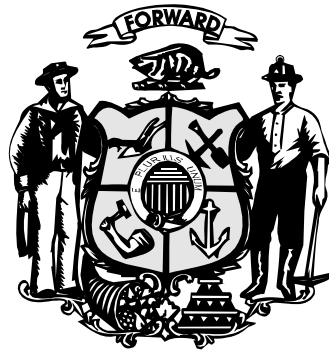


# General Records Schedule

## Budget and Related Records

Approved by the Public Records Board:

November 21, 2022



Expiration: November 21, 2032

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 budget and budget related records. The schedule is applicable to budget 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](#).

## 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)
<b>Biennial Budget Development and Implementation</b>								
BUD00002	<b>Budget Director Records</b>	<p>The Budget Director File is the main file within the State Budget Office and in state agencies in which many official materials are maintained. It contains the bulk of the policy documents and further information pertaining to the Biennial Budget process.</p> <p>May include, but not limited to, memoranda, reports, directives, correspondence files and annual reports within the Director's possession.</p>	No	No	FIS+6 years and transfer to Wisconsin Historical Society.	Event is end of fiscal year.		
BUD00003	<b>Biennial Review Estimates</b>	<p>Report of actual and estimated revenues for the current and forthcoming biennium required by <a href="#">Wis. Stat. §16.43</a>.</p>	No	No	FIS+6 years and transfer to Wisconsin Historical Society or UW Archives.	Event is end of fiscal year.		
BUD00004	<b>Program Revenue Supplements and Positions</b>	<p>Records of program revenue supplement and appropriation requests under <a href="#">Wis. Stat. §§ 16.505(2)</a> and <a href="#">16.515</a>.</p> <p>May include, but not limited to, memos, requests, justifications, budget analyst analysis, supporting documentation and recommendation.</p>	No	No	FIS+6 years and transfer to Wisconsin Historical Society or UW Archives.	Event is end of fiscal year.		

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)
BUD00005	<b>Supplemental Federal Positions &amp; Related Reports</b>	Reports by the Department of Administration as required under <a href="#">Wis. Stat. § 16.54(8)</a> on federal funds allotted in excess of those approved in the biennial budget process. These reports contain the specific agency name, alpha appropriation, dollar increase over authorized amount and also an explanation of the increase for the related position.	No	No	FIS+6 years and destroy.	Event is end of fiscal year.		
BUD00006	<b>Budget Development Documents</b>	<p>Records include supporting documentation and budget related policy documents used in the preparation and completion of the biennial budget under <a href="#">Wis. Stat § 16.46</a>.</p> <p>May include, but not limited to, final agency requests, justifications/analyses, policy papers (from the Department of Administration and the Legislative Fiscal Bureau (LFB)), statutory language proposal drafted by the Legislative Reference Bureau, requests for information and final agency responses for policy clarifications, requests for information to and from agency staff and SBO and LFB analysts, and related correspondence.</p> <p>Also includes agency head presentation to Joint Finance Committee on the agency budget request. May include comments from public hearings if Governor does these hearings as part of the biennial budget development.</p>	No	No	FIS+6 years and destroy.	Event is end of fiscal year.		<b>BUD00023</b>

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)
BUD00009	<b>Position Control Allocation Request</b>	Series includes requests, responses and supporting documentation used to change the information on positions on the file and to delete positions under Wis. Stat. <a href="#">§§ 13.10, 16.54, 16.505(1)(c) and (2)</a> related to Wis. Stat. <a href="#">§ 16.004(7)</a> .	No	No	FIS+6 years and destroy.	Event is end of fiscal year.		
BUD00010	<b>Position Listings</b>	Detailed position reports showing the full salary funding calculation under standard budget adjustments.	No	No	FIS+6 years and destroy.	Event is end of fiscal year.		
BUD00011	<b>Budget Related Research and Analysis</b>	Budget studies, reports, and surveys developed relating to budget planning.  May include, but not limited to, surveys used to compare a business unit or the State to other entities.	No	No	FIS+6 years and destroy.	Event is end of fiscal year.		
BUD00015	<b>Proposed Vetoes</b>	Suggestions and policy rationale submitted to the Governor on draft vetoes pertaining to the proposed budget, appropriation or other legislative bills.	No	No	FIS+6 years and destroy.	Event is end of fiscal year.		

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)
BUD00018	<b>Decision Item Narratives (DINs) and Related Documents</b>	<p>These records contain succinct summaries of the need, options, and proposed solution. They provide a description of the decision item such as building operations, additional financial positions, increased Limited-Term Employees (LTE) funds, ongoing capital equipment needs and technical position consolidation. DINs may also be developed for proposed statutory language changes without fiscal consequences.</p> <p>May include, but not limited to, final briefing papers, spreadsheets with statistics and calculations, worksheets, schedules, research materials, and supporting documents pertaining to the reconciliation process.</p>	No	No	FIS+6 years and destroy.	Event is end of fiscal year.	Completed final analysis should be maintained under BUD00006, Budget Development Documents.	<b>BUD00019</b> <b>BUD00025</b>
BUD00020	<b>Base Reconciliation</b>	Summaries of expenditure items including permanent and project position salaries, fringe benefits, supplies and services, permanent properties, non-allotted reserves, and other supporting documents as well as the adjusted base year level of funds associated with each item.	No	No	FIS+6 years and destroy.	Event is end of fiscal year.		

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)
BUD00021	<b>Biennial Budget Submission</b>	<p>All documents related to the final biennial budget submission under <a href="#">Wis. Stat. § 16.42</a> which are submitted to the State Budget Office, their forms or equivalents.</p> <p>May include, but not limited to, Agency Budget Request, Revenue Projections/Balance Statement, Title Final Details Listing and Department Appropriation Structure File Maintenance, Department Summaries Form, Program Summaries Form, and the Position Changes and Salary Documentation Worksheet.</p>	No	No	FIS+6 years and destroy.	Event is end of fiscal year.		
BUD00022	<b>External Briefing Documents</b>	<p>Records include materials prepared by budget staff to brief decision-makers on initiatives contained in the biennial budget.</p> <p>May include, but not limited to, issue papers, summaries, correspondence, briefings and other information.</p>	No	No	FIS+6 years and destroy.	Event is end of fiscal year.		
BUD00024	<b>Final Budget Submitted to an Oversight Board</b>	<p>Budget submitted to an oversight board. May include, but not limited to, summaries of all divisions, departments that exist and also details what amounts of funds should be allocated to each of them.</p> <p>Applies only to government units with boards which review and approve biennial budget requests before submittal to the budget office.</p>	No	No	FIS+6 years and destroy.	Event is end of fiscal year.		



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)
<b>Operating Budget Development - Implementation</b>								
BUD00030	<b>Original Approved Annual Operating Budget</b>	<p>Records related to establishing the base level annual operating budget each fiscal year.</p> <p>May include, but not limited to, initial dollar allotment and position allocation for each fiscal year and travel and training plans within the organization.</p>	No	No	FIS+5 years and destroy.	Event is end of fiscal year.		
BUD00031	<b>Amendments and Adjustments to Annual Operating Budget</b>	<p>Records related to amendments and adjustments to annual operating budgets.</p> <p>May include, but not limited to, changes to budget lines either self-initiated by the government unit or that require external approval; requests and decisions on supplements for pay plan or space; revenue re-estimates and expenditure studies; mandatory lapses of approved budget amounts; separate legislation passed into law that contains appropriated funds; supplements or requests under <a href="#">Wis. Stat. § 13.10</a>; requests and decisions under Wis. Stat. §§ <a href="#">16.505</a> and <a href="#">16.515</a>; and federal appropriation re-estimates under Wis. Stat. § <a href="#">16.54</a>.</p>	No	No	FIS+5 years and destroy.	Event is end of fiscal year.		

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)
<b>Other Budget Related Records</b>								
BUD00040	<b>Management Reviews / Studies / Audits</b>	Reports or studies that are either mandated by state law or directed to be conducted by the Governor or agency head. Also includes budget related management audits as mandated by <a href="#">Wis. Stat. § 16.004(6)</a> .	No	No	EVT+5 years and transfer to Wisconsin Historical Society or UW Archives.	Event is date report is completed.		
BUD00041	<b>Legislative Fiscal Estimates and Bill Analysis Files</b>	Fiscal estimate records under <a href="#">Wis. Stat. § 13.093(2)(a)</a> .  May include, but not limited to, bill analyses, fiscal estimates and notes, final working documents, and correspondence.	No	No	FIS+4 years and transfer to Wisconsin Historical Society or UW Archives.	Event is end of fiscal year.		
BUD00042	<b>Joint Finance Committee Meeting Materials</b>	Meeting materials of the Joint Finance Committee established under <a href="#">Wis. Stat. § 13.10</a> .  May include, but not limited to, agendas, minutes, agency requests, analyses and recommendations.	No	No	FIS+5 years and transfer to Wisconsin Historical Society or UW Archives.	Event is end of fiscal year.		

**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

**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
ADM00002	Biennial or Annual Report Documentation	Agency files associated with preparing the agency biennial or annual reports submitted to DOA. Material related to Biennial or Annual reports prepared by agencies as required by Wis. Stat. 15.04.	
ADM00023	Internal Policies and Procedures	Procedures Established departmental policies and procedures. Note: May also be called Administrative Practices or Directives or Executive Directives. External policies/regulations/manuals, etc., must be retained under a program-specific RDA.	
PAY00016	Master Pay Period Record	Detailed histories of payroll and leave transactions. Records capture payroll and leave data. May include, but not limited to, timesheet, or equivalent, information, benefits statement, wage and tax statement (W2) documents.	
HR000181	Training Request Documentation	Documents used to obtain agency approval to attend and/or register for specific classes and documentation that the person attended specific training programs.	

### Revision History

A listing of changes to this GRS.

Revision Date	RDA Number	Record Series Title	Revision Made
	BUD00001	Policies and Procedures Related to Budgeting	Superseded by ADMIN400.
	BUD00007	Employee/Position Report File - Quarterly DOA Report to JFC on the Total Authorized Positions for Each State Agency	Record Series for Dept. of Administration only.
	BUD00008	Chapter 20 History (Interim and Final)	Record Series for Dept. of Administration only.
	BUD00012	Executive Biennial Budget	Record Series for Dept. of Administration only.
	BUD00013	Executive Budget Veto Messages	Record Series for Dept. of Administration only.
	BUD00014	Executive Budget and Veto Briefing Documents	Record Series for Dept. of Administration only.
	BUD00016	Critical Payroll (Bi-Weekly Payroll Detail)	Superseded by PAY00016
	BUD00017	November 20 Report	Record Series for Dept. of Administration only.
	BUD00043	Governor's Review and Approval of Agency Administrative Rules	Record Series for Dept. of Administration only.
	BUD00044	External Approval of State Agency Travel and Training	Superseded by HR000181