthly - 24 GENS 2 YRS
 - ETFWEBSP.WRS.IACH.MILW (international-monthly) - 24 GENS 2 YRS
- TR152E09 - Milwaukee Teachers Health Extract
 - ETFWEBSP.TR162E09.BPS.MPSHLTH - 30 GENS 2 YRS
- TR152E10 - Milwaukee Teachers Life Extract
 - ETFWEBSP.TR162E10.BPS.MPSLIFE - 30 GENS 2 YRS
- TR152E15 - Vision Care Extract
 - ETFWEBSP.VISION.CARE.BKUP - 30 GENS 2 YRS

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

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

00159J00. **BPS USER INTERFACE PAGES** **EVT**

User Interface Pages - This is the list of BPS application pages included in the User Interface. These pages allow data input for all areas of BPS.

Maintain Benefit Account - This page is the main location to add or update information related to a Benefit account. It is broken into sections based on the area of the Benefit Account.

Maintain Employment History - This page allows editing of the annuitant's employment history.

Maintain Account Information - This page allows editing of the annuitant's high level account information.

RDA #	RDA Title	Retention	Disposition	PII
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Maintain Fund Source Information - This page allows editing of the annuitant's fund source information.

Maintain Payment Method Information - This page allows editing of the annuitant's payment method information.

Maintain Tax Withholding Deduction Information - This page allows editing of the annuitant's tax withholding deduction amount information.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Superseded or obsolete) and destroy

00160000. **CONTACT CENTER ANYWHERE (CCA) SYSTEM REPORTS AND STATISTICAL** **CR+3**

The CallCenterAnywhere (CCA) System Reports and Statistical data are used within the Company configurations for ETF's Main Line and Employer Line. The Company configurations are Division of Retirement Services - Call Mgt Section & Employer Services and Division of Insurance Services - Insurance Administration Bureau.

CCA Reports and Statistical Data contains two different types of data:

1. Call Detail Records including logs, network logs, schedules and reports, and
2. Agent Activity Data including access and use by agents.

The data is used by the Section and Bureau noted above for access and activity tracking and historical and work planning purposes.

ETF uses the IT Business Records GRS, specifically IT000023, Operational and Other Automated Logs (until no longer needed) and IT000026, Application Access Logs (1 year from creation) for the record series while the data is retained on the Enterprise CCA System. This RDA is for the data archived to a separate data storage and report environment, which is needed longer than the logs in the IT GRS.

Retention - Retain 3 years after created and destroy confidential.

Responsible Divisions - Retirement Services and Management Services.

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

00160A00. **CONTACT CENTER ANYWHERE (CCA) CALL RECORDINGS** **CR+0/1**

The CallCenterAnywhere (CCA) System records call conversations between the customer and ETF's agents. This information is retained within a given interaction and retained on the Enterprise CCA System Database for 30 days.

Note: Some call recordings may be downloaded by Supervisors and Managers and retained in a separate file on ETF's server indefinitely for the purposes of support documentation if/when it is required.

Retention - Retain 30 days after created and destroy confidential.

Responsible Divisions - Retirement Services and Management Services

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

00161000. **VPS - BUSINESS DATASETS** **EVT**

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**

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
 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**

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**

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, stafanie.pauls@etf.wi.gov

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

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

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

RDA #	RDA Title	Retention	Disposition	PII
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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**

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**

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

00162000. **ACSL - BUSINESS DATASETS** **EVT**

The datasets include information that was keyed into or uploaded from DB2 database tables, report information, program extract information, and data entered.

The data includes information in the categories of:

Participant information (Name, SSN, Gender Date of Birth, Member ID).

Spouse's Name, SSN, DOB, & ETF Member ID

Dependents' Names SSN's, DOB's & ETF Member ID

Participant and/or spouse date of death (if applicable)

Employer Name

Employer Number

Employment Begin Date

Account Status and Status Date

Seniority Date and Termination Date

Termination Date

Termination Reason (ex: R for Retirement)

Group Number

Relationship

Sick Leave Certificates

Sick Leave Accounts

Sick Leave Current Account Balances (ASLCC versus SHICC)

Current Account Balance

Health Plan Carrier

Coverage Type

Balance upon Certification (Original Balances ASLCC versus SHICC)

Transaction History (premium amount; sick leave association (transfer/split/combine))

Account Mailers

Account Status History

Year Account Summary (Calendar year starting balance versus Premiums Collected and Remaining Balance).

In addition, data is pulled from the myETFBenefits (MEBS) database from the Health Insurance application which is referenced in processing member sick leave payment of premiums.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Superseded) and destroy confidential

00162A00. **ACSL - DATABASE TABLES** **EVT**

Below is a list of the AcSL database tables:

TBL_SLC_ACCT
 TBL_SLC_ACCT_ASSOC
 TBL_SLC_ACCT_ST
 TBL_SLC_ACCT_TRANS
 TBL_SLC_ANN_STMT
 TBL_SLC_CERT
 TBL_SLC_CHNV_EXCP
 TBL_SLC_INV_BATCH
 TBL_SLC_MLR_RQST
 TBL_SLC_MLR_TEXT
 TBL_SLC_SYS_ASSR
 TBL_CD_SHICC_CNV

AcSL tables are backed up once before batch jobs are run and after the batch jobs are run. These back ups are kept for 14 iterations then purged. Image copies of these tables are made twice weekly. The image copies are saved for 2 months and then purged.

AcSL uses web service calls to other tables in other systems to pull information back to AcSL. Below is a list of tables where this occurs. The retention of these tables is governed by the RDA for those systems.

TBL_CD_SLC_CERT_ST
 TBL_CD_SLC_CERT_RSN
 TBL_CD_TERM_RSN
 TBL_CD_SLC_ASSOC
 TBL_CD_SLC_MLR_TRP
 TBL_CD_SLC_ACCT_ST
 TBL_CD_SLC_SYS_ERR
 TBL_CD_SLC_TRN_ST
 TBL_CD_SLC_TRN_RSN

RDA #	RDA Title	Retention	Disposition	PII
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There are also 8 MEBS HI and 8 Sprint batch tables which are logs that are updated when AcSL runs it's batch jobs. The TBL_DEMO_PTY and TBL_DEMO_ADDR tables in BPS are also used as references.

Applications, JCLs and Programs (Java and COBOL) access these generation data group files to use them as input, and they also create new generations of these datasets.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (14 iterations) and destroy confidential
Image copies are saved for 2 months and then purged.

00162B00. **ACSL - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES** **EVT**

All print programs temporary output PDF files that are deleted after printing. AcSL creates PDF files that are stored within the application and are retained per 00162D.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Printing) and destroy

00162C00. **ACSL - ANNUAL STATEMENTS & CERTIFICATIONS** **P**

File created annually to print PDF statements for all members who have balances on the AcSL file. Statements show their ending balance for the year and are mailed out to member's home addresses. The PDF's files/statements are retained permanently within the application.

Reprinted/amended statements are produced from the application.

Includes the following forms:

ET-4561 Sick Leave Depletion Letter
ET-4562 Sick Leave Statement (Active Accounts)
ET-4563 Sick Leave Credit Certification
ET-5511 Sick Leave Statement (Escrow Accounts)
ET-5512 Sick Leave Statement (Accounts on Hold)

A temporary PDF print file is created and sent for printing. Once printed the file is destroyed.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: Permanent

00162D00. **ACSL - ACTUARY REPORT** **P**

File and report created to be used as part of the Actuary process. The file is created in AcSL as a text file and is automatically sent to a directory where all other actuary files are kept. AcSL will then architect the Actuarial Report with a year parameter when the batch job is run to create the file and report. The report is generated in a PDF file and saved within the application so it can be recreated whenever needed.

File used to create report is:
AcSL-Actuarial-Extract-<year>.dat

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: Permanent

00162E00. **ACSL - HEALTH INSURANCE PREMIUM DEDUCTION LOAD** **P**

AcSL loads Health Insurance premium deductions each month by running a batch job that executes Web Service calls to MEBs to V_HI_GROSS_PREM. This is a view that AcSL reads from.

The premium deduction amount that is retrieved from V_HI_GROSS_PREM is the amount that is deducted from the member's health insurance account per the given month.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: Permanent

00162F00. **ACSL - USER INTERFACE PAGES** **EVT**

User Interface Pages - This is the list of AcSL application pages included in the User Interface. These pages allow data input for all areas of AcSL.

AcSL Dashboard Member Search - This page allows a user to search for a member or to view Submitted Certifications, Submitted Certifications that are waiting for Retirement or Disability applications, accounts with Missing Health Contracts, Unapplied Insurance

RDA #	RDA Title	Retention	Disposition	PII
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Transactions, Depleting Accounts or Accounts that are waiting corrections from the upcoming monthly myETF Benefits (MEBS) invoice load.

Member Information Overview - This page allows a user to view Employee/Member Information, Start a new Certification, View Account, View Health Plan where the member is a subscriber, view health plans where the member is a dependent, and review pending transactions.

Accounts Detail Page - Allows a user to view member demographic data, view Owner data for the account, view Sick Leave Account Balances (Original and Current and ASLCC and SHICC, Update Account status, View Account status History, view subscriber information, dependent information, link to related accounts and view Transaction History.

Transaction History Page - Allows a user to view Member Demographic data, sick Leave Account Balances (Original versus Current - ASLCC vs SHICC), view Year Account Summary, make Original Balance Adjustments, and Adjustments to deductions and refunds.

Reports Page - allows a user to generate the following reports:

Sick Leave Account Transfers Summary, Sick Leave System Assurance Summary, Depleted Sick Leave Accounts Report, Batch Reconciliation Report, Rejected Transaction Report, Unapplied Transaction Report

System Properties Page - Allows a System Administrator to set various System properties, such as Deduction Year, Annual Statement Year, E-mail addresses for e-mail shouts.

System Tasks Page - Allows a system administrator to generate batch letters that are needed for printing if not automatically generated.

Accumulated Sick Leave Conversion Form - Allows a user to start an employee certification.

Accumulated Sick Leave Certification - Allows a user to enter a termination date and reason for an employee and proceed to entering sick leave balances for the employee

Accumulated Sick Leave Certification - Allows a user to certify beginning sick leave account balances or amend a cert.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Superseded or obsolete) and destroy

00162G00.**ACSL - MONTHLY REPORTS****P**

All AcSL Reconciliation and System Assurance reports are generated using a User Interface that makes the reports viewable within the system using a PDF document that can be printed on demand by a user.

Reconciliation Report - Shows the Health Care Providers Invoice Totals that were invoiced versus what was deducted from members account's in AcSL, and also shows what was unable to be applied, and transactions that were rejected. The report also shows what portion of the Invoice that was able to applied was applied to the ASLCC account balances and what was applied to the SHICC balances.

Unapplied Transaction Report - provides a list of all incoming invoice transactions by Individual Name and Carrier of the health insurance transactions that were not applied to an individual's account during a given coverage month's processing.

Sick Leave Account Transfer Report - History of Legacy ASLCC Conversion statistics of what was imported from the Legacy (ASLCC) System to start the new AcSL System.

Rejected Transaction Batch Report - gives a list by individual insured and Carrier of the health insurance transactions that were rejected during a given coverage month's processing.

Sick Leave System Assurance Report - gives a list of unbalanced accounts, accounts with multiple most recent transactions, accounts with multiple statuses and accounts that are in status other than closed where the account holder is no longer living.

Depleted Account Report - gives a list of all accounts depleted during a given month and the transfer option the insured choose as their account was depleted.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: Permanent

00163000.**ONE - BUSINESS DATASETS****EVT**

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

RDA #	RDA Title	Retention	Disposition	PII
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5. Grand total for all employment categories (Hours, Earnings by fiscal year and calendar year; employee paid EERC and BAC; additional contribution for employee core and variable; additional contribution for employer core and variable)
6. Employment category
7. Social Security number
8. Last name, first name, middle initial
9. Date of Birth
10. Address
11. Gender
12. Action code
13. Action Date
14. Fiscal year hours and earnings
15. Calendar year hours and earnings
16. Employee paid EERC and BAC
17. Employee additional contributions for core and variable
18. Employer additional contributions for core and variable
19. Statement of Benefits Distribution code
20. WRS participation begin date
21. Employment category
22. Report date

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

myETF Benefits

1. Employer Number
2. Employer name
3. Employer Group Number
4. Social Security number
5. Last name, first name, middle initial
6. Date of Birth
7. Address
8. Gender
9. Health plan
10. Coverage Level
11. Dependent Demographic Information
12. Enrollment Reason
13. Hire Date
14. Event Date
15. Begin Date
16. End Date
17. Request Date
18. Physician Information
19. Other Insurance Information
20. Monthly Premium

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

RETENTION: EVENT (Information superseded or account information is moved to another system) and destroy confidential

00163A00.

ONE - EMPLOYER REMITTANCE TABLES

CR+7

This component of the application allows employers to enter data that summarizes the earnings of employees for a given month/year, and the related contributions to be paid by the employer via ACH.

a. This component inserts rows to TBL_INTERNET-TRANS. During nightly batch processing, job TR161ODC unloads the rows from this table and merges them with the other transaction records for nightly processing. Job TR161P02 selects these records and uses program TR651P00 to process the transactions. All transactions are saved to a year specific backup file, such as ETFWEBS.PTRANS.Y2013.BKUP(+1) for 7 years.

b. This component also inserts rows to TBL_ER_IVR_REMIT which keeps track of when the employer requested that a fund transfer will occur. Every night, program TR651P04 (part of job TR161P30) checks the table to see which employers have requested fund transfers for the next day. For each situation found, the program creates an ACH transaction to be transmitted to the U.S. Bank. Rows remain indefinitely.

Prior to 2011, these files were kept as generation data groups for 2 years. Now the final backup file is kept 7 years.

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

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

00163B00.

ONE - EMPLOYER TRANSACTION UPLOAD

CR+7

This component allows employers to enter employee transactions (enrollments, terminations) corrections, etc.) which will be used by nightly batch processors to update individual participant accounts.

a. This component inserts rows to TBL_INTERNET_TRANS with an employee transaction type (between P000 and P089). During nightly batch processing, job TR161ODV unloads the rows from this table and merges them with other transactions for processing. All transactions are saved on a year specific backup file, such as ETFWEBS.PTRANS.Y2013.BKUP(+1) for 7 years. Certain jobs select certain transaction types and use their specific programs to update participant accounts.

For example:

Job TR161P15 uses Program TR631P36 to update all termination related transactions to participant accounts.

Job TR161P16 uses Program TR631P17 to update all correction related transactions to participant accounts.

Job TR161P17 uses Program TR631P05 to update annual detail without earnings transactions to participant accounts.

Job TR161P18 uses Program TR631P06 to update annual detail with earnings transactions to participant accounts.

Job TR161P19 uses Program TR631P32 to update all enrollment related transactions to participant accounts.

Job TR161P20 uses Program TR631P30 to update all indicative data changes related transactions to participant accounts.

Prior to 2011, these files were kept as generation data groups for 2 years. Now the final backup file is kept 7 years.

Applications, JCLs and Programs (Java and COBOL) access these generation data group files to use them as input, and they also create new generations of these datasets.

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

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

00163C00. **ONE - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES** **EVT**

All Print program input/output temporary files - retention varies from 10 to 100 generations and are then deleted. Employers also have the ability to extract and print information for their employees. Those are retained by employers as needed and we do not maintain a record for those.

Examples include:

Suspended Transactions Print Process

Employer Folder Mailing Labels

Employer Mailing Labels Extract

Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

RETENTION: EVENT (Minimum of 10 generations) and delete

00163D00. **ONE - USER INTERFACES** **EVT**

The One main menu contains the following employer user interfaces. This includes just the interfaces used by employers to submit the data which is stored in other systems.

Account Maintenance

- Reset password - allows employers to reset their password

- Email Contact Information Update - allows employer to have a secure view of the current employer contact information and the ability to update the information.

- Security Agreement, ET-8928 - allows new employers to get the security agreement form.

Applications

- WRS Rates Display - allows employers to view annuity rates.

- Local Employer Projected Unfunded Actuarial Accrued Liability (UAAL) Calculator - this is a two-part application that a) allows employers to view their unfunded actuarial accrued liability; and b) allows employers to view current and future employer contribution rates.

- GASB Financial Disclosure Footnote - allows employers to view the GASB Financial Disclosure Footnote.

- Previous Service and Benefit Inquiry - allows employers to view historical information regarding their employees WRS participation online. Assists in determining insurance program eligibility, WRS eligibility status and calculating supplemental sick leave credits (state agencies only).

- WRS Account Update - provides employer with the ability to securely transmit account updates to ETF. The application includes WRS enrollments, descriptive data changes, and employee transactions.

- WRS Contribution Remittance Entry - allows employers to transmit WRS Monthly Retirement Remittance Reports (ET-1515) to ETF and make payment through the banking ACH process.

- WRS Transaction Upload - allows employers to upload and submit WRS reports to ETF.

- WRS Earning Reports (On-going) - allows employers to view the WRS transactions for open years. The application consists of eight reports including: Employee Transaction Detail, Remittance Reports by Month, Suspend Employee Transactions, Active Employee Listing Selection (Pre-list), Listing of Over/Under Entries, Listing of Active Employees with No Reported Earnings, Earning/Contribution

Reconciliation, and Late Reported Earnings.

- WRS Earnings Reconciliation Reports (Final) - allows employers to view the WRS Annual Reconciliation Reports. The application consists of nine reports including: Employee Transaction Detail, Suspended Employee Transactions, Employer Contribution Summary, Remittance Reports by Month, Listing of Over/Under Entries, Unfunded Actuarial Accrued Liability Statement, Earning/Contribution Reconciliation, Contract Settlement, and Late Reported Earnings.

- myETFBenefits - the myETFBenefits Administrator application for employers allows employers to execute benefits transactions. These include, but are not limited to, viewing and updating individual member health insurance eligibility and demographic data, completing mass employee terminations, adding and deleting a dependent or domestic partner and updating health insurance enrollment data and personal contact information.

Contribution Rates for the "previous calendar year" and the "current calendar year" are displayed (currently displays Contribution Rates for 2013 and 2014).

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

RETENTION: EVENT (Superseded or obsolete) and destroy

00163E00.**ONE - EXTRACTS AND VIEWS****EVT**

List of extracts and views of data from other systems that employers can request. The *d programs may create files but if so, they are non-cumulative files in the execution of a single job. These are temporary and the actual data is retained in the files listed under 00163A. The other requests are available to employers to extract and view data but ETF does not retain or keep any of these requests.

Annual Prelist Extract (TR161A000)
 Late Reported Earnings Extract (TR161E26)
 Weekly Extract of Military with Term Dates (TR161E36)
 NCOA Extract for TBL_ER_EMPR (TR161E71) *
 Domestic Partner Appl Acknowledgement Extract (TR161E74) *
 Domestic Partner Term Acknowledgement Extract (TR161E75) *
 Reproduce Beneficiary Correspondence (TR161R05)
 Requestable Prelist Extract (TR161R20)
 Research Active Death Reported By Employers (TR161E90)
 Update Employer Address Data With NCOA Input (TR161P71) *
 Creditable Service By Employer (TR161R11) *

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

myETF Benefits Employer Health Insurance Premium Inquiry
 myETF Benefits Health Insurance Enrollment Inquiry
 myETF Benefits Health Insurance Dependent Inquiry
 myETF Benefits Health Insurance Address Inquiry
 myETF Benefits Health Insurance Invoice Summary
 myETF Benefits Health Insurance Invoice Detail
 myETF Benefits Health Insurance Invoice Contract Activity

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

RETENTION: Not retained

00163F00.**ONE - WRS EARNINGS REPORTS (ON-GOING)****CR+5**

These reports are used by employers to pre-reconcile their annual report and to identify and resolve variances.

Employee Transaction Detail - this report provides a detailed transaction listing by individual employee. It shows the earnings, service, and contributions that were loaded by employment category for each employee. This report will allow the employer to verify all earning amounts reported to ETF on transactions throughout the year. Current as of the previous night.

Remittance Reports by Month - This is the monthly log of the earnings reported by contribution category, and additional contributions reported to ETF for the year selected. This report will allow employers to see all remittance reports and totals of earnings, by category, on file with ETF. Current as of the previous night.

Suspended Employee Transactions - This report provides a list of all WRS employer transactions that have not loaded. This report allows employers to see the error type that caused their transaction not to load. Current as of the previous night.

Active Employee Listing Selection (Pre-Lists) (3 Selections) - Contains 3 reports which includes: Active Employee Listing; End of the Year Active Employee List; and Late-Reported Contract Settlement. The first one is a listing of all employees enrolled for that employer. The second one is a report of all actively employed employees for that employer according to our records. The third one allows the employer to select the employment category and the reporting year for a late reported contract settlement. All are current as of the previous night.

WRS Listing of Over/Under Entries - This report provides a listing of over/under related transactions that were processed during the past year and up through the previous night. If the balance is positive, an employer owes ETF contributions.

Listing of Active Employees With No Reported Earnings - This report will display this listing only after an employer submits their annual report to ETF and will show any active employees with no reported earnings.

Earning/Contribution Reconciliation - This report will display the totals and difference between the earnings from all employee transactions by contributions category and earnings from the employer monthly remittance reports by contributions category for the selected year. This report assists in the reconciliation process.

Late Reported Earnings - This report allows employers to view all Late Reported Earnings corrections completed during the year selected.

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

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

00163G00. **ONE - WRS EARNINGS RECONCILIATION REPORTS** **CR+5**

Nine reports make up the Post-Reconciliation Packet for Employers to identify and resolve annual reconciliation variances.

Employee Transaction Detail - This report provides access to employer post-reconciliation information found in the EE985 Report (Employer Annual Reconciliation Employee Transactions) and the EE987 Report (Employer Annual Reconciliation Additional Contributions). Includes a detail listing by individual employee. Shows earnings, service and contributions that were loaded by category for each employee. On an annual basis and after Post and Roll processing is done, the employer reconciliation data for that year becomes static data and no additional changes to that data are allowed. For example, in 2014 employers can report 2014 termination data and their 2013 year end transactions. Once post and roll occurs in March of April of 2014, report year 2013 is closed and no other transactions can be reported for 2013. If there are any late reported earnings or contributions at a later date, they will be reported for the report year they are reported in.

Suspended Employee Transactions - This report provides access to information found on the EE002 Report (Suspended Transactions - Reconciliation). Includes a list of the employer's transactions and the error type for those that have not loaded as of the previous night. Transactions on the list may span multiple years.

Employer Contribution Summary - This report provides access to employer post-reconciliation information found in the ER032 Report (Employer Annual Contribution Statement). Includes an at a glance breakdown by category of what an employer reported in earnings, the associated rate components, and contributions for the year selected. Employers use this information when preparing their GASB reports. On an annual basis and after Post and Roll processing is done, the employer reconciliation data for that year becomes static data and no additional changes to that data are allowed.

Remittance Reports by Month - This report provides access to employer post-reconciliation information found on the ER314 Report (Contribution System Totals). Includes a log of the earnings by employment category, and additional contributions reported monthly to ETF, as well as any supplemental payments the employer made. Employers use the report to help them resolve reconciliation variances, and when preparing their GASB reports. On an annual basis and after Post and Roll processing is done, the employer reconciliation data for that year becomes static data and no additional changes to that data are allowed.

WRS Listing of Over/Under Entries - This report provides access to employer post-reconciliation information related to over/under transactions. Includes a listing of over/under related transactions that were processed during the past year and up through the previous night that the report is produced. The report identifies each time there were contribution variances, late fees were assessed, adjustments were made by the Controller's Office, payments were received for previous charges, or a credit was taken.

Unfunded Actuarial Accrued Liability Statement - This report provides access to employer post-reconciliation information found on page two of the ER032 Report (Employer Annual Contribution Statement). Provides employers who have an unfunded liability balance a summary of transactions that were processed during the reconciliation year. On an annual basis and after Post and Roll processing is done, the employer reconciliation data for that year becomes static data and no additional changes to that data are allowed.

Earning/Contribution Reconciliation - This report will display the totals and differences between the earnings from all employee transactions by contributions category and earnings from the employer monthly remittance reports by contributions category for the selected year. This report assists in the reconciliation process.

Contract Settlement - This report allows employers to view a pre-populated spreadsheet that can be used for submitting a Late Reported Earnings file via the Transaction Upload application.

Late Reported Earnings - This report allows employers to view all Late Reported Earnings corrections completed during the year selected.

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

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

00164000. **LSPS - BUSINESS DATASETS** **EVT**

The datasets include information that was keyed into or uploaded from DB2 database tables, report information, program extract information, and data entered. The data includes information in the categories of:

Account Receivable Data

RDA #	RDA Title	Retention	Disposition	PII
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Accrual Amount
 Additional Participation
 Adjustment type
 Adjustment data
 Bank Account Data
 Beneficiary data
 Benefit Account Relationship
 Benefit Calculation Worksheets
 Change history
 Codes and Code Descriptions
 Core and/or Variable Participation
 Death Date
 Deductions
 Demographics (shared with BPS)
 Distribution Type
 Effective Date
 Fund Source
 Lost Contact Date
 Lump Sum Benefit Account Type
 Lump Sum Payment Recovery
 Lump Sum Rollover
 Mailer to Member
 Payment Data
 Payment Method
 Payment Option
 Reconciliation
 Service
 Snapshots of WEBS & BPS Data
 System Administration
 Tax Data (e.g. withholding and 1099R)
 Tax Deferred Participation
 Timestamps
 Voucher Information
 Webs Plan Type & Plan Occurrence
 WISMART Data

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Superseded) and destroy confidential

00164A00.

LSPS - GENERATION DATA GROUPS

EVT

Listed below are the generation data groups (GDGs) related to LSPS. The retention of these datasets is determined by the number of generations defined for the GDG, and also by the management class assigned by the job that creates the file. (If the GDG has a maximum of 10 generations, then only 10 will be saved. If the job creates the file with a management class of three months, then the file will be kept for only three months, even though the maximum number of generations has not been reached).

Below are the datasets with the number of generations kept and the approximate timeframe each is kept

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

Note:LSPSLOGS GDGS are no longer being used effective the summer of 2012 since moving batch processing ZLinux. A list of LSPS GDGs are in: <https://wikid:8443/browse/BPS-739>

TR163E62 each retained 30 generations:
 ETFWEBS.TR163E62.AFP1099.ARCH.YR10(+1)
 ETFWEBS.TR163E62.AFP1099.ARCH.YR11(+1)
 ETFWEBS.TR163E62.AFP1099.ARCH.YR12(+1)
 ETFWEBS.TR163E62.AFP1099.ARCH.YR13(+1)
 ETFWEBS.TR163E62.AFP1099.ARCH.YR14(+1)

ETFWEBS.TR163E01.AFPPAYRL.EXTRACT(+1) 52 generations (TR163E01)

LSPSAFP1099ReprintExtract:
 ETFWEBS.TR163E62.AFP1099.ARCH.YR10(+1) 30 generations(TR163F62)

LSPSCheckIngest(TR153P09)

RDA #	RDA Title	Retention	Disposition	PII
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LSPSCheckIngestConvertor:
DOACHEXP.AD328.AD32863H.WARRANT.ETF, 52 generations (TR163P08)
NOTE: Also listed in Section G.

LSPSCheckExtract: creates Check-Extract.dat (TR153E05)

LSPSCheckExtractConvertor: creates Check-Extract-EBCIDIC.dat, which is then transferred to
ETFWEBSB.TR163E06.LSPS.CHECKS(+1) 30 generations (TR163E06)

LSPSIRSReturnFiling: ETFWEBSB.TR163A01.IRSRTRN.FILING(+1) 30 generations (TR163A01)
Note: This job will no longer created the GDG's. Once the extract files (.dat files) have been copied manually to: H:\ADB\Production
Support\Tax Files Sent\ LSPS\1099\20120105(YYYYMMDD) subfolder created with batch ran date, an email is sent to BITS indicating
the files have been copied to the location specified and they will upload the .dat files to the IRS site.

Applications, JCLs and Programs (Java and COBOL) access these generation data group files to use them as input, and they also
create new generations of these datasets.

Program Contact: Diane Vultaggio, 608-266-5578, diane.vultaggio@etf.wi.gov

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

00164B00. **LSPS - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES** **EVT**

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

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Minimum of 10 generations) and delete

00164C00. **LSPS - REPORTS** **CY+4**

Reports are generated from LSPS on a weekly/on-demand basis.
Examples include:

- Deduction Report
- Voucher Report
- Voucher Payments Report
- Voucher Receivable Recoveries Report
- Accounts Receivable Document Report
- Pull-to-Recover Report
- Pull-to-Hold Report
- Stop-to-Recover Report
- Stop-to-Reissue Report
- Audit Report
- Child Support Remittance Report

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Current year) + 4 years and destroy confidential (Retail current year plus 4 back fiscal years)

00164D00. **LSPS - 1099R YEAR END FILE** **CR+14**

A copy of the year end 1099R file is retained for tax purposes and to provide duplicate copies as requested by members. Whenever a
1099R file (for annuitants or for lump sum payments) is sent to the IRS, a copy of the file is downloaded and saved in
H:\ADB\Production Support\Tax Files Sent.

File name = ETFWEBSB.TR163A01.IRSRTRN.FILING(+1) 14 generations are kept on the H: drive.
Note - this file is separate and unique from the corresponding BPS file.

Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov

RETENTION: EVENT (Creation) + 14 years and destroy confidential

00164E00. **LSPS - 1099R CORRECTION FILE BY YEAR** **CR+14**

A copy of corrected 1099R's is retained by year for tax purposes and to provide duplicate copies as requested by members.

File name = ETFWEBSB.TR163A05.IRSRTRN.CORRECTN(+1)

14 generations are kept on the H: drive.

Note - this file is separate and unique from the corresponding BPS file.

RDA #	RDA Title	Retention	Disposition	PII
	Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov			
	RETENTION: EVENT (Creation) + 14 years and destroy confidential			
<u>00164F00.</u>	<u>LSPS - CUSTOMER STATEMENT MAILER</u>	<u>CR+4</u>		
	Each weekly payroll cycle also generates customer statement mailer to payees with details of the gross & net amounts and deductions.			
	File names - EETFWEBSP.TR163E01.AFPPAYRL.EXTRACT(+1) 52 generations 52 generations are retained or about 4 years.			
	Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov			
	RETENTION: EVENT (Creation) + 4 years and destroy confidential			
<u>00164G00.</u>	<u>LSPS - INPUTS/INGESTS</u>	<u>EVT</u>		
	Contains the following programs that input or ingest data into LSPS:			
	Check Ingest - During payroll processing, a list of all check payments is sent to DOA for printing. Once the checks are physically printed the assigned check number is populated into the original file and sent back to ETF. The check ingest job then populates the check number into the LSPS database.			
	Retain - 52 generations (1 version per week); File name = DOACHEXP.AD328.AD32863H.WARRANT.ETF(0) (TR163P08)			
	NOTE: Also listed in Section A.			
	Check Extract Converter - This is the file received from DOA to load the check numbers to LSPS for the lump sum checks that were sent. TRP163PO8			
	Retain - 4 generations (2 yrs). File name = LSPS.CHKWRTNG - ETFWEBSP.TR163E06.LSPS.CHECKS(+1) 30 generations (TR163E06)			
	Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov			
	RETENTION: EVENT (Number of generations listed below each ingest) and destroy confidential			
<u>00164H00.</u>	<u>LSPS - OUTPUTS/EXTRACTS</u>	<u>EVT</u>		
	Contains the following programs that output or extract data from LSPS.			
	TR153WRE - WISmart Receivables File Extract (Daily) - 30 GENS ETFWEBSP.BPS.WISMART.RCVBLEXT			
	TR153E02 - Check Extract - this file is sent to DOA for check printing. Nothing is saved here - check writing is saved in the ingest step above.			
	Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov			
	RETENTION: EVENT (Number of generations listed below each extract) and destroy confidential			
<u>00164I00.</u>	<u>LSPS - USER INTERFACE PAGES</u>	<u>EVT</u>		
	User Interface Pages - This is the list of LSPS application pages included in the User Interface. These pages allow data input for all area of BPS.			
	Maintain Benefit Account - This page is the main location to add or update information related to a Benefit account. It is broken into sections based on the area of the Benefit Account.			
	Maintain Payment Information - This page allows editing of the payment information while it is still pending or entry of payment data for manual calculations.			
	Maintain Tax Withholding Deduction Information - This page allows editing of the tax withholding deduction amount information.			
	Maintain Deduction Information - This page allows editing of the deduction information.			
	Maintain Payment Recovery Information - This page allows the initiation of payment recoveries for already issued payments.			
	Maintain Closure Information - This page allows users to enter closure data for manual calculations.			
	Program Contact: Chris Lindeman, 608-267-9037, chris.lindeman@etf.wi.gov			
	RETENTION: EVENT (Superseded or obsolete) and destroy			
<u>00165000.</u>	<u>RDS - MEMBER RECORDS</u>	<u>EVT+10</u>		
	The member records include information that was uploaded from HICS or MEBS database tables. The records include information in the categories of:			

RDA #	RDA Title	Retention	Disposition	PII
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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**

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**

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**

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**

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**

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**

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**

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**

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**

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**

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**

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

RDA #	RDA Title	Retention	Disposition	PII
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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**

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

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**

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**

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

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: EVENT (Superseded or closed) and destroy confidential

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

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**

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**

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**

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.

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: EVENT (Creation) + 12 month rolling period and destroy confidential

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

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**

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**

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**

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

00168000. **CALLSS - BUSINESS DATASETS** **EVT**

The datasets include information that was uploaded from WEBS and BPS database tables and includes information keyed in.

The data includes information in the categories of:

1. Social Security Number
2. Member ID
3. Comments
4. Full Name (Last, First, Middle Initial)
5. Birthdate
6. Status
7. Daytime Phone

RDA #	RDA Title	Retention	Disposition	PII
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8. Evening Phone
9. Account Type
10. Notifications
11. Communication Start Date
12. Inquiry Subject
13. Status
14. Contact is Participant
15. Relationship
16. Contact Last Name
17. Contact First Name
18. Birthdate
19. Daytime Phone
20. Evening Phone
21. Email Address
22. Contact SSN
23. Personal Street Address
24. Personal City
25. Personal State
26. Personal Zip
27. Personal Country
28. Date Updated
29. Comments
30. Interaction Type
31. Comment
32. Created By
33. Interaction ID
34. Request Type
35. Email Address
36. Participant Address
37. City, State, Zip
38. Foreign Address Indicator
39. Daytime Phone
40. Date Created and Time
41. Workflow Status
42. Printed
43. Rush Indicator
44. Evening Phone

Workflow Jobs Created in Step2000:

45. B151 Retirement Estimate - Comments
46. B151 Retirement Estimate - Termination Date
47. B151 Retirement Estimate - Annuity Effective Date
48. B151 Retirement Estimate - Highest Years of Earnings Year (3 fields)
49. B151 Retirement Estimate - Highest Years of Earnings (3 fields)
50. B151 Retirement Estimate - Highest Years of Earnings Number of Years of Service (3 fields)
51. B151 Retirement Estimate - Highest Years of Earnings CY/FY/Prior Service (3 fields)
52. B151 Retirement Estimate - Printed
53. B151 Retirement Estimate - Name Survivor Last Name
54. B151 Retirement Estimate - Named Survivor First Name
55. B151 Retirement Estimate - No Named Survivor
56. B151 Retirement Estimate - Named Survivor Birthdate
57. B151 Retirement Estimate - Named Survivor Relationship
58. B151 Retirement Estimate - Potential Military Service No Military Service
59. B151 Retirement Estimate - Potential Military Service Will Send Discharge Papers
60. B151 Retirement Estimate - Potential Military Service Form (3 fields)
61. B151 Retirement Estimate - Potential Military Service To (3 fields)
62. B151 Retirement Estimate - Potential Military Service Amt of Service
63. B151 Retirement Estimate - Potential Military Service Discharge Papers On File
64. B151 Retirement Estimate - Type of Account
65. B210 Brochure/Forms Request Forms - Comments
66. B210 Brochure/Forms Request Forms - Printed
67. B153 and B155 Disability Estimate - Comments
68. B153 and B155 Disability Estimate - Termination Date
69. B153 and B155 Disability Estimate - Annuity Effective Date
70. B153 and B155 Disability Estimate - Highest Years of Earnings Year (3 fields)
71. B153 and B155 Disability Estimate - Highest Years of Earnings (3 fields)
72. B153 and B155 Disability Estimate - Highest Years of Earnings Number of Years of Service (3 fields)
73. B153 and B155 Disability Estimate - Highest Years of Earnings CY/FY/Prior Service (3 fields)
74. B153 and B155 Disability Estimate - Printed
75. B153 and B155 Disability Estimate - Named Survivor Last Name
76. B153 and B155 Disability Estimate - Named Survivor First Name
77. B153 and B155 Disability Estimate - No Named Survivor
78. B153 and B155 Disability Estimate - Named Survivor Birthdate
79. B153 and B155 Disability Estimate - Named Survivor Relationship
80. B153 and B155 Disability Estimate - Potential Military Service No Military Service

RDA #	RDA Title	Retention	Disposition	PII
81.	B153 and B155 DISABILITY ESTIMATE - Potential Military Service Will Send Discharge Papers			
82.	B153 and B155 Disability Estimate - Potential Military Service Form (3 fields)			
83.	B153 and B155 Disability Estimate - Potential Military Service To (3 FIELDS)			
84.	B153 and B155 Disability Estimate - Potential Military Service Amt of Service			
85.	B153 and B155 Disability Estimate - Potential Military Service Discharge Papers On File			
86.	B153 and B155 Disability Estimate - Type of Account			
87.	B153 and B155 Disability Estimate - Last Day Worked			
88.	B153 and B155 Disability Estimate - Last Day Paid			
89.	B153 and B155 Disability Estimate - Work Related			
90.	B162 Death of Spouse - Death Information Death Date			
91.	B162 Death of Spouse - Death Information Who Died?			
92.	B162 Death of Spouse - Death Information SSN			
93.	B162 Death of Spouse - Death Information Last Name			
94.	B162 Death of Spouse - Death Information First Name			
95.	B162 Death of Spouse - Follow-Up Contact Last Name			
96.	B162 Death of Spouse - Follow-Up Contact First Name			
97.	B162 Death of Spouse - Follow-Up Contact Legal Type			
98.	B162 Death of Spouse - Follow-Up Contact Family Type			
99.	B162 Death of Spouse - Printed			
100.	B162 Death of Spouse - Comments			
101.	B163 Beneficiary of Death - Original Participant Information SSN			
102.	B163 Beneficiary of Death - Original Participant Information Last Name			
103.	B163 Beneficiary of Death - Original Participant Information First Name			
104.	B163 Beneficiary of Death - Original Participant Information Get Name			
105.	B163 Beneficiary of Death - Original Participant Information Mid Name			
106.	B163 Beneficiary of Death - Death Information Death Date			
107.	B163 Beneficiary of Death - Death Information Who Died?			
108.	B163 Beneficiary of Death - Death Information Last Name			
109.	B163 Beneficiary of Death - Death Information First Name			
110.	B163 Beneficiary of Death - Printed			
111.	B163 Beneficiary of Death - Surviving Spouse Information - Last Name			
112.	B163 Beneficiary of Death - Surviving Spouse Information - First Name			
113.	B163 Beneficiary of Death - Surviving Spouse Information - Birthdate			
114.	B163 Beneficiary of Death - Surviving Spouse Information - SSN of Spouse			
115.	B163 Beneficiary of Death - Surviving Spouse Information - No Surviving Spouse			
116.	B163 Beneficiary of Death - Follow-Up Contact Last Name			
117.	B163 Beneficiary of Death - Follow-Up Contact First Name			
118.	B163 Beneficiary of Death - Follow-Up Contact Legal Type			
119.	B163 Beneficiary of Death - Follow-Up Contact Family Type			
120.	B163 Beneficiary of Death - Follow-Up Contact Comments			
121.	B165 Annuitant Death Estimate - Comments			
122.	B165 Annuitant Death Estimate - Death Information Death Date			
123.	B165 Annuitant Death Estimate - Death Information Who Died?			
124.	B165 Annuitant Death Estimate - Death Information Last Name			
125.	B165 Annuitant Death Estimate - Death Information First Name			
126.	B165 Annuitant Death Estimate - Surviving Spouse Information Last Name			
127.	B165 Annuitant Death Estimate - Surviving Spouse Information First Name			
128.	B165 Annuitant Death Estimate - Surviving Spouse Information Birthdate			
129.	B165 Annuitant Death Estimate - Surviving Spouse Information SSN of Spouse			
130.	B165 Annuitant Death Estimate - Surviving Spouse Information No Surviving Spouse			
131.	B165 Annuitant Death Estimate - Follow-Up Contact Last Name			
132.	B165 Annuitant Death Estimate - Follow-Up Contact First Name			
133.	B165 Annuitant Death Estimate - Follow-Up Contact Legal Type			
134.	B165 Annuitant Death Estimate - Follow-Up Contact Family Type			
135.	B165 Annuitant Death Estimate - Printed			
136.	B166 Non-Annuitant Death Estimate - Comments			
137.	B166 Non-Annuitant Death Estimate - Death Information Death Date			
138.	B166 Non-Annuitant Death Estimate - Death Information Who Died?			
139.	B166 Non-Annuitant Death Estimate - Death Information Last Name			
140.	B166 Non-Annuitant Death Estimate - Death Information First Name			
141.	B166 Non-Annuitant Death Estimate - Surviving Spouse Information Last Name			
142.	B166 Non-Annuitant Death Estimate - Surviving Spouse Information First Name			
143.	B166 Non-Annuitant Death Estimate - Surviving Spouse Information Birthdate			
144.	B166 Non-Annuitant Death Estimate - Surviving Spouse Information SSN of Spouse			
145.	B166 Non-Annuitant Death Estimate - Surviving Spouse Information Non-Surviving Spouse			
146.	B166 Non-Annuitant Death Estimate - Follow-Up Contact Last Name			
147.	B166 Non-Annuitant Death Estimate - Follow-Up Contact First Name			
148.	B166 Non-Annuitant Death Estimate - Follow-Up Contact Legal Type			
149.	B166 Non-Annuitant Death Estimate - Printed			
150.	B166 Non-Annuitant Death Estimate - Potential Military Service for Active Deaths No Military Service			
151.	B166 Non-Annuitant Death Estimate - Potential Military Service for Active Deaths Will Send Discharge Papers			
152.	B166 Non-Annuitant Death Estimate - Potential Military Service for Active Deaths From (3 fields)			
153.	B166 Non-Annuitant Death Estimate - Potential Military Service for Active Deaths (3 fields)			
154.	B166 Non-Annuitant Death Estimate - Potential Military Service for Active Deaths Amt of Service			
155.	B166 Non-Annuitant Death Estimate - Potential Military Service for Active Deaths Discharge Papers On File			

RDA #	RDA Title	Retention	Disposition	PII
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156. B184 Duplicate Statement of Benefits - Comments
157. B184 Duplicate Statement of Benefits - Printed
158. B201 Account Summary - Comments
159. B201 Account Summary - Reason
160. B201 Account Summary - Printed
161. B202 Beneficiary Designation - Comments
162. B202 Beneficiary Designation - Printed
163. B203 General Correspondence, B204 Health Insurance Inquiry, B205 Life Insurance Inquiry, B207 Pension Verification, B209 Tax Inquiry - Comments
164. B203 General Correspondence, B204 Health Insurance Inquiry, B205 Life Insurance Inquiry, B207 Pension Verification, B209 Tax Inquiry - Printed
165. B212 Walk-Ins, B213 Appointments, B214 Group Counseling Session, B215 Outreach Group Appointments - Date
166. B212 Walk-Ins, B213 Appointments, B214 Group Counseling Session, B215 Outreach Group Appointments - Time
167. B212 Walk-Ins, B213 Appointments, B214 Group Counseling Session, B215 Outreach Group Appointments - Specialist
168. B212 Walk-Ins, B213 Appointments, B214 Group Counseling Session, B215 Outreach Group Appointments - Location
169. B212 Walk-Ins, B213 Appointments, B214 Group Counseling Session, B215 Outreach Group Appointments - Comments
170. B212 Walk-Ins, B213 Appointments, B214 Group Counseling Session, B215 Outreach Group Appointments - Printed
171. B222 Life to Health/LTC - Comments
172. B222 Life to Health/LTC - Printed
173. P111 Qualified Service Estimate/Application - Comments
174. P111 Qualified Service Estimate/Application - Printed
175. P111 Qualified Service Estimate/Application - Former Name(s)
176. P111 Qualified Service Estimate/Application - Payroll Cycle
177. P116 Forfeited SVC Estimate/Application - Comments
178. P116 Forfeited SVS Estimate/Application - Former Name(s)
179. P116 Forfeited SVS Estimate/Application - Payroll Cycle
180. P116 Forfeited SVC Estimate/Application - From (2 fields)
181. P116 Forfeited SVC Estimate/Application - To (2 fields)
182. P116 Forfeited SVC Estimate/Application - Employer (2 fields)
183. P116 Forfeited SVC Estimate/Application - Printed
184. P117 Outside Government Service Request - Comments
185. P117 Outside Government Service Request - Former Name(s)
186. P117 Outside Government Service Request - Payroll Cycle
187. P117 Outside Government Service Request - Pre-2000 # of Years OGS
188. P117 Outside Government Service Request - Post 1999 # Of Years OGS
189. P117 Outside Government Service Request - Printed
190. Z981 IVR Tax for Workflow, Z983 IVR Address for Workflow - Comments
191. Z981 IVR Tax for Workflow, Z983 IVR Address for Workflow - BPS Read Only
192. Z981 IVR Tax for Workflow, Z983 IVR Address for Workflow - Printed
193. Z992 IVR Form - Add Row
194. Z992 IVR Form- Quantity
195. Z992 IVR Form - ET - (Form Number Field)
196. Z992 IVR Form - List of Forms
197. Z992 IVR Form - Delete Row
198. Z992 IVR Form - Comments
199. Z992 IVR Form - Address Changed
200. Z992 IVR Form - Printed
201. Z993 IVR Address, Z989 Other Service Requests - Comments
202. Z993 IVR Address, Z989 Other Service Requests - Printed
203. Z998 IVR Duplicate 1099-R(S) - Comments
204. Z998 IVR Duplicate 1099-R(S) - Duplicate 1099R Years
205. Z998 IVR Duplicate 1099-R(S) Printed

Program Contact: Kay Kalvin, 608-261-7009, kay.kalvin@eff.wi.gov and Michele Ouellette, 608-266-5807, michele.ouellette@eff.wi.gov

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

00168A00.**CALLSS - TABLES****EVT**

Listed below are the tables related to CallSS used for recording calls, tracking account status, or submitting workflow requests to the Imaging and Workflow System.

TBL_EEHI3_YRS_EST
 TBL_EE_RET_PLAN
 TBL_DEMO_PTY
 TBL_DEMO_ADDR
 TBL_EE_PART
 TBL_CD_INQ_SUBJ
 TBL_CD_WKR_ID
 TBL_CD_LOGON_ID
 TBL_BE_BENEFIT
 TBL_BE_ANNT_DCSD
 TBL_BEN_ACCT
 TBL_CD_CC_RLTHSHP

RDA #	RDA Title	Retention	Disposition	PII
	TBL_CC_COM TBL_SVC_RQST TBL_TRANS_CONTROL TBL_IVR_RWST_FORM TBL_CC_CNTCT TBL_CC_MBR_PHONE TBL_PLAN_XREF TBL_CD_COL_DESCR TBL_CD_DCSD_ID TBL_CD_SUM_RSM TBL_CD_FMLY_CNTCT TBL_INTRCT_TYPE TBL_IVR_FORM TBL_CD_LEGAL_TYPE TBL_CD_PART_ST TBL_CD_TRANS_TYPE TBL_WF_FOLDER_TAG TBL_INTERNET_TRANS TBL_IVR_RQST_INFO V_ACTH_PTY_ADDR			

Program Contact: Kay Kalvin, 608-261-7009, kay.kalvin@eff.wi.gov and Michele Ouellette, 608-266-5807, michele.ouellette@eff.wi.gov

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

00168B00. **CALLSS - PRINT PROGRAM INPUT/OUTPUT TEMPORARY FILES** **EVT**

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

Program Contact: Kay Kalvin, 608-261-7009, kay.kalvin@eff.wi.gov and Michele Ouellette, 608-266-5807, michele.ouellette@eff.wi.gov

RETENTION: EVENT (Minimum of 10 generations) and delete

00168C00. **CALLSS - INTERFACES** **EVT**

CallSS has the ability to link to other applications.

1. While in a CallSS screen with member/participant/annuitant's information on the screen, the Non-Annuitants link opens up the FRED version of the member/participant/annuitant's PAL Account.
2. While in an empty CallSS screen, the Non-Annuitants link opens up the FRED version of the PAL Account search.
3. While in a CallSS screen with member/participant/annuitant's information on the screen or with an empty CallSS screen, the BPS link opens to the login screen of BPS. If already logged into BPS, the link opens to the BPS main "welcome to BPS" screen.
4. While in a CallSS screen with member/participant/annuitant's information on the screen or with an empty CallSS screen, the myETF Benefits link opens to the myETF Benefits Admin home page.
5. While in a CallSS screen with member/participant/annuitant's information on the screen the Workflow Search link opens the imaging/workflow system displaying the workflow status for that member/participant/annuitant.
6. While in an empty CallSS screen, the Workflow Search link opens to the imaging/workflow system work flow status search.
7. While logged into CallSS, the FRED link opens up to the FRED home page.

Step 2000:

1. Service Request update the member/participant/annuitant's folder content in Step 2000.
2. Majority of the Service Requests (if coded as a job) also populate various workbaskets in Step 2000 for ETF staff. For example, if a B151 Retirement Estimate request is documented in CallSS, that service request is saved to the member/participant/annuitant's folder content in Step 2000 and the job is populated in the Retirement Estimate workbaskets the next day. Jobs are populated to workbaskets generally overnight.

Program Contact: Kay Kalvin, 608-261-7009, kay.kalvin@eff.wi.gov and Michele Ouellette, 608-266-5807, michele.ouellette@eff.wi.gov

RETENTION: EVENT (Superseded or obsolete) and destroy

00168D00. **CALLSS - REPORTS** **CR+5**

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.

CallSS Call Center Reports

1. Report Begin Date
2. Report End Date

Supervisor Reports:

1. IVR Report
2. Agent Service Request Report
3. Group Service Request Report
4. Group Service Request Report by Call Agent

RDA #	RDA Title	Retention	Disposition	PII
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5. Daily B165 Annuitant Death Service Request Report
6. Daily B166 Non-Annuitant Death Service Request Report
7. All Service Requests
8. Service Requests by Type
9. Action Reports
10. Action Reports by Inquiry Subject
11. Address Labels

Agent Reports:

1. Agent Service Request Report
2. Address Labels

Program Contact: Kay Kalvin, 608-261-7009, kay.kalvin@etf.wi.gov and Michele Ouellette, 608-266-5807, michele.ouellette@etf.wi.gov

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

00169000.**PERSONNEL - BUSINESS DATASETS****EVT**

The data includes information in the categories of:

1. Social Security Number
2. Last Name
3. First Name
4. Address
5. City
6. State
7. Zip code
8. Gender
9. Handicap status
10. Ethnicity
11. Birthday
12. Home Phone
13. Work Phone
14. Continuous Service Start Date
15. ETF Hire Date
16. Termination Date (personal information is cleared when the position is vacated)
17. Position #
18. Org Code
19. Pay Route
20. Previous Pay Rate
21. Previous Employee in Position
22. Schedule and Range
23. FTE budgeted
24. Classification Code
25. Representation
26. FLSA Status

Program Contact: Stacie Meyer, 608-266-5803, stacie.meyer@etf.wi.gov

RETENTION: EVENT (Employee terminates or transfers to another agency and purged) and destroy confidential

00169A00.**PERSONNEL - QUARTERLY REPORTS****EVT+1**

The following reports are run quarterly:

1. Job Group Report (used to create a more detailed report that is submitted to OSER quarterly)
2. Descending Pay Order
3. Non-Rep Pay Report
4. Birthdate Report
5. Personnel Listing (used for forecasting and succession planning)
6. Affirmative Action Report (used to create a more detailed report that is submitted to OSER quarterly)

Program Contact: Stacie Meyer, 608-266-5803, stacie.meyer@etf.wi.gov

RETENTION: EVENT (Creation) + 1 year and destroy confidential (for electronic reports) OR Event (Superseded) and destroy confidential (for paper copies)

00169B00.**PERSONNEL - ANNUAL REPORTS****CR+1**

The following reports are run annually:

1. Length of Service Report

Program Contact: Stacie Meyer, 608-266-5803, stacie.meyer@etf.wi.gov

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

00170000. DISABILITY - BUSINESS DATASETS**EVT**

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

RDA #	RDA Title	Retention	Disposition	PII
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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

00170A00.**DISABILITY - REPORTS****EVT**

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

00170B00.**DISABILITY - MEMBER DATA TABLES****EVT**

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

RDA #	RDA Title	Retention	Disposition	PII
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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

00170C00. **DISABILITY - BPS OUTPUTS/BPS UPLOADS**

EVT

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)

00170D00. **DISABILITY - QUERY'S**

EVT

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

RDA #	RDA Title	Retention	Disposition	PII
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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
14. Duty Disability Applications Received

RDA #	RDA Title	Retention	Disposition	PII
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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**

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**

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

RDA #	RDA Title	Retention	Disposition	PII
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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**

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_CMLPNT_TYPE
17. TBL_CD_CMLPNT_ST
18. TBL_CD_CMLPNT_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_COUNTRY
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_SUFIX
14. TBL_CDE_PRFX

RETENTION: EVENT (Superseded or closed) and destroy confidential

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

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**

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

00172000. **INSURANCE MATERIALS - OPTIONAL INSURANCE PLANS AND LONG-TERM** **EVT+6**

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

00174000. **PROPOSALS, CONTRACTS AND RELATED CORRESPONDENCE - APPROVED** **EVT+20**

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

00176000. **INTERNAL COMMUNICATIONS** **CR+3**

These records consist of internal communication to Department of Employee Trust Funds divisions, executive staff, management, or selected employees from the Office of Communications.

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

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

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

RDA # RDA Title Retention Disposition PII

ADM00010 or ADM00015.

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

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

00177000. **EXTERNAL COMMUNICATIONS** **CR+3**

These records consist of external communications with media, legislature, and the public on items related to the agency programs, events, or other information.

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

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

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

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

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

00178000. **LEGISLATIVE HISTORY FILES** **P**

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

00178A00. **LEGISLATIVE HISTORY FILES - PAPER** **EVT+5**

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

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

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

00300000. WRS PARTICIPANT AND EMPLOYER NON-SOCIAL SECURITY RELATED REC EVT+2

A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system.

Participant Records

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

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

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

Employer Records

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

- Resolutions to join the WRS
- Resolutions to join any of the other ETF programs
- Agent designation forms
- Various forms for program changes or terminations
- Interest Due Notices
- Correspondence
- Resolution of Inclusion forms for the WRS and each of the benefit plans
- Employer Options for Increasing Retirement forms
- Initial Enrollment into the WRS or Benefit Plans Letters
- New Employer Mailing Checklists
- Resolutions to Withdraw from the Benefit Plans
- Prior Service Cost Studies
- Employer Invoices
- Interest Due Notices
- WRS Eligibility Determination forms
- Employee Prior Service Statements
- Employer Transaction Audits

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

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

RETENTION: EVENT (Scanned and indexed) + 2 years and destroy confidential

00301000. **WRS IMAGING SYSTEM PARTICIPANT AND EMPLOYER RECORDS - TEMPOR** **CR+0/1**

A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system.

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

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

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

00302000. **WRS IMAGING SYSTEM PARTICIPANT AND EMPLOYER RECORDS - PERMAN** **P**

A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system.

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

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

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

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

RETENTION: Permanent

00303000. **IMAGING & WORKFLOW MEMBER RECORDS** **EVT**

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

The data includes information in the categories of:

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

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

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

RETENTION: EVENT (Superseded) and destroy confidential

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

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

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

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

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

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

The following Kofax reports are available for staff:

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

The following myETF reports are available for staff:

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

RETENTION: EVENT (Creation) + 2 years and destroy confidential

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

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

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

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

SL 10001.130 (4.) Maintain Section 218 related records

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

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

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

RETENTION: Permanent

00308000. DAILY EXPORT LOGS (00308000.) CR+2

A new RDA is needed as ETF is developing a new benefit administration system that will be replacing multiple legacy systems. Records are now created and stored in a different manner than our legacy systems and business units have different retention needs with the new system.

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

RETENTION: EVENT (Creation) + 2 years and destroy

00311000. EMPLOYER CONTENT AND EMPLOYER DOCUMENTS (SOCIAL SECURITY REL P

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 ! EVT+25

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

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**

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 (** **EVT+3**

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