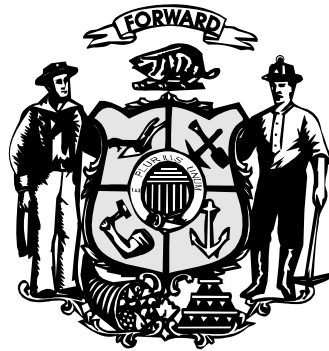


General Records Schedule

Purchasing & Procurement and Related Records

Approval by the Public Records Board:

March 18, 2024



Expiration: March 18, 2034

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 General Records Schedule (GRS) 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 purchasing and procurement related records. Pursuant to the GRS Policy, the implementation of said schedules by Wisconsin state agencies is mandatory and immediate. Implementation of a GRS by the UW System Administration, all UW campuses, all Wisconsin counties, municipalities or other local units of government is optional but recommended. Adopting the schedule does not require local units to begin creating any record series that they currently do not produce.

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 government unit is responsible for creating a RDA(s) that must be submitted to, and approved by, the [Public Records Board \(PRB\)](#).

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

II. Introduction to General Records Schedules

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. Also included in the Introduction to GRSs you will find further information on: Who May Use GRSs, Records Responsibilities, Records Format, Retaining Records, Confidential and Personally Identifiable Information, and Understanding the GRS Categories. You should review this document before implementing a GRS.

Adopting a General Records Schedule - Submit the original and two copies of the [Notification of General Schedules Adoption Form \(PRB-002\)](#) to:

State Archivist
Wisconsin Historical Society
816 State St.
Madison, WI 53706

The Wisconsin Public Records Board (PRB) will acknowledge your Notification of Adoption by returning a signed copy of the adoption to the submitting entity.

III. 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](#).

IV. 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.

V. 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.

VI. Wisconsin Historical Society Notification

Wis. Stat. § 19.21(4) requires that all county and municipal public records must be offered for transfer to the Wisconsin Historical Society (WHS) 60 days prior to their destruction. If the disposition of a record series is “destroy” or “destroy confidential”, this indicates the WHS has waived notification and the records can be destroyed. If the disposition of a record series is “transfer to WHS”, this indicates notification to the WHS is required prior to destruction. Information on transferring records and proper handling of obsolete records can be found on the [Society’s webpage](#).

VII. Informational Tables

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.

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.

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.

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)
STATE USE BOARD WORK CENTERS								
PUR00001	Work Center Certification, Recertification and Product and Service Development Files	<p>The Wisconsin State Use Board pursuant to Wis. Stat. § 16.752, identifies requirements for state agency procurement of materials, supplies, equipment and contractual services from Work Centers for persons with severe disabilities. Work Centers are certified pursuant to Wis. Stat. § 16.752, and licensed pursuant to Wis. Stat. § 104.07.</p> <p>This record series includes Work Center certification and recertification files which include, but are not limited to, qualification materials, articles of incorporation, by-laws, Internal Revenue Service tax-exempt letters, the sub-minimum wage license from the Department of Workforce Development and other correspondence and documents covering issues related to Work Center eligibility for certification or recertification.</p> <p>Records in this series may also include Work Center related requests to develop a product or service, related correspondence, and decision.</p>	No	No	EVT + 4 years and destroy.	Event is date of certification letter denial or approval.	Use PUR00010 for actual Work Center contracts.	

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)
CONTRACT COMPLIANCE								
PUR00002	Contract Compliance Program File	<p>Contractors doing business with the State must comply with non-discriminatory practices pursuant to Wis. Stat. § 16.765.</p> <p>This record series includes contractor affirmative action plans, contract compliance forms and other program materials and correspondence to ensure contractor complies with the State's requirements.</p> <p>Records may include, but are not limited to, Affirmative Action Exemption form and Subcontractor List.</p>	No	No	EVT + 4 years and destroy.	Event is date contract ends.		
PUR00003	Contract Compliance Vendor Directories	<p>Directories of contractors that have submitted Affirmative Action Plans for review to provide products and services to the State.</p> <p>This record series covers both the directories which list contractors that are eligible or ineligible under Wis. Stat. § 16.765. Vendor remains on a Directory until eligibility status changes.</p>	No	No	EVT + 1 year and destroy.	Event is date directory is superseded.		

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)
REQUEST FOR PURCHASING AUTHORITY								
PUR00007	Requests for Purchasing Authority (RPA) and Procurement Plans	<p>Records for the procurement process which takes place prior to a solicitation.</p> <p>Records may include, but are not limited to, RPA form(s) and case letters; Procurement Plans; Large High-Risk IT Project requests, correspondence, and related documents.</p> <p>Note: Agencies are required to secure approval or authority from the State Bureau of Procurement to initiate procurements beyond the agency's delegated authority.</p>	No	No	EVT + 6 years and destroy.	Event is date contract ends or date RPA, plan or project is denied.		PUR00009

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)
CONTRACTS AND REQUESTS FOR BIDS/PROPOSALS								
PUR00010	Contract and Request for Bid / Proposal File	<p>This record series documents the procurement of all commodities and services which may require a contract, including piggyback, simplified and best judgment procurements, as well as Requests for Information and those where the purchase order serves as the single contract. This record series also documents compliance with the requirements of Wis. Stat. § 16.705, and state policies for contractual services.</p> <p>File documents include, but are not limited to, Standards committee activities, such as agendas, minutes, meeting results and correspondence. File documents also include the official Request for Bid/Proposal, record of award, signed contract or agreement, amendments, Certificates of Insurance, price lists, research materials, fair market information, cost analyses, protests, disputes, complaints, warranties, correspondence and related records. In addition, file documents also include forms and related documents associated with notifications and approvals for telecommunications, graphic reproduction equipment, banking services and private guard services.</p>	Yes	Yes Wis. Stat. § 19.36(5)	EVT + 6 years and destroy confidential.	Event is end date of contract or cancellation date of contract or bid/proposal.		

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)
VENDOR/SUPPLIER, BIDDER AND CUSTOMER INFORMATION								
PUR00015	Vendor Performance Issue Files	Records in this series include documentation of vendors and contractors who fail to meet the terms and specifications of purchasing contracts including, but not limited to, failure to deliver services or commodities in a timely manner. These records may be used to support the renegotiation or cancellation of a contract or agreement. Entities monitor contractor performance to ensure service and commodity expectations meet specifications.	No	No	EVT + 6 years and destroy.	Event is date contract ends.		
PUR00050	Account Profile Information	Vendor/supplier, bidder, or customer account profiles, internal and external. May include, but are not limited to, applications, account update and renewal requests, billing address and bank account updates.	Yes	Yes Wis. Stat. § 19.35(1)(a)	EVT + 7 years and destroy confidential.	Event is the date the application is denied, terminated or information superseded.		

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)
MANAGEMENT REVIEWS								
PUR00020	Procurement Authority Review	<p>Records in this series document procurement management reviews of policies, practices and activities related to the purchase of commodities and services. These reviews may be random in nature or routinely scheduled, internal or external.</p> <p>Records include, but are not limited to, tracking, review, audit, correspondence and related records of purchasing and procurement activities including direct payments, purchasing card expenditures, purchase orders, and related supporting documentation.</p> <p>Also included are records associated with the State Bureau of Procurement's reviews performed in accordance with Wis. Stats. § 16.004(4), (5) and (6), reviews.</p>	No	Yes Wis. Stat. § 19.36(5)	EVT + 5 years and destroy confidential.	Event is date of final report.		PUR00021 PUR00022

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)
DELEGATION AGREEMENTS								
PUR00030	Purchasing Delegation Agreements	<p>This record series documents agreements and related materials between the State Bureau of Procurement and state agencies to formally delegate purchasing authority under Wis. Stat. § 16.71(1). Also included are sub-delegation agreements made by authorized designated agents.</p> <p>Records may include, but are not limited to, the request, correspondence, review of the request, documented purchasing practices and compliance with purchasing laws, the executed delegation agreement.</p>	No	No	EVT + 6 years and destroy.	Event is date agreement is superseded or cancelled.		

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
ADMIN354	Activity and Production Reports	Reports by individuals, offices or teams that document the business of the unit of government. May include, but not limited to, progress reports, workload reports, status of work assignments, backlog or production reports, and ad hoc reports.	
ADMIN400	Policies and Procedures	Policies and procedures designed to help employees perform their duties and navigate their department or government unit. May include, but are not limited to, manuals, manual codes, handbooks, and administrative practices. Procedures under this RDA have typically gone through a vetting process and are intended to support policies in a direct manner.	
ADMIN401	Policies and Procedures – Historically Significant	Policies and procedures which have government unit or enterprise-wide broad or long-term, significant impact. These records reflect new policies / procedures or changes to existing policies / procedures that impact employees, or the services provided. These policies and procedures must meet at least one of the following: • Establish precedent and have a broad impact that significantly impacts employees, citizens or the services provided. • Be recognized for its uniqueness by established outside peers or authorities. • Receive widespread attention from the news media.	
ADMIN402	Project Records	Records documenting approved projects with internal impact. The team's work may include but is not limited to: • An exploratory analysis of an issue • Addressing an internal issue that does not have a wide-reaching impact. May also include, but not limited to, meeting agendas and minutes, correspondence, project reports, member lists and responsibilities. May be associated with a workgroup, team, a non-statutorily established committee or similar.	
ADMIN403	Project Records – Historically Significant	Records documenting approved government unit or enterprise-wide projects with broad impact. These projects must meet at least one of the following: • Establish precedent and have a broad impact that significantly impacts employees, citizens or the services provided. • Be recognized for its uniqueness by established outside peers or authorities. • Receive widespread attention from the news media. May include, but not limited to, meeting agendas and minutes, correspondence, project reports, member lists and responsibilities. May be associated with a task force, workgroup, team, a non-statutorily established committee or similar.	
ADMIN404	Project Records – Not Completed	– Not Completed Records documenting unit or enterprise-wide projects that were not completed. May include, but not limited to, meeting agendas and minutes, correspondence, project reports, member lists and responsibilities.	

Revision History

A listing of changes to this GRS.

Revision Date	RDA Number	Record Series Title	Revision Made
	PUR00035	Agency Data or Reports to State Bureau of Procurement	Superseded by ADMIN354
	PUR00036	State Bureau of Procurement or Attached Board Purchasing and Related Reports Required by Statute	Superseded by ADMIN354
	PUR00040	Formal Studies, Surveys, Projects and Similar Activities	Superseded by ADMIN402-404
	PUR00045	State Procurement Manual	Superseded by ADMIN400-401
	PUR00046	Purchasing Card User Manual	Superseded by ADMIN400-401