General Records Schedule

Facilities Management and Related Records

Approved by the Public Records Board:

November 18, 2019

Expiration: November 18, 2029

For use by all units of Wisconsin Government at the State, County, and Municipal level

I. Scope

This schedule governs the records retention obligations of state agencies pursuant to Wis. Stat. § 16.61, and applies to "public records" as defined in Wis. Stat. § 16.61(2)(b). These "public records" are referred to as "records" in this schedule.

This schedule covers records which most state agencies, including the University of Wisconsin System Administration, the University of Wisconsin Institutions, all Wisconsin counties, municipalities and other units of local government create and use to administer facilities related records. The schedule is applicable to facilities related records regardless of format or media.

This general schedule may *not* include records which are unique to the mission of a single government unit. Records that are unique to the mission of a specific government unit require a separate Records Disposition Authorization (RDA). The department or institution is responsible for creating a RDA that must be submitted to, and approved by, the Public Records Board (PRB).

See the Introduction to General Records Schedules for additional information about how to use this schedule. In particular please review the restrictions on conditions that might preclude the authorized destruction of documents in the normal course of business including open records requests, ongoing legal holds, or audits currently underway or known to be planned.

This schedule goes into effect upon final approval by the Public Records Board.

II. Records Format

Records covered in this schedule may be in paper, electronic, or other formats. Electronic format examples include those created or transmitted via e-mail, data contained in database systems, and tapes/cartridges. To safeguard the information contained in records maintained *exclusively* in electronic format, agencies must meet the standards and requirements for the management of electronic records outlined in Wis. Admin. Code ch. Admin 12.

As of October 1, 2015, most state agencies are using STAR (PeopleSoft) as the infrastructure for finance, budget, procurement, business intelligence and human resource functions.

The Facilities Management Information Center (FMIC) provides centralized support for Facilities Management functions. The FMIC provides a central clearinghouse for obtaining information for over 30 state facilities managed by the Department of Administration.

WisBuild is an online project management tool which is available to staff, architects, engineers, and contractors working on state building projects. A/E firms and contractors must register to gain Wisbuild access.

III. Personally Identifiable Information

Wisconsin law requires authorities to specifically identify certain record series within a general records schedule that contain Personally Identifiable Information (PII). Wisconsin Stat. § 19.62(5) defines PII broadly as “information that can be associated with a particular individual through one or more identifiers or other information or circumstances.” Despite this broad definition, Wis. Stat. § 16.61(3)(u)(2) , requires that record series within a schedule containing the following types of PII need not be identified as such: a) the results of certain computer matching programs; b) mailing lists; c) telephone or e-mail directories; d) record series pertaining exclusively to agency employees; and e) record series that contains PII incidental to the primary purpose for which the records series was created, and f) those relating to state agency procurement or budgeting. If in doubt as to whether a specific record series contains PII, check with your agency legal counsel.

IV. Confidentiality of Records

Most records are not confidential and are open to public disclosure, however, there are exceptions. This GRS will identify any record series that may contain information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute, administrative rule, or other legal authority that so requires. If in doubt as to whether or not a specific record, or content in that record, is confidential, check with your agency legal counsel. A record series should be identified as confidential even if not all records in the series contain confidential information and not all parts of records covered by the series are confidential.

V. Superseded Record Series

“Superseded” means that a new record series or RDA number has been used to cover records that were previously identified differently. The last column in the following GRS table titled “Previous RDA Number (if applicable)” provides a cross walk between new and any superseded RDA numbers. When revising a GRS, an attempt is made to retain the previous RDA number, providing the underlying records remain the same.

VI. Related Records

The “Related Records Series” section provides information on other record series in approved GRSs which may relate to the broader functional area of this GRS. These record series are listed to facilitate a more complete understanding of all the record series within the broad scope of this function of government. It may not however contain a complete listing of all records series used within your agency for these types of business records. See the “Related Records Series” section included in this document.

VII. Closed Record Series

When revising a GRS it is common for some previously included record series to be closed. The “Closed Series” section lists series containing records that are no longer created, nor are they expected to be in the future. See the “Closed Series” section included in this document.

VIII. Revision History

See the “Revision History” section for a listing of changes to this GRS.

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
Capital Budget Related Record Series								
FAC00002	**Six Year Facilities Plans**	Plans submitted by a government unit to governing bodies, such as the State Building Commission.	No	No	EVT + 12 years and destroy.	Event is date submitted.		
FAC00003	**Master Facility Plans**	Long range planning documents for major facilities or groups of related facilities.	No	No	EVT + 1 year and destroy.	Event is date of termination of state ownership.	Campus Master Plan	
FAC00004	**Agency Biennial Capital Budget Request**	Official capital budget request for those state agencies that operate facilities.	No	No	EVT + 6 years and destroy.	Event is date submitted.		
FAC00005	**Agency Capital Budget Analysis Requests**	Analysis done on behalf of the State Building Commission at an agency's request.	No	No	EVT + 4 years and destroy.	Event is date analysis completed.		
FAC00006	**Sales of Facilities and/or Land**	Projects where the state sells, or plans to sell, either facilities and/or land assets. Records may include, but are not limited to, appraisals and related valuations**.**	No	No	EVT + 6 years and destroy.	Event is date sold, transferred or termination of transaction.		
FAC00007	**Receipt by Gift of Facilities and/or Land**	Projects where land and/or buildings are being gifted to a government unit.	No	No	EVT + 6 years and transfer to Wisconsin Historical Society or UW Archives.	Event is date sold, transferred or termination of transaction.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FAC00009	**Environmental Assessment & Impact Statements**	Environmental assessments, impact statements, correspondence, supporting materials and documentation related to state construction project and facility or land acquisitions.	No	No	EVT + 6 years and transfer to Wisconsin Historical Society or UW Archives.	Event is date of termination of state ownership or decision not to acquire.		
FAC00010	**Cultural Resource Review Records – Archaeological & Historic Site Case File**	Records in this series include, but are not limited to, Archaeological survey reports, information on documented archaeological sites, and information on documented historic structures related to Wis. Stat. § 44.40.	No	No	EVT + 10 years and transfer to Wisconsin Historical Society or UW Archives.	Event is date of termination of state ownership or decision not to acquire.		
FAC00011	**Construction Project File**	All documents pertaining to the project which may include, but are not limited to, design and construction contracts, proposed and approved amendments to all con-tracts, bidding plans, planning and design work reports, consultant plans and specifications, related correspondence and all other project materials.	No	Yes Wis. Stat. § 19.36(9) & Wis. Stat. § 19.35(1)(a)	EVT + 10 years and destroy confidential.	Event is date construction project is closed.	Projects involving asbestos and hazardous materials should be maintained under FAC00013.	**FAC00008** **FAC00024**

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FAC00012	**Construction Project File - Historically Significant Facilities**	All documents pertaining to the project which may include, but are not limited to, design and construction contracts, proposed and approved amendments to all contracts, bidding plans, planning and design work reports, consultant plans and specifications, related correspondence and all other project materials. These projects are typically large-scale and may include new construction of a state facility or institution as well as projects involving facilities significant to the State of WI or United States history; buildings on the State or National Register of Historic Places.	No	Yes Wis. Stat. § 19.36(9) & Wis. Stat. § 19.35(1)(a)	EVT + 10 years and transfer to Wisconsin Historical Society or UW Archives.	Event is date construction project is closed.	State Capitol Executive Residence MMH1 Ethan Allen Circus World Projects involving asbestos and hazardous materials should be maintained under FAC00013.	**FAC00008** **FAC00024**
FAC00013	**Asbestos and Hazardous Material and Environmental Remediation Case File**	Project files related to asbestos abatement and hazardous materials and environmental remediation projects.	Yes	Yes May contain confidential information under Wis. Stat. § 146.82(1).	PERM	Retention Justification: OSHA requires retention of the records for the entire ownership of the building. Additionally, there is no time limit for asbestos litigation.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FAC00014	**Unsuccessful Bids and Unsolicited Proposals**	Bids and proposals from developers or construction firms for building projects or leases which were not selected.	No	No	EVT + 4 years and destroy.	Event is date rejected.		
FAC00015	**As-Built Plans and Original Building Drawings for Completed Construction Projects**	Final as-built plans and original building drawings for state-owned facilities.	No	Yes Wis. Stat. § 19.36(9)	EVT + 6 years and transfer to Wisconsin Historical Society or UW Archives.	Event is date of termination of ownership.		
FAC00016	**Land Titles, Conveyances, Easements, and Use Restrictions**	Documentation for state owned land. Includes, but is not limited to, any legal rights granted to state owned land.	No	No	PERM	Retention Justification: Liability for environmental damage even after ownership.		
FAC00017	**State Building Commission and State Capitol and Executive Residence Board**	Meeting materials for the State Building Commission and the State Capital and Executive Residence Board.	No	No	CR + 30 years and transfer Wisconsin Historical Society.	Event is date of creation.	Member listings Charter or Project mandate Operating rules Agendas Minutes Interim reports Final reports and related presentations	**FAC00018**

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FAC00019	**Major Agency Leases**	Lease file for each property leased by the state. Records may include, but are not limited to, proposed and final lease, approval, and supporting documentation.	No	No	EVT + 6 years and destroy confidential.	Event is date of expiration of lease or final payment, whichever is later.		
FAC00020	**State Rental Rates**	File contains calculations, recommendations and State Building Commission approval of property rental rates and supporting documentation.	No	No	FIS + 6 years and destroy.	Event is end of fiscal year.		
FAC00021	**Bond Sales/Legal Documents**	This is a single depository of all state general, revenue, and appropriation obligation debt. Includes original debt contracts and working files. Documents include, but are not limited to, public offering documents and working files.	No	No	EVT + 6 years and destroy.	Event is last maturity or call date of bond series.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FAC00022	**Master Lease Program**	Records relating to master equipment lease schedules. This may include, but is not limited to, the original request, approvals acceptance certificates, lease schedules, legal opinion and other items related to assignment of security interest under Wis. Stat. § 16.76(4).	No	No	EVT + 6 years and destroy.	Event is date of expiration of lease or final payment, whichever is later.		**FAC00023**
FAC00026	**Appraisals - Land or Structures Not Obtained**	Appraisals performed by, or on behalf of, the government unit which does not result in a sale.	No	No	EVT + 3 years and destroy.	Event is date of appraisal.		
Use and Operation of Facilities Related Record Series								
FAC00050	**Application and Permit for Use of Facilities**	Application and permit for use of facilities, where required.	Yes	No	EVT + 3 years and destroy confidential.	Event is date of permit expiration, revocation, or rejection.	Requests for rental	
FAC00051	**Facility and Building Maintenance**	Facility and building maintenance, custodial and grounds keeping related records. Records may include, but are not limited to, work orders, logs, work assignments, checklists, inspections, key requests, correspondence and related reports.	Yes	No	CR + 3 years and destroy confidential.	Event is date of creation.	Does not include fiscal and payroll related records.	**FAC00052** **FAC00053**

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FAC00054	**Equipment Installation, Repair and Service**	Documents the installation, maintenance, service and history of both building installed equipment and equipment commonly used to maintain facilities.	No	No	EVT + 1 year and destroy.	Event is date of removal or disposal of installed equipment.		**FAC00056**
FAC00055	**Warranty Files**	Documents the manufacturer's vendor's warranty to replace and/or repair defective materials or equipment.	No	No	EVT + 1 year and destroy.	Event is date of expiration of warranty or discontinuation of equipment, whichever comes first.		
FAC00057	**Physical Plant Monitoring and Inspection Reports**	Records documenting the operation of all facets of facilities: HVAC, plumbing, mechanical, electrical, structural as well as special monitoring of building components.	No	No	EVT + 6 years and destroy.	Event is date of inspection.	Chiller logs Inspection reports of boilers and elevators See Public Service Commission Records Retention Regulations for Electric, Gas and Water Utilities for additional items.	
FAC00059	**Equipment Related Check Out/In Records**	Documentation of who signed out and accepted responsibility for use of state equipment and when the equipment was returned.	Yes	No	EVT + 3 months and destroy confidential.	Event is date equipment returned.	Use for items such as projectors, easels, boards, and laptop computers.	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FAC00060	**Building Leases and Tenant Information**	Files that document negotiations for, and completion of, leases for space. Records may include, but are not limited to, leases, correspondence with owners, other tenants and lease approvals.	May include PII	No	EVT + 6 years and destroy confidential.	Event is date of expiration of lease or final payment, whichever is later.		
FAC00061	**Space Allocation and Project Planning Information**	Space allocation plans and related documentation, which may include the final requests, project plans, space estimates, justifications, specifications, quotations for projects or furniture, copies of building plans, floor layouts, and supporting documentation. Also includes the current space allocation plan.	No	No	EVT + 1 year and destroy.	Event is date space is vacated or planning documents are superseded.		
FAC00062	**Parking Permit and Parking Space Assignments**	Parking permit appli-cations, parking space assignments, waitlists and designated parking coordinators lists.	Yes	No	EVT + 1 year and destroy confidential.	Event is date parking permit is cancelled or list superseded.		**FAC00063 FAC00064**
FAC00066	**Fuel Use/Power Created and Related Records**	Data and related reports on fuels used and output reports on plant utilities produced.	No	No	CR + 6 years and destroy.	Event is date of creation.		
FAC00068	**Chemical Application Records**	Documentation of the application of chemicals with potential long-term health consequences.	No	No	EVT + 3 years and destroy.	Event is date of application.	Lawn fertilizer Pesticides	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FAC00069	**Americans with Disabilities Act (ADA) Facility Reviews and Audits**	Records cover ADA inspections, investigations, complaint investigations, facility logs and reports regarding ADA compliance relating to facilities and structures. This series may also include ADA compliance background information and correspondence related to audits.	Yes	No	EVT + 6 years and destroy confidential.	Event is date of completion of review or audit.		
FAC00070	**Designation of Agency Facility Coordinators**	List of tenant designated facility coordinators in state owned and leased buildings.	Yes	No	EVT and destroy confidential.	Event is date list is superseded.		
Security Related Records Series								
FAC00080	**Building and Facility Admittance Records**	Records document assignment of building access, temporary access passes and access cards. Includes detailed data on the date, time and specific doors opened by specific cards. Also includes manual or automated logs documenting who was granted access to a facility or secure areas within a facility.	Yes	No	EVT + 3 years and destroy confidential.	Event is date of visit or access removed.		**FAC00081**

FAC00082 *** 11/18/2019** **FAC00082 was not approved for renewal as submitted.** **The Board will extend the sunset of the RDA per their Extension Policy with the current RDA language.**	**Monitoring and Surveillance Recordings**	Monitoring and surveillance recordings that document incidents that may lead to claims against the governmental unit. Monitoring and surveillance recordings showing no discernable incidents.	No	No	Retain for 120 days and then destroy. Retain only until no longer needed and then reuse or destroy.	Event is date of creation.	Note: 120 days is the time within which a claim may be filed against an agency. [See ss. 893.80 and 893.82(3), Stats.] Note: As with all public records, if the monitoring or surveillance record is required for any legal or program purpose, including open records requests, claims or litigation holds, the record must be retained until no longer needed to meet the legal or program requirement. Note: In order to avoid premature destruction of a monitoring or surveillance record, agencies should have adequate procedures in place to ensure that requests for the record, or an agency's legal or program need for the record, is communicated in a	

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
							timely manner to the appropriate agency personnel.	
FAC00083	**Access Cards, Identity Badges/Name Plates and Photo Identification**	Documentation of request and assignment of access cards, identity badges, name plates and/or photo identification as an employee or contractor.	Yes	No	EVT + 6 months and destroy confidential.	Event is date returned or reported lost.		**FAC00084**
Continuity of Operations / Continuity of Government Records								
FAC00087	**Emergency Response Management Plans and Related Documents**	Detailed information for emergency situations and supporting documentation.	Yes	Yes Wis. Stat. § 19.36(9)	EVT + 3 years and destroy confidential.	Event is date superseded.	Site security plans Emergency action plans Life safety documents	
FAC00088	**Final Continuity of Operations/ Continuity of Government Operational Plan and Documentation**	Official plan and documentation of the Continuity of Operations/Continuity of Government.	Yes	Yes Wis. Stat. § 19.35(1)(a)	EVT + 1 years and destroy confidential.	Event is date superseded.		**ADM00008**
FAC00089	**Final Continuity of Operations – Exercises and After-Action Reports**	Official exercise plan and documentation to assess the viability of all Continuity of Operations Plans and After-Action Reports.	Yes	Yes Wis. Stat. § 19.35(1)(a)	EVT + 7 years and destroy confidential.	Event is date of exercise or after-action improvement plan is completed.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
FAC00090	**Recovery Records**	Records created during the recovery process. Records held in reserve in the event that an information system fails to function and records need to be recovered and restored.	Yes	Yes Wis. Stat. § 19.35(1)(a)	EVT + 4 years and destroy confidential.	Event is date of completion of recovery process or date of the final Financial Services Report, whichever is later.	Indexes Inventory lists Event logs Computer logs	**IT000015A**
Health, Safety and Risk Management Related Records Series								
FAC00100	**Health, Safety or Fire Code/ Regulations Variances**	Requests for relief from health, safety or fire standards and regulations and records of approved variances.	No	No	EVT + 3 years and destroy.	Event is date variance is denied or no longer in effect.		
FAC00101	**Health, Safety or Fire Code Compliance Records - No Violations**	Health, safety or fire safety inspections, complaints, violation correction plans, and records that document compliance with applicable fire prevention and building codes.	Yes	No	EVT + 3 years and destroy confidential.	Event is date report is received.	Does not include Fire & Tornado Drill records. See RISK0047 for Fire & Tornado Drill Reports.	
FAC00102	**Health, Safety or Fire Code Compliance Records - Violations**	Health, safety or fire safety inspections, complaints, violation correction plans, and reports that document compliance with applicable fire prevention and building codes.	Yes	No	EVT + 3 years and destroy confidential.	Event is date reinspection passed or violation corrected.	Does not include Fire & Tornado Drill records. See RISK0047 for Fire & Tornado Drill Reports.	
FAC00103	**Health, Safety or Fire Code Compliance Certificates**	Health, Safety or Fire Code Compliance Certificates.	No	No	EVT + 3 years and destroy.	Event is date certification expires.		

RDA Number	Record Series Title	Series Description	PII (See III. above)	Confidential (See IV. above)	Minimum Retention and Disposition	Event Description	Examples/ Notes	Previous RDA Number (if applicable)
Cemeteries								
FAC00120	**Grave Registration Records**	Records that describe who is buried, the date of death, interment and location of the remains.	Yes	Yes Wis. Stat. § 157.62(2)(c)	PERM	Retention Justification: Wis. Stat. § 157.62(4)		

Closed Series A closed series contains records that are no longer created, nor are they expected to be in the future.			
RDA Number	**Record Series Title**	**Minimum Retention and Disposition**	**Rationale**
FAC00058	Equipment Maintenance – Technical Reference and Maintenance Publications	EVT and destroy	Publication.
FAC00065	Parking Citations	EVT + 2 years and destroy confidential	Record Series for Dept. of Administration only.
FAC00086	Security or Incident Reports	EVT + 3 years and destroy confidential	Included in case file, not a separate set of records.
FAC00121	Documentation for Burial at State Veteran's Cemetery	EVT + 10 years and destroy confidential	Only applies to Veterans Affairs, not statewide.

Related Records Series Information on other record series in approved GRSs which may relate to the broader functional area of this GRS. These record series are listed to facilitate a more complete understanding of all the record series within the broad scope of this function of government. It may not, however, contain a complete listing of all records series used within your agency for these types of business records.			
RDA Number	**Record Series Title**	**Description**	**Notes/Comments**
ADM00023	**Policies and Procedures**	Established departmental policies and procedures.	
FIS00050	**Inventories – Capital Equipment, Supplies, Commodities and Parts**	Running inventories of capital equipment, supplies, commodities and parts that typically describe each item, indicate its location and provide cumulative totals and / or current stock balances.	

Revision History A listing of changes to this GRS.			
Revision Date	**RDA Number**	**Record Series Title**	**Revision Made**
	FAC00001	Policies and Procedures Relating to the Capital Budget Process and Use and Operations of State Facilities	Supersede with ADM00023
	FAC00008	Concept and Budget Reports	Supersede with FAC00011 and FAC00012
	FAC00018	State Capitol and Executive Residence Board Meeting Minutes and Agendas	Supersede with FAC00017
	FAC00023	Master Lease Schedules – DOA	Supersede with FAC00022
	FAC00024	Strategic/Business/Operational Plans – Related to State Facilities	Supersede with FAC00011 and FAC00012
	FAC00025	Inventories of State Facilities and Land Assets	Supersede with FIS00050
	FAC00052	Building Maintenance / Management – Custodial Records	Supersede with FAC00051
	FAC00053	Building Maintenance / Management – Grounds Keeping Records	Supersede with FAC00051
	FAC00056	Equipment Maintenance – Maintenance Report	Supersede with FAC00054
	FAC00063	Parking Permit Assignment	Supersede with FAC00062
	FAC00064	Parking Citations – DOA Only	Supersede with FAC00062

Revision History A listing of changes to this GRS.			
Revision Date	**RDA Number**	**Record Series Title**	**Revision Made**
	FAC00081	Building Admittance Passes; Visitor Logs; Access Cards – Detail on Card Activity High Security Facilities and or High Security Areas	Supersede with FAC00080
	FAC00084	Input forms for Access Cards, Keys, Badges, Name Plates or Photo Identification	Supersede with FAC00083
	FAC00085	Administrative Records – Building Security	Supersede with ADM00023