

505-ADMINISTRATION

Dept #: /110/ Department Name: OFFICE OF THE SECRETARY

RDA # RDA Title Retention Disposition PII

00001000. **SUBJECT FILES** **EVT+5** **SHSW** **Y**

SERIES CONSISTS OF DOCUMENTS, REPORTS, AND CORRESPONDENCE TO AND FROM STATE AGENCIES, BOARDS, COMMISSIONS, COUNCILS, AND DEPARTMENT OF ADMINISTRATION DIVISIONS RELATED TO DEPARTMENT OF ADMINISTRATION FUNCTIONS. FOLLOWING ARE SOME EXAMPLES OF RECORDS THE SERIES MAY INCLUDE. THE LIST DOES NOT INCLUDE ALL RECORDS IN THE SERIES, NOR DOES IT REFLECT THE FILING ARRANGEMENT.

- * APPOINTMENT LETTERS; DOCUMENTS DELEGATING SECRETARY'S AUTHORITY
- * RECORD OF DOCUMENTS SIGNED BY SECRETARY
- * RECORDS ARISING OUT OF SECRETARY'S, DEPUTY SECRETARY'S, AND EXECUTIVE ASSISTANT'S SERVICE, AS A FUNCTION OF THEIR OFFICES, ON VARIOUS BOARDS, COMMISSIONS, AND COUNCILS
- * CORRESPONDENCE WITH GOVERNOR'S OFFICE, LEGISLATURE, STATE AGENCIES, DOA DIVISIONS, OTHER ENTITIES
- * REPORTS FROM LEGISLATIVE AUDIT BUREAU
- * EXECUTIVE ORDERS
- * RECORDS RELATED TO OTHER STATUTORY, REGULATORY, OR DELEGATED FUNCTIONS OF THE SECRETARY

** SOME RECORDS MAY INCLUDE ATTORNEY-CLIENT PRIVILEGE, ATTORNEY-WORK PRODUCT, OR OTHER CONFIDENTIAL INFORMATION. IN ADDITION, SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00005A00. **OFFICE OF LEGAL COUNSEL OPINION FILES** **CR+50** **SHSW** **N**

FILES CONSIST OF FORMAL LEGAL ADVICE FROM DOA LEGAL COUNSEL REGARDING SUBJECTS WITHIN THE SCOPE OF RESPONSIBILITY OF DOA OR ITS ATTACHED BOARDS OR COUNCILS. FILES CONTAIN ONLY FORMAL OPINION AND ATTACHMENTS, IF ANY - RELATED RECORDS ARE CONTAINED IN OFFICE MANAGEMENT FILES. TOPICS INCLUDE, BUT ARE NOT LIMITED TO: INTERPRETATIONS OF STATUTES, RULES, CASE LAW, POLICIES, AND CONTRACTS; PENDING LITIGATION, REGULATORY ACTIONS, OR COMPLAINTS; PERSONNEL MATTERS; POLITICAL ACTIVITY; FINANCIAL DISCLOSURE; DRAFT LEGISLATION.

* RECORDS IN THIS RECORDS SERIES CONTAIN ATTORNEY-CLIENT PRIVILEGED INFORMATION OR ATTORNEY WORK PRODUCT.

00234000. **OFFICE OF LEGAL COUNSEL-OFFICE MANAGEMENT FILES** **EVT+6** **DEST** **Y**

OFFICE OF LEGAL COUNSEL MANAGEMENT FILES INCLUDE, BUT ARE NOT LIMITED TO, REPORTS OF CASES, REQUESTS FOR ATTORNEY GENERAL OPINIONS, CASES REFERRED TO JUSTICE, POLITICAL ACTIVITIES, COURT ACTIONS AND DECISIONS AFFECTING DOA PROGRAMS, LEGAL ASSISTANCE PROVIDED TO DOA DIVISIONS, ATTACHED BOARDS AND COUNCILS REGARDING CONTRACTS, APPEALS, GRANTS, MEMORANDUMS OF UNDERSTANDING, DISCIPLINE AND VARIOUS DIVISION/PROGRAM-RELATED SUBJECTS.

*RECORDS IN THIS RECORD SERIES CONTAIN ATTORNEY-CLIENT PRIVILEGED INFORMATION, ATTORNEY WORK PRODUCT, AND OTHER CONFIDENTIAL INFORMATION. IN ADDITION, SOME PERSONALLY IDENTIFIABLE INFORMATION IN THESE RECORDS, SUCH AS A SOCIAL SECURITY NUMBER AND FINANCIAL ACCOUNT NUMBERS MAY BE CONFIDENTIAL. SEE U.S.C. 552A; WIS. STAT. 19.36(10)(A) AND (13).

RETENTION: EVENT(INACTIVE) + 6 YEARS AND DESTROY CONFIDENTIAL.

00360000. **OFFICE OF LEGAL COUNSEL-REAL ESTATE FILES** **EVT+50** **DEST** **N**

FILES CONSIST OF DOCUMENTS RELATING TO REAL ESTATE TRANSACTIONS AND STATE BUILDING PROJECTS IN WHICH DOA LEGAL COUNSEL PARTICIPATED ON BEHALF OF THE STATE, INCLUDING RECORD OF NEGOTIATIONS AND REQUESTS FOR STATUTORILY REQUIRED APPROVALS (BY JOINT FINANCE AND / OR STATE BUILDING COMMISSION) FOR PURCHASE, SALE, AND BUILDING TRANSACTIONS. PROJECT FILES TYPICALLY INCLUDE BUILDING CONSTRUCTION CONTRACTS, LEASES, SALE OR PURCHASE AGREEMENTS AND AMENDMENTS, PURCHASE OPTIONS, DEEDS, REAL ESTATE TRANSFER RETURN FORMS, AFFIDAVITS, PROPERTY CLOSING STATEMENTS AND PROPERTY TITLE POLICIES.

JUSTIFICATION FOR FIFTY YEAR RETENTION PERIOD: REFERENCE TO RECORDS IN THIS SERIES MAY BE NECESSARY THROUGHOUT THE LIFE SPAN OF THE BUILDING.

* RECORDS IN THIS RECORD SERIES CONTAIN ATTORNEY-CLIENT PRIVILEGED INFORMATION OR ATTORNEY WORK PRODUCT.

Dept #: /213/ Department Name: CAPITAL FINANCE

RDA # RDA Title Retention Disposition PII

00024000. BOND LEGAL DOCUMENTS EVT+4 DEST Y

Changes in the Internal Revenue Service Rules now requires that we keep these documents for 4 years after maturity. (Function Transferred from Facilities Management in FY 1986).

Wisconsin Stat. ch. 18 requires DOA to issue bond legal documents and issue operating notes legal documents. Section 16.76(4) of Wisconsin Statutes, authorizes DOA to issue Master Lease Certificates of Participation.

This is a single depository of all state general and revenue obligation debt. These documents are the original debt contract and working file showing the state's long-term obligation, bearing live signature and representing a legal transcript in the event of litigation.

Documents include, but are not limited to the following: Operating Notes, Master Lease, Public Offering Documents, Working Files, Veterans and Transportation Revenue bonds.

EVENT: maturity date

Dept #: /216/ Department Name: ENVIRONMENTAL IMPROVEMENT FUND

RDA # RDA Title Retention Disposition PII

00117000. MUNICIPAL FINANCIAL STATEMENTS AND FEDERAL SINGLE AUDITS EVT+4 DEST Y

The Environmental Improvement Fund is the umbrella entity for three municipal loan programs consisting of the Clean Water Fund Program, Safe Drinking Water Loan Program and Land Recycling Loan Program.

The municipalities that receive loans from these programs are required to submit annually their financial statements and in some cases Federal Single Audit Reports.

The financial statements and Federal Single Audit reports should be kept for 4 calendar years.

00118000. EIF MANAGEMENT INFORMATION SYSTEM EVT+5 DEST N

The Environmental Improvement Fund is the umbrella entity for three municipal loan programs consisting of the Clean Water Fund Program, Safe Drinking Water Loan Program, and Land Recycling Loan Program.

The EIF financial transactions are recorded in a comprehensive database system known as the Environmental Improvement Fund Management Information System. The system records data such as municipality names and addresses, State aids, census information, loan disbursements, loan payments, loan adjustments, loan collateral, loan underwriting notes, receipt of financial statements, fund capitalization transactions, transfers out of funds, Clean Water Bond issues, investment agreements and various other transaction related data.

The records in this database should be maintained for the life of the loan plus 5 years for any potential rebate and litigation purposes. Most loans are written for a term of 20 years.

00119000. ADMINISTRATIVE FILES - DISBURSEMENT AND FUND TRANSFER RECORDS FIS+20 SHSW Y

The Environmental Improvement Fund is the umbrella entity for three municipal loan programs consisting of the Clean Water Fund Program, Safe Drinking Water Loan Program and Land Recycling Loan Program.

Certain administrative documents are generated in the operation of the loan programs relating to transactions such as the disbursement of funds to municipalities, the movement of money into, out of and between funds maintained by the EIF and other routine financial transactions.

The EIF Administrative Files should be kept for 20 years after the fiscal year that the files originated in.

00195000. CLOSED-OUT LOAN RECORDS - LOAN APPLICATION, BOND TRANSCRIPT, A EVT+4 DEST Y

The Environmental Improvement Fund is the umbrella entity for three municipal loan programs consisting of the Clean Water Fund Program, Safe Drinking Water Loan Program and Land Recycling Loan Program.

When the construction of a municipal project is deemed complete, and the project has final approval from DNR, the project is classified as "closed-out". Once the project is Closed-out, the detail records related to the financing, including the loan file, bond transcript and disbursement file, are sent to the State Records Center for storage until the State's loan on the project is fully repaid.

The Closed-out Loan Records should be maintained for the life of the loan plus 4 years for any potential rebate and litigation purposes.

EVENT: final bond maturity date

Dept #: /216/ Department Name: ENVIRONMENTAL IMPROVEMENT FUND

RDA # RDA Title Retention Disposition PII

00196000. CLEAN WATER PROGRAM APPLICATIONS & RELATED MATERIALS EVT+3 DEST N

THIS FINANCIAL INFORMATION, FROM INCOMPLETE APPLICATIONS OR DENIED LOANS, IS FOR MUNICIPALITIES THAT HAVE DROPPED OFF THE FUNDING LIST BUT MAY REAPPLY AT A LATER DATE. THIS INFORMATION CAN BE USED IF THE MUNICIPALITY REAPPLIES WITHIN THREE YEARS.

MUNICIPAL INFORMATION INCLUDED CLEAN WATER FUND APPLICATION, MUNICIPAL BUDGETS, FINANCIAL STATEMENTS, CORRESPONDENCE AND OTHER DOCUMENTS NEEDED TO COMPLETE THE LOAN APPLICATION.

EVENT = APPLICATION DATE + 3 YEARS AND DESTROY.

Dept #: /217/ Department Name: EXECUTIVE BUDGET AND FINANCE

RDA # RDA Title Retention Disposition PII

00322000. GENERAL CORRESPONDENCE CR+6 DEST Y

THE WISCONSIN 529 COLLEGE SAVINGS PROGRAM OPERATES UNDER SECTIONS 16.64 AND 16.641, WIS. STATS. THE LEGISLATION AUTHORIZES THE STATE DEPARTMENT OF ADMINISTRATION AND THE STATE INVESTMENT BOARD TO OFFER AN INVESTMENT OPPORTUNITY DESIGNED TO HELP FAMILIES KEEP UP WITH RISING COLLEGE TUITION EXPENSES.

GENERAL CORRESPONDENCE - MAY INCLUDE REQUESTS RECEIVED FROM THE GENERAL PUBLIC FOR INFORMATION ON OUR PROGRAM. THESE REQUESTS AND OUR RESPONSES TO THEM CAN BE DESTROYED AFTER 6 YEARS OF HANDLING THE INQUIRY.

AS MUNICIPAL FUND SECURITIES, SOME MATERIALS ARE ALSO SUBJECT TO RETENTION POLICIES OF THE MUNICIPAL SECURITIES RULEMAKING BOARD (MSRB), THE U.S. SECURITIES AND EXCHANGE COMMISSION (SEC), AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. (FINRA) FOR BOTH THE STATE AND ITS CONTRACTED PROGRAM VENDORS.

PER U.S. SECURITIES & EXCHANGE COMMISSION RULE 17A-4 SUB SECTIONS A, D & F IT STATES THAT CORRESPONDENCE MUST BE KEPT FOR SIX YEARS FROM THE TIME THE ACCOUNT IS CLOSED OR WHEN THE INFORMATION IS REPLACED OR UPDATED UNDER THE SECURITIES EXCHANGE ACT OF 1934.

RETENTION: CR + 6 YEARS AND DESTROY CONFIDENTIAL.

00323000. CUSTOMER ACCOUNTS EVT+6 DEST Y

THE WISCONSIN 529 COLLEGE SAVINGS PROGRAM OPERATES UNDER SECTIONS 16.64 AND 16.641, WIS. STATS. THE LEGISLATION AUTHORIZES THE STATE DEPARTMENT OF ADMINISTRATION AND THE STATE INVESTMENT BOARD TO OFFER AN INVESTMENT OPPORTUNITY DESIGNED TO HELP FAMILIES KEEP UP WITH RISING COLLEGE TUITION EXPENSES.

CUSTOMER ACCOUNTS - MAY INCLUDE DATA FROM APPLICATION/AGREEMENT FORM, DATA ON PURCHASE OF TUITION UNITS VIA CHECK, AUTOMATIC ACCOUNT WITHDRAWAL AUTHORIZATION OR PAYROLL DEDUCTION, AND CUSTOMER CORRESPONDENCE RECORDS. A NUMERIC FILE IS CREATED FOR EACH INDIVIDUAL ACCOUNT IN A MICROSOFT ACCESS DATABASE. THE CUSTOMER ACCOUNTS DATA WILL ALSO BE USED TO PRODUCE WEEKLY STATUS REPORTS, THE ANNUAL REPORT TO THE GOVERNOR AND APPROPRIATE STANDING COMMITTEES OF THE LEGISLATURE, AND MARKETING REPORTS.

AS MUNICIPAL FUND SECURITIES, SOME MATERIALS ARE ALSO SUBJECT TO RETENTION POLICIES OF THE MUNICIPAL SECURITIES RULEMAKING BOARD (MSRB), THE U.S. SECURITIES AND EXCHANGE COMMISSION (SEC), AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. (FINRA) FOR BOTH THE STATE AND ITS CONTRACTED PROGRAM VENDORS.

RETENTION: EVENT (CLOSED/ACCOUNT; TERM./DEATH OF BENEFICIARY) + 6 YEARS AND DESTROY CONFIDENTIAL.

00324000. ADMINISTRATIVE RECORDS CR+6 DEST Y

THE WISCONSIN 529 COLLEGE SAVINGS PROGRAM OPERATES UNDER SECTIONS 16.64 AND 16.641, WIS. STATS. THE LEGISLATION AUTHORIZES THE STATE DEPARTMENT OF ADMINISTRATION AND THE STATE INVESTMENT BOARD TO OFFER AN INVESTMENT OPPORTUNITY DESIGNED TO HELP FAMILIES KEEP UP WITH RISING COLLEGE TUITION EXPENSES.

ADMINISTRATIVE RECORDS - MAY INCLUDE CORRESPONDENCE AND/OR AGREEMENTS WITH GOVERNMENT AGENCIES AND PRIVATE COMPANIES; MATERIAL USED IN DEVELOPING AND MAINTAINING PROGRAM POLICIES AND PROCEDURES,

Dept #: 1217/ Department Name: EXECUTIVE BUDGET AND FINANCE

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PRICING OF TUITION UNITS, AND MARKETING AND WEEKLY STATUS REPORTS.

AS MUNICIPAL FUND SECURITIES, SOME MATERIALS ARE ALSO SUBJECT TO RETENTION POLICIES OF THE MUNICIPAL SECURITIES RULEMAKING BOARD (MSRB), THE U.S. SECURITIES AND EXCHANGE COMMISSION (SEC), AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. (FINRA) FOR BOTH THE STATE AND ITS CONTACTED PROGRAM VENDORS.

RETENTION: CR + 6 YEARS AND DESTROY CONFIDENTIAL.

00325000. HISTORICAL RECORDS CR+24 SHSW N

THE WISCONSIN 529 COLLEGE SAVINGS PROGRAM OPERATES UNDER SECTIONS 16.64 AND 16.641, WIS. STATS. THE LEGISLATION AUTHORIZES THE STATE DEPARTMENT OF ADMINISTRATION AND THE STATE INVESTMENT BOARD TO OFFER AN INVESTMENT OPPORTUNITY DESIGNED TO HELP FAMILIES KEEP UP WITH RISING COLLEGE TUITION EXPENSES.

HISTORICAL RECORDS - MAY INCLUDE ONGOING MATERIALS ON LEGISLATION AFFECTING THE PROGRAM, ADMINISTRATIVE CODE, ANNUAL REPORTS TO THE GOVERNOR AND APPROPRIATE STANDING COMMITTEES OF THE LEGISLATURE, OPERATION MANUALS DETAILING PROCEDURES OF THE PROGRAM (PROCESSING APPLICATIONS, PURCHASE OF TUITION UNITS, BACKUP PROCEDURES, ETC.) AND PROMOTIONALS USED TO LET THE GENERAL PUBLIC KNOW ABOUT THE PROGRAM.

AS MUNICIPAL FUND SECURITIES, SOME MATERIALS ARE ALSO SUBJECT TO RETENTION POLICIES OF THE MUNICIPAL SECURITIES RULEMAKING BOARD (MSRB), THE U.S. SECURITIES AND EXCHANGE COMMISSION (SEC), AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. (FINRA) FOR BOTH THE STATE AND ITS CONTRACTED PROGRAM VENDORS.

RETENTION: CR + 24 YEARS AND TRANSFER TO STATE ARCHIVES (WHS).

Dept #: 1222/ Department Name: ACCOUNTING - STATE CONTROLLER'S OFFICE

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00050000. WISCONSIN ANNUAL FISCAL REPORT AND APPENDIX CR+7 SHSW N

THE ANNUAL FISCAL REPORT AND APPENDIX IS PRODUCED AS REQUIRED BY WIS STATS 16.40(3). IT CONTAINS A CONDENSED ACCOUNT OF THE FINANCES OF THE STATE, SHOWING THE SOURCES OF THE STATES REVENUE AND THE PURPOSES OF EXPENDITURES, AND A STATEMENT OF THE CONDITION OF THE GENERAL FUND. IT ALSO PROVIDES COMPARISONS WITH PRIOR YEARS.

THE OFFICIAL PAPER COPY OF THE WISCONSIN ANNUAL FISCAL REPORT AND APPENDIX IS PRODUCED ANNUALLY FROM DATA EXTRACTED FROM THE WISMART SYSTEM. THE PAPER COPY IS TRANSFERRED TO THE WISCONSIN HISTORICAL SOCIETY AT THE END OF THE 7 YEAR RETENTION PERIOD. COPIES ARE PROVIDED TO THE WISCONSIN DOCUMENT DEPOSITORY PROGRAM UNDER WIS. STATS 35.81 THROUGH 35.84. AN ELECTRONIC CONVENIENCE COPY IS ALSO POSTED TO AN INTERNET SITE AS PART OF THE NORMAL DISTRIBUTION.

00152000. REPORT OF INVESTMENTS, ADVANCES CR+3 DEST

MONTHLY REPORT OF INVESTMENTS, POOL SHARED TRANSACTIONS, CASH ADVANCES, SETS UP ASSESSMENTS AND LIABILITIES.

RETAIN 3 YEARS AND DESTROY PROVIDED STATE AUDIT HAS BEEN CONDUCTED.

00154000. COUNTY TAX LEVY STATEMENTS CR+6 DEST

TAX LEVY INFORMATION SUBMITTED ONCE A YEAR BY STATE AGENCIES (MISCELLANEOUS COLLECTIONS FROM COUNTIES). USED AS SOURCE DOCUMENT FOR PAYMENTS IN LIEU OF TAXES.

RETAIN 6 YEARS AND DESTROY.

Dept #: /225/ Department Name: FINANCIAL REPORTING GAAP - STATE CONTROLLER'S OFFICE

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| <u>00201000.</u> | <u>COMPREHENSIVE ANNUAL FINANCIAL REPORT (CAFR) WORKPAPERS</u> | <u>FIS+10</u> | <u>DEST</u> | <u>N</u> |
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The DOA Financial Reporting Section prepares a Comprehensive Annual Financial Report (CAFR), describing the State's financial condition. This annual report is the official, audited financial report for the State of Wisconsin. It is prepared in compliance with generally accepted accounting principles (GAAP). It includes management's discussion and analysis, government-wide financial statements, fund financial statements, notes to the financial statements and financial statements and additional required supplementary information. In addition, introductory information and a detail statistical section are included.

This record series documents development of each year's CAFR. It includes varied subject files, detailed reports received and/or generated in the process of developing or reconciling information in the CAFR, and agency files. Subject files contain information on interaction with the Legislative Audit Bureau; agency accountants; the State Budget Office. Subject files contain detailed information on subjects like capital assets, long-term debt and General Fund activity. Agency files contain background information and correspondence as well as adjusting entries and financial statements.

Dept #: /226/ Department Name: ACCOUNTING - STATE CONTROLLER'S OFFICE

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| <u>00193000.</u> | <u>PROJECT BUDGET REQUESTS</u> | <u>CR+15</u> | <u>DEST</u> | <u>N</u> |
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PROJECT BUDGET REQUESTS ARE USED TO RELEASE FUNDING AUTHORITY FOR STATE CAPITAL BUILDING PROGRAM PROJECTS. THE DATA INCLUDES PROJECT BUDGET BY LINE, PROJECT FUNDING, SOURCE(S) AND THE AUTHORIZING DOCUMENTATION.

CAPITAL ACCOUNTING - PROJECT BUDGET TRANSACTIONS RDA #90000082 IN THE FISCAL AND ACCOUNTING RELATED RECORDS GENERAL SCHEDULE ESTABLISHES A 6 FISCAL YEAR RETENTION PERIOD PRIOR TO DESTRUCTION. THE PROJECT BUDGET REQUESTS FOR THE STATE BUILDING PROGRAM PROJECTS NEED TO BE KEPT FOR 15 YEARS BECAUSE THE PROJECTS CAN BE OUTSTANDING UP TO THAT TIME.

Dept #: /310/ Department Name: ENTERPRISE OPERATIONS- MANAGEMENT

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
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| <u>00021000.</u> | <u>DIVISION ADMINISTRATOR'S SUBJECT FILES</u> | <u>EVT+7</u> | <u>SHSW</u> | <u>Y</u> |
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PER CHAPTERS 16 AND 35 OF THE WISCONSIN STATUTES, THE DIVISION ADMINISTRATOR / DEPUTY ADMINISTRATOR PROVIDE COORDINATION AND OVERALL MANAGEMENT DIRECTION FOR THE DIVISION PROGRAMS THAT SERVE ALL STATE AGENCIES.

FILES INCLUDE MATERIALS RELATED TO:

- STATE BUREAU OF PROCUREMENT (CONSOLIDATED AGENCY PURCHASING, ENTERPRISE IT SOURCING, ENTERPRISE PROGRAMS, ENTERPRISE SOURCING, STATE SURPLUS PROPERTY, VENDOR NET, CONTRACT COMPLIANCE AND THE STATE USE PROGRAM)
- BUREAU OF STATE RISK MANAGEMENT (RISK MANAGEMENT, PROPERTY & LIABILITY AND WORKER'S COMPENSATION)
- BUREAU OF ENTERPRISE FLEET (AIR SERVICES, CENTRAL FLEET, DOCUMENT SALES & DISTRIBUTION / MAIL TRANSPORTATION SERVICES / RECORDS CENTER, ENTERPRISE FLEET)
- STATE MINORITY BUSINESS OFFICE

FILES ALSO INCLUDE COPIES OF DIVISION / BUREAU PROJECTS, SPECIAL REPORTS, POLICY AND PROCEDURES, STUDIES, COMMITTEE AND BOARD MATERIALS AS WELL AS CORRESPONDENCE AND BUDGET WORKING PAPERS. FILES ARE CLOSED WHEN MATTER IS NO LONGER ACTIVE.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

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| <u>00198000.</u> | <u>BUREAU OF ENTERPRISE FLEET DIRECTOR'S SUBJECT FILES</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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THE BUREAU OF ENTERPRISE FLEET PROVIDES CENTRAL ADMINISTRATIVE SERVICES TO STATE AGENCIES UNDER CHAPTER 16 OF THE WISCONSIN STATUTES, AND INCLUDES THE SECTIONS OF ENTERPRISE AIR SERVICES, ENTERPRISE FLEET AND RECORDS MANAGEMENT / DOCUMENT SALES / MAIL TRANSPORTATION.

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THE BUREAU DIRECTOR'S SUBJECT FILES INCLUDE REPORTS, POLICT AND PROCEDURES, STUDIES, AND COMMITTEE MATERIALS AS WELL AS CORRESPONDENCE AND BUDGET WORKING PAPERS. FILES ARE CLOSED WHEN MATTER IS NO LONGER ACTIVE.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

Dept #: /311/ Department Name: GAMING COMMISSION

RDA # RDA Title Retention Disposition PII

00014000. SECURITY INVESTIGATION FILES CR+10 DEST Y

THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING AND CHARITABLE GAMING PURSUANT TO CHAPTERS GAME 1 - 44 OF THE WISCONSIN ADMINISTRATIVE CODE.

SERIES CONSISTS OF RECORDS OF GAMING'S INVESTIGATIONS OF GAMING LAWS IN CHAPTERS 562, 563, 564, AND 569 OF THE WISCONSIN STATUTES. THESE INVESTIGATIONS SOMETIMES INVOLVE LOCAL LAW ENFORCEMENT. INVESTIGATIONS COVERED BY THIS SERIES INCLUDE VIOLATIONS OF PARI-MUTUAL RACING LAWS AND BINGO, RAFFLE, AND CRANE GAME LAWS

RETAIN FOR TEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00015000. SECURITY BACKGROUND INVESTIGATIONS EVT+7 DEST Y

BEFORE APPOINTING AN EMPLOYEE, DIVISION REGULATORY STAFF, WITH THE ASSISTANCE OF THE DEPARTMENT OF JUSTICE, SHALL CONDUCT A BACKGROUND INVESTIGATION OF CANDIDATES BEING RECOMMENDED FOR HIRE, PER SECTION 562.03(3)(B) OF THE WISCONSIN STATUTES. THESE CANDIDATES SHALL BE PHOTOGRAPHED AND FINGERPRINTED. THE DEPARTMENT OF JUSTICE FORWARDS THESE FINGERPRINT CARDS TO THE FBI FOR PURPOSES OF VERIFYING THE IDENTITY OF THE PERSON FINGERPRINTED AND TO OBTAIN RECORDS OF HIS / HER CRIMINAL ARRESTS OR CONVICTIONS.

SERIES INCLUDES DOCUMENTS CREATED OR GATHERED IN THE COURSE OF THE INVESTIGATIONS.

RETAIN FOR SEVEN YEARS AFTER THE TERMINATION OF THE SUBJECT'S EMPLOYMENT AND DESTROY CONFIDENTIALLY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS ARE COMPLETE.

SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00031000. SECURITY DAILY RACETRACK REPORT CR+2 DEST N

THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS GAME 1- 24 OF THE WISCONSIN ADMINISTRATIVE CODE.

SERIES CONSISTS OF SECURITY DAILY REPORTS OF ACTIVITY: A DAILY REPORT COMPLETED BY TRACK SECURITY EMPLOYEES THAT COVERS THAT DAY'S ARRESTS; VISITOR AND PERSONNEL LOGS FOR KENNEL, MAIN BUILDING AND GROUNDS; INCIDENTS INVOLVING EJECTIONS, UNDERAGE DRINKING AND WAGERING; DISORDERLIES; AND TURN AWAYS FOR NO ID.

RETAIN FOR TWO YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BURAEU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

00032000. DAILY RACING PROGRAMS CR+3 DEST N

THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTER GAME 1 - 24 OF THE WISCONSIN ADMINISTRATIVE CODE.

SERIES CONSISTS OF RACING PROGRAMS, CREATED PURSUANT TO S. GAME 4.04, WIS. ADMIN. CODE, FOR EACH DAILY PERFORMANCE AT EACH TRACK. THE PROGRAMS ARE CREATED PURSUANT TO S. GAME 4.04, WIS. ADMIN. CODE, AND CONTAIN ALL RELEVANT DATA ON THE DOGS SCHEDULED TO RACE THAT DAY. SERIES ALSO INCLUDES STEWARDS' ANNOTATIONS IN EACH PROGRAM FOR EACH RACE REGARDING THE ORDER OF FINISH, THE WINNING TIME, THE

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PARI-MUTUEL PAYOUTS, AND OTHER RELEVANT INFORMATION.

RETAIN FOR THREE YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

00033000. **DRUG TESTING REPORTS** **CR+3** **DEST** **N**

THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS GAME 1-24 OF THE WISCONSIN ADMINISTRATIVE CODE. IN PARTICULAR, PURSUANT TO CH. GAME 14, WIS. ADMIN. CODE, GAMING IS RESPONSIBLE FOR MONITORING AND REGULATING DRUG TESTING PROCEDURES.

SERIES CONSISTS OF DRUGS TESTING REPORTS, WHICH RECORD CRITICAL DATA ON EACH DOG URINE SAMPLE COLLECTED FOR ANIMAL DRUG TESTING. DRUG TESTING REPORTS GENERALLY CONSIST OF THREE DOCUMENTS:

- 1) THE URINE SAMPLE CARD RECORDS RELEVANT DATA AT THE TIME OF COLLECTION.
- 2) THE CHAIN OF CUSTODY FORM TRACKS EACH SAMPLE FROM THE POINT OF ORIGIN (RACETRACK) THROUGH THE COMPLETION OF THE TESTING AND VERIFICATION PROCEDURES (TESTING LABORATORY), RECORDING THE NAMES AND RELEVANT DATA FOR EACH SAMPLE AND FOR EACH OPENING AND RESEALING OF THE CONTAINERS.
- 3) A COMPUTER-GENERATED LISTING OF ALL SAMPLES TAKEN EACH DAY IS ENTERED INTO THE WISCONSIN PARI-MUTUEL SYSTEM COMPUTER PROGRAM.

THESE THREE REPORTS, WHEN REVIEWED TOGETHER, PRESENT A COMPREHENSIVE ACCOUNTING OF THE DRUG TESTING SAMPLES COLLECTED. WHEN AN APPEAL IS FILED AND AN ADMINISTRATIVE OR JUDICIAL PROCEEDING IS INITIATED, THESE REPORTS MAY BE CALLED AS EVIDENCE THAT THE INTEGRITY OF THE CHAIN OF CUSTODY WAS MAINTAINED THROUGHOUT THE PROCESS.

RETAIN FOR THREE YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

00034000. **STEWARDS REPORTS** **CR+3** **DEST** **N**

THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS GAME 1 - 24 OF THE WISCONSIN ADMINISTRATIVE CODE.

SERIES CONSISTS OF PERIODIC REPORTS BY STEWARDS, INCLUDING STEWARDS DAILY REPORT, AFFIDAVITS AND ADOPTION REPORTS. INFORMATION IN THESE REPORTS INCLUDES DESCRIPTIONS OF PROBLEMS WITH MUTUEL AND / OR TOTALIZER DEPARTMENTS; DISTURBANCES IN THE GRANDSTANDS; MALFUNCTIONS OF THE MECHANICAL LURE; INCIDENTS IN THE PADDOCK AREA; RACE RESULTS; DOGS SCRATCHED FROM THE RACES; AND OTHER OFFICIAL ACTIVITIES.

RETAIN FOR THREE YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

00035000. **RACETRACK REPORTS** **CR+3** **DEST** **N**

THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS GAME 1-24 OF THE WISCONSIN ADMINISTRATIVE CODE.

SERIES INCLUDES PERIODIC / STANDARD REPORTS CREATED BY STEWARDS AND VETERINARIANS REGARDING TRACK'S DOGS. REPORTS INCLUDE PURSE DISTRIBUTIONS, END OF YEAR REPORT, KENNEL INSPECTION, VETERINARIAN REPORTS, VET SCRATCHES, RELEASE FROM VET'S LIST NOTIFICATION, TRACK INJURY REPORTS, TRACK INJURY LOG, OFF SLIP, AUTHORIZATION TO PERFORM EUTHANASIA BY DIVISION VET, EUTHANASIA OF GREYHOUND, VET APPROVAL TO MUZZLE GREYHOUND, REMOVAL OF GREYHOUND FROM PREMISES AND ARRIVAL OF GREYHOUNDS ON PREMISES. INFORMATION IN THESE REPORTS INCLUDES GREYHOUNDS SCRATCHED FROM RACING; INJURED GREYHOUNDS; GREYHOUNDS THAT NEED TO BE EUTHANIZED; PURSE DISTRIBUTIONS; KENNEL INSPECTIONS, ETC. STAFF REVIEWS THESE DOCUMENTS FOR COMPLIANCE PURPOSES.

RETAIN FOR THREE YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

00036000. **RACETRACK CONSTRUCTION BLUEPRINTS-ALL TRACKS** **EVT+15** **DEST** **N**

THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS GAME 1-24 OF THE WISCONSIN ADMINISTRATIVE CODE.

SERIES CONSISTS OF BLUEPRINTS OF ANY RACETRACK CONSTRUCTION OR CHANGES / ADDITIONS TO THE BUILDING OR SURROUNDING PROPERTIES AND SUPPORTING DOCUMENTATION, INCLUDING BUILDING PERMITS, AIR QUALITY REPORTS, DRAINAGE EASEMENTS, CONSTRUCTION INSPECTIONS, AND CONSTRUCTION SPECS.

RETAIN FOR FIFTEEN YEARS AFTER TRACK CLOSURE, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS ARE COMPLETE.

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00037000.</u> | <u>OPEN RECORDS REQUESTS AND DOCUMENTS</u> | <u>CR+7</u> | <u>DEST</u> | <u>Y</u> |
| | <p>FILES MAINTAINED BY RACING, INDIAN GAMING AND CHARITABLE ARE FREQUENTLY REQUESTED TO BE REVIEWED AND / OR COPIED. THESE REQUESTS ARE MAINTAINED BY THE DIVISION OF GAMING'S LEGAL COUNSEL ON A COMPUTER LOG. CORRESPONDENCE IS FORWARDED TO STAFF SO THEY CAN COMPILE RESPONSIVE DOCUMENTS AND COMPLETE THE REQUESTS. THE OPEN RECORDS LOG AND SUPPORT DOCUMENTS ARE ALSO REQUESTED FOR OPEN RECORDS.</p> <p>SERIES INCLUDES; -- GAMING'S OPEN RECORDS REQUEST LOG -- GAMING'S OPEN RECORDS CORRESPONDENCE -- EMAIL GENERATED BETWEEN GAMING STAFF IN MADISON OFFICE AND RACETRACKS REGARDING OPEN RECORDS REQUESTS GAMING'S COPIES OF DOCUMENTS PROVIDED</p> <p>RECORDS ARE FILED BY MONTH</p> <p>RETAIN FOR SEVEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.</p> <p>* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.</p> | | | |
| <u>00038000.</u> | <u>RACETRACK LOAN DOCUMENTS</u> | <u>EVT+15</u> | <u>DEST</u> | <u>Y</u> |
| | <p>THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS GAME 1 - 24 OF THE WISCONSIN ADMINISTRATIVE CODE. GAMING MUST DETERMINE WHETHER PERSONS APPLYING TO OPERATE RACETRACKS ARE QUALIFIED AND FINANCIALLY ABLE. LOAN DOCUMENTS SUBMITTED AT THE TIME OF APPLICATION AND SUBSEQUENT TO THE APPLICATION; BONDS; LETTERS OF CREDIT AND TRUST AGREEMENTS FROM RACETRACKS; AND OTHER SUPPORTING DOCUMENTATION PROVIDE FINANCIAL INFORMATION REGARDING OWNING / OPERATING A RACETRACK.</p> <p>SERIES CONSISTS OF THE ABOVE-DESCRIBED DOCUMENTS.</p> <p>RETAIN FOR FIFTEEN YEARS AFTER RECORDS ARE INACTIVE AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.</p> <p>* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.</p> | | | |
| <u>00039000.</u> | <u>DAILY RACETRACK PERFORMANCE SUMMARY</u> | <u>CR+5</u> | <u>DEST</u> | <u>N</u> |
| | <p>THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS GAME 1 - 24 OF THE WISCONSIN ADMINISTRATIVE CODE.</p> <p>SERIES CONSISTS OF PERIODIC / STANDARD REPORTS THAT SUMMARIZE EACH PERFORMANCE AND ARE COMPILED FROM VARIOUS OTHER REPORTS. REPORTS INCLUDE DAILY HANDLE REPORTS, SIMULCAST REPORTS, ATTENDANCE REPORTS, YEAR-END RECONCILIATIONS AND ANY CORRESPONDENCE PERTAINING TO ANY OF THESE REPORTS. INFORMATION IN THESE REPORTS INCLUDES TOTAL HANDLE AND ATTENDANCE AT EACH RACETRACK, SIMULCASTING INFORMATION FOR EACH RACE DAY AND WORKSHEETS TO CALCULATE MONIES OWED TO THE STATE FROM THE TRACKS.</p> <p>RETAIN FOR FIVE YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.</p> | | | |
| <u>00040000.</u> | <u>RACETRACK STEWARD RULINGS & APPEALS</u> | <u>EVT+50</u> | <u>SHSW</u> | <u>Y</u> |
| | <p>THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS GAME 1 - 24 OF THE WISCONSIN ADMINISTRATIVE CODE. GAMING EMPLOYS STEWARDS TO SUPERVISE THE DAILY OPERATION OF THE RACETRACKS IN WISCONSIN. IF ONE OR MORE STEWARDS HAVE REASONABLE CAUSE TO BELIEVE A LICSENSEE HAS VIOLATED THE LAW, OR IS ENGAGED IN ANY OTHER CONDUCT WHICH, IN THE OPINION OF THE STEWARDS, ADVERSLY AFFECTS THE INTEGRITY OF RACING, THE STEWARDS ISSUE A RULING ON THE MATTER FOLLOWING A NOTICE AND HEARING. THEY MAY SUSPEND A LICENSE FOR UP TO 90 DAYS, IMPOSE A FORFEITURE NOT EXCEED \$2,000, OR RECOMMEND THAT GAMING IMPOSE A GREATER FORFEITURE, LONGER SUSPENSION, OR REVOKE THE LICENSE.</p> <p>SERIES INCLUDES NOTICES OF STWEARD INQUIRY, STEWARD RULINGS, NOTICES OF RIGHT TO APPEAL, AND SUPPORTING DOCUMENTATION.</p> <p>* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 522A; SS. 19.36(10)(A) AND (13), WIS STATS.</p> <p>** RETENTION IS FOR 50 YEARS AFTER CREATION OR 15 AFTER GREYHOUND RACES CEASES IN WISCONSIN, WHICHEVER IS GREATER.</p> | | | |

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
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| <u>00041000.</u> | <u>APPLICATION FOR RACETRACK LICENSE</u> | <u>EVT+30</u> | <u>SHSW</u> | <u>N</u> |
| | <p>THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS GAME 1 - 24 OF THE WISCONSIN ADMINISTRATIVE CODE. APPLICATIONS FOR CONSTRUCTING, OWNING AND OPERATING A RACETRACK IN WISCONSIN ARE MAINTAINED BY GAMING.</p> <p>SERIES INCLUDES APPLICATIONS FOR CONSTRUCTING, OWNING, AND OPERATING RACETRACKS, WHETHER APPROVED OR NOT APPROVED; PRELICENSING QUESTIONS; AND TAPES OF PUBLIC HEARINGS AND LOCAL GOVERNMENT MEETINGS AT WHICH GAMING APPEARS BECAUSE TRACK CONSTRUCTION OT OTHER ISSUES RELATED TO TRACK APPLICATION IS DISCUSSED.</p> | | | |
| <u>00042000.</u> | <u>WI RACING BOARD/ GAMING COMMISSION/ GAMING BOARD- MEETING AGE</u> | <u>CR+30</u> | <u>SHSW</u> | <u>N</u> |
| | <p>THE WISCONSIN RACING BOARD REGULATED PARI-MUTUEL RACING IN WISCONSIN FROM JULY 1988 THRU SEPTEMBER 1992. THE RACING BOARD WAS ABOLISHED IN OCTOBER 1992 WHEN THE WISCONSIN GAMING COMMISSION WAS CREATED. IN 1997, THE WISCONSIN GAMING BOARD WAS ABOLISHED AND THE DIVISION OF GAMING WAS CREATED. THE INFORMATION IN THIS SERIES WAS COMPILED DURING THE MONTHLY AND QUARTERLY MEETINGS FROM THE WISCONSIN RACING BOARD, WISCONSIN GAMING COMMISSION AND THE WISCONSIN GAMING BOARD.</p> <p>SERIES INCLUDES THE FOLLOWING INFORMATION: -- ORIGINAL MEETING AGENDA SUMMARIES AND SUPPORTING DOCUMENTS FOR EACH AGENDA ITEM. -- ORIGINAL PUBLIC MEETING SPEAKING REQUEST FORMS FROM CITIZENS REQUESTING TO SPEAK AT THE MEETINGS. -- SIGNED ORIGINAL AGENDAS AND MINUTES</p> | | | |
| <u>00043000.</u> | <u>WISCONSIN RACING BOARD & GAMING COMMISSION CORRESPONDENCE &</u> | <u>CR+15</u> | <u>DEST</u> | <u>N</u> |
| | <p>THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS GAME 1 - 24 OF THE WISCONSIN ADMINISTRATIVE CODE.</p> <p>SERIES CONSISTS OF CORRESPONDENCE AND MEMORANDA (INCLUDING IN-HOUSE MEMORANDA) BETWEEN RACETRACKS, MANAGERS, OWNERS, COMMISSIONERS, LEGISLATORS, EMPLOYEES, ETC. SERIES MAY INCLUDE RECORDS OF THE WISCONSIN RACING BOARD, WISCONSIN GAMING COMMISSION, WISCONSIN GAMING BOARD, AND DIVISION OF GAMING. INFORMATION IN THIS SERIES INCLUDES LEGAL MATTERS, LICENSING MATTERS, BUDGET AND FISCAL RELATED INFORMATION, RACETRACK STARTUP MATTERS, RULES AND REGULATIONS, APPEALS, CONTRACTS, INJURIES, ETC. THE RECORDS ARE USED ON A DAILY BASIS.</p> <p>RETAIN FOR FIFTEEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.</p> | | | |
| <u>00044000.</u> | <u>RACETRACK LICENSEE FILES</u> | <u>EVT+10</u> | <u>DEST</u> | <u>Y</u> |
| | <p>THE DIVISION OF GAMING IS REQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS 1 - 24 OF THE WISCONSIN ADMINISTRATIVE CODE.</p> <p>SERIES CONSISTS OF GAMING'S FILE FOR EACH PERSON LICENSED TO WORK AT A RACETRACK OR PARTICIPATE IN A RACE MEETING, INCLUDING ORIGINAL APPLICATION FOR LICENSE, FINGERPRINT CARDS, BACKGROUND CHECK MATERIALS, COPIES OF ANY STEWARD RULINGS THAT AFFECT THE STATUS OF THE LICENSE, AND CORRESPONDENCE RELATED TO THE LICENSEE.</p> <p>THE LICENSEE'S FILE IS UPDATED YEARLY, AS ANNUAL REAPPLICATION IS REQUIRED. FINGERPRINTS ARE RESUBMITTED EVERY THREE YEARS.</p> <p>RETAIN FOR TEN YEAR'S AFTER FILES ARE INACTIVE AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS STAST ARE COMPLETE.</p> <p>* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.</p> | | | |
| <u>00045000.</u> | <u>RACETRACK VENDOR CONTRACTS</u> | <u>EVT+10</u> | <u>DEST</u> | <u>N</u> |
| | <p>THE DIVISION OF GAMING IS REAQUIRED TO REGULATE PARI-MUTUEL RACING PURSUANT TO CHAPTERS GAME 1 - 24 OF THE WISCONSIN ADMINISTRATIVE CODE. GAMING MUST REVIEW AND APPROVE ALL CONTRACTS BY AND BETWEEN THE RACETRACKS AND ANY ENTITY DOING BUSINESS AT THE RACETRACK.</p> <p>SERIES INCLUDES THE CONTRACTS DESCRIBED ABOVE, ANY CORRESPONDENCE PERTAINING TO THE CONTRACT, AND OTHER SUPPORTING DOCUMENTATION.</p> <p>RETAIN FOR TEN YEARS AFTER TRACK CLOSURE AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.</p> | | | |
| <u>00047000.</u> | <u>BINGO LICENSING CASE FILES-RENEWABLE LICENSE</u> | <u>CR+4</u> | <u>DEST</u> | <u>Y</u> |

RDA # RDA Title Retention Disposition PII

PURSUANT TO CHAPTER 563 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO LICENSE ORGANIZATIONS TO HOLD BINGO OCCASIONS. FOR RENEWABLE LICENSES, APPLICATIONS MUST BE SUBMITTED ANNUALLY. THEY CONTAIN INFORMATION CONCERNING ORGANIZATIONS, INDIVIDUALS DESIGNATED RESPONSIBLE FOR GROSS RECEIPTS, AND SUPERVISORS AND SPECIFIC DATES OF BINGO OCCASSIONS.

SERIES INCLUDES THE FOLLOWING INFORMATION:

- ORIGINAL APPLICATION FOR LICENSURE
- ORGANIZATION'S CONSTITUTION, BY-LAW'S, ARTICLES OF INCORPORATION OR CHARTER
- BINGO OCCASION REPORTS
- ANNUAL RAFFLE FINANCIAL REPORTS
- BINGO AUDIT AND INSPECTION REPORTS

RETAIN FOR FOUR YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00048000. **BINGO LICENSING CASE FILES - ONE-TIME LICENSE** **CR+4** **DEST** **Y**

PURSUANT TO CHAPTER 563 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO LICENSE FACILITIES THAT ARE BY LAW TO OBTAIN A ONE-TIME LICENSE TO HOLD BINGO OCCASSIONS. EXAMPLES OF THESE FACILITIES INCLUDE ADULT CARE HOMES, NURSING HOMES, COMMUNITY-BASED RESIDENTIAL FACILITIES, SENIOR CITIZEN COMMUNITY CENTERS AND ADULT FAMILY HOME.

SERIES CONSISTS OF ORIGINAL APPLICATION FOR LICENSURE.

RETAIN FOR FOUR YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00049000. **BINGO LICENSING CASE FILES - BINGO SUPPLIERS** **CR+4** **DEST** **Y**

PURSUANT TO CHAPTER 563 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO LICENSE THOSE WHO SELL BINGO SUPPLIES AND EQUIPMENT TO LICENSED BINGO ORGANIZATIONS.

SERIES INCLUDES THE FOLLOWING INFORMATION:

- APPLICATION FOR LICENSURE
- SAMPLES OF BINGO CARDS SOLD
- STATEMENT SHOWING GROSS RECEIPTS FROM THE SALE OF BINGO SUPPLIES AND EQUIPMENT DURING THE PRECEDING YEAR

RETAIN FOR FOUR YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00050000. **RAFFLE LICENSING CASE FILES** **CR+4** **DEST** **Y**

PURSUANT TO CHAPTER 563 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO LICENSE ORGANIZATIONS TO CONDUCT RAFFLES. REPORTS AND LICENSING ARE REQUIRED ANNUALLY AND ENTITLE QUALIFIED NON-PROFIT ORGANIZATIONS TO CONDUCT RAFFLES.

SERIES INCLUDES THE FOLLOWING INFORMATION:

- ORIGINAL APPLICATION FOR LICENSURE
- ORGANIZATION'S CONSTITUTION, BY-LAWS, ARTICLES OF INCORPORATION OR CHARTER
- ANNUAL RAFFLE FINANCIAL REPORTS
- ANNUAL RENEWAL APPLICATION

RETAIN FOUR YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00051000. **TRIBAL GAMING DEVICE INVENTORY SYSTEM** **CR+7** **DEST** **Y**

PURSUANT TO CHAPTER 569 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO COORDINATE THE REGULATORY ACTIVITIES OF INDIAN GAMING; FUNCTION AS A LIASON BETWEEN INDIANS, THE PUBLIC AND THE STATE; FUNCTION AS A CLEARINGHOUSE FOR INFORMATION ON INDIAN GAMING; ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO COMPACTS UNDER SECTION 14.035, STATS.

RDA # RDA Title Retention Disposition PII

SERIES CONSISTS OF THE OFFICE OF INDIAN GAMING'S AUTOMATED SYSTEM FOR TRACKING SLOT MACHINES. THE SYSTEM IS USED FOR REGULATION / ENFORCEMENT ACTIVITIES. IT CONTAINS CONFIDENTIAL INFORMATION REGARDING GAMING DEVICE INVENTORIES FOR EACH TRIBAL GAMING OPERATION, INCLUDING IDENTIFYING AND HISTORICAL INFORMATION FOR EACH DEVICE. TRIBES MUST SUBMIT THIS INFORMATION. STATE / TRIBAL COMPACTS REQUIRE THE INFORMATION BE RETAINED FOR SEVEN YEARS.

RETAIN FOR SEVEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

* SECTION X B OF THE STATE/TRIBAL GAMING COMPACTS REQUIRE CONFIDENTIALITY. IN ADDITION, SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00052000. **GAMING-RELATED CONTRACTOR APPLICATIONS** **CR+7** **DEST** **Y**

PURSUANT TO CHAPTER 569 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO COORDINATE THE REGULATORY ACTIVITIES OF INDIAN GAMING; FUNCTION AS A LIASON BETWEEN INDIANS, THE PUBLIC AND THE STATE; FUNCTION AS A CLEARINGHOUSE FOR INFORMATION FOR INFORMATION ON INDIAN GAMING; AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO INDIAN GAMING; AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO COMPACTS UNDER SEC. 14.035, STATS.

THE STATE / TRIBAL COMPACTS PROVIDE THAT ANY PERSON WHO ENTERS OR MAINTAINS A CLASS III GAMING-RELATED CONTRACT WITH A TRIBE, UNDER WHICH THE PERSON WILL RECIEVE MORE THAN \$10,000 IN ANY YEAR, MUST HOLD A GAMING ISSUED CERTIFICATE.

THIS SERIES CONTAINS THE FOLLOWING INFORMATION REGARDING BACKGROUND INVESTIGATIONS: APPLICATION SUBMITTED BY THE VENDOR; SUPPORTING DOCUMENTS AND PERSONAL DISCLOSURE FORMS COMPLETED BY APPLICANT'S PRINCIPAL'S; PRINCIPAL'S SUPPORTING DOCUMENTS WHICH INCLUDE DESCRIPTION OF APPLICANT'S BUSINESS, DESCRIPTION OF GAMING RELATIONSHIPS WITH WISCONSIN TRIBES AND OTHER TRIBES, BUSINESS STRUCTURE INFORMATION, TAX FORMS, CRIMINAL HISTORY RECORDS, AUDITED FINANCIAL STATEMENTS AND SOURCES OF CAPITAL; FINGERPRINT CARDS AND PHOTOS OF PRINCIPALS.

CERTIFICATION DURATION IS THREE YEARS. THE SEVEN YEAR RETENTION ALLOWS FOR REVIEW OF HISTORICAL DOCUMENTS AS PART OF THE RECERTIFICATION PROCESS.

RETAIN FOR SEVEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS ARE COMPLETE.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A.

00053000. **GAMING-RELATED CONTRACTORS** **CR+7** **DEST** **Y**

PURSUANT TO CHAPTER 569 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO COORDINATE THE REGULATORY ACTIVITIES OF INDIAN GAMING; FUNCTION AS A LIASON BETWEEN INDIANS, THE PUBLIC AND THE STATE; FUNCTION AS A CLEARINGHOUSE FOR INFORMATION ON INDIAN GAMING; AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO INDIAN GAMING; AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO COMPACTS UNDER SEC. 14.035, STATS.

THE STATE / TRIBAL COMPACTS PROVIDE THAT ANY PERSON WHO ENTERS OR MAINTAINS A CLASS III GAMING-RELATED CONTRACT WITH A TRIBE, UNDER WHICH THE PERSON WILL RECIEVE MORE THAN \$10,000 IN ANY YEAR, MUST HOLD A GAMING ISSUED CERTIFICATE.

THIS SERIES CONTAINS THE FOLLOWING GENERAL INFORMATION REGARDING EACH VENDOR: CORRESPONDENCE GENERATED FROM REVIEW OF THE ORIGINAL AND RENEWAL APPLICATIONS; MEMOS TO GAMING DEPARTMENT OF JUSTICE STAFF; LETTERS TO TRIBES REGARDING THE CONTRACTOR'S ELIGIBILITY FOR CERTIFICATION; CORRESPONDENCE TO THE APPLICANT REGARDING THE GAMING'S REVIEW OF THE APPLICATION.

VENDOR AND BACKGROUND INVESTIGATION MATERILAS ARE COVERED BY A SEPERATE RDA.

CERTIFICATION DURATION IS THREE YEARS. THE SEVEN YEAR RETENTION ALLOWS FOR REVIEW OF HISTORICAL DOCUMENTS AS PART OF THE RECERTIFICATION PROCESS.

RETAIN FOR SEVEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS ARE COMPLETE.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A.

00054000. **CONTRACTOR HISTORICAL INFORMATION** **CR+7** **DEST** **Y**

RDA # RDA Title Retention Disposition PII

PURSUANT TO CHAPTER 569 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO COORDINATE THE REGULATORY ACTIVITIES OF INDIAN GAMING; FUNCTION AS A LIASON BETWEEN INDIANS, THE PUBLIC AND THE STATE; FUNCTION AS A CLEARINGHOUSE FOR INFORMATION ON INDIAN GAMING; AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO INDIAN GAMING; AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO COMPACTS UNDER SEC. 14.035, STATS.

THE STATE / TRIBAL COMPACTS PROVIDE THAT ANY PERSON WHO ENTERS OR MAINTAINS A CLASS III GAMING-RELATED CONTRACT WITH A TRIBE, UNDER WHICH THE PERSON WILL RECIEVE MORE THAN \$10,000 IN ANY YEAR, MUST HOLD A GAMING ISSUED CERTIFICATE.

SERIES CONSISTS OF A HISTORICAL DATABASE THAT CONTAINS THE FOLLOWING INFORMATION FOR EACH CONTRACTOR: NAME, ADDRESS, TELEPHONE AND FAX NUMBERS; CONTACT PERSON; TRIBAL RELATIONSHIPS; CERTIFICATION STATUS; BRIEF DESCRIPTIVE PHASES WHICH RELATE TO THE CONTENTS OF CONTRACTORS' FOLDERS. THIS DATABASE IS MAINTAINED FOR FAST AND EASY RETRIEVAL OF SPECIFIC INFORMATION REGARDING A CONTRACTOR WITHOUT SEARCHING HARD COPY RECORDS.

RETAIN FOR SEVEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS ARE COMPLETE.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A.

00055000. **NEGOTIATION MATERIALS** **P** **PERM** **Y**

PURSUANT TO CHAPTER 569 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO COORDINATE THE REGULATORY ACTIVITIES OF INDIAN GAMING; FUNCTION AS A LIASON BETWEEN INDIANS , THE PUBLIC AND THE STATE; FUNCTION AS A CLEARINGHOUSE FOR INFORMATION ON INDIAN GAMING: AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO COMPACTS UNDER SEC. 14.035. STATS.

THE WISCONSIN TRIBES HAVE SIGNED COMPACTS WITH THE STATE OF WISCONSIN TO OFFER GAMING FACILITIES IN WISCONSIN. SERIES INCLUDES INFORMATION REGARDING THE COMPACT NEGOTIATION AND DRAFTING PROCESS.

PERMANENT RETNETION IS BASED ON THE HISTORIC NATURE OF COMPACT NEGOTIATION.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00056000. **TRIBAL CORRESPONDENCE** **CR+7** **DEST** **Y**

PURSUANT TO CHAPTER 569 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO COORDINATE THE REGULATORY ACTIVITIES OF INDIAN GAMING; FUNCTION AS A LIASON BETWEEN INDIANS , THE PUBLIC AND THE STATE; FUNCTION AS A CLEARINGHOUSE FOR INFORMATION ON INDIAN GAMING: AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO COMPACTS UNDER SEC. 14.035. STATS.

SERIES CONTAINS THE FOLLOWING: FOR EACH TRIBE, INFORMATION CONTAINED IN SEPARATE FILES DESIGNATED AS AUDITS, CORRESPONDENCE, ELECTRONIC GAMES OF CHANCE NOTIFICATION, FINAL COMPACT, GAMING LABORATORIES INTERNATIONAL APPROVALS, NEWSPAPER CLIPPINGS AND ORDINANCES. THERE MAY BE ADDITIONAL RECORDS FOR SOME TRIBES IF DOCUMENTS HAVE BEEN RECEIVED REGARDING PLANS TO AQUIRE ADDITIONAL LAND OR OTHER SPECIFIC ISSUES.

STATE / TRIBAL COMPACTS REQUIRE THIS INFORMATION TO BE RETAINED FOR SEVEN YEARS.

RETAIN FOR SEVEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS.STATS. ARE COMPLETE.

* SECTION X B OF THE STATE / TRIBAL GAMING COMPACTS REQUIRE CONFIDENTIALITY. IN ADDITION, SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00057000. **COMPUTER-GENERATED REPORTS OF ELECTRONIC GAMES** **CR+7** **DEST** **Y**

PURSUANT TO CHAPTER 569 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO COORDINATE THE REGULATORY ACTIVITIES OF INDIAN GAMING; FUNCTION AS A LIASON BETWEEN INDIANS , THE PUBLIC AND THE STATE; FUNCTION AS A CLEARINGHOUSE FOR INFORMATION ON INDIAN GAMING: AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO COMPACTS UNDER SEC. 14.035. STATS.

THIS SERIES CONTAINS REPORTS AND DATA FROM THE GAMING DEVICE INVENTORY SYSTEM. REPORTS INCLUDE COUNTS OF MACHINES, PAYOUT REPORTS, MACHINE DETAIL REPORTS AND CHIP DETAIL REPORTS. THESE REPORTS CAN BE ORDERED BY DENOMINATION, MANUFACTURER, DESCRIPTION AND / OR CASINO.

STATE / TRIBAL COMPACTS REQUIRE THIS INFORMATION TO BE RETAINED FOR SEVEN YEARS.

RETAIN FOR SEVEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG),

RDA # RDA Title Retention Disposition PII

WIS. STATS. ARE COMPLETE.

* SECTION X B OF THE STATE / TRIBAL GAMING COMPACTS REQUIRE CONFIDENTIALITY. IN ADDITION, SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00058000. GENERAL SUBJECT CORRESPONDENCE CR+5 DEST N

PURSUANT TO CHAPTER 569 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO COORDINATE THE REGULATORY ACTIVITIES OF INDIAN GAMING; FUNCTION AS A LIASON BETWEEN INDIANS , THE PUBLIC AND THE STATE; FUNCTION AS A CLEARINGHOUSE FOR INFORMATION ON INDIAN GAMING; AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO COMPACTS UNDER SEC. 14.035. STATS.

THIS SERIES CONTAINS CORRESPONDENCE AND RELATED DOCUMENTS ON INDIAN GAMING-RELATED ISSUES GENERALLY. THERE IS A SEPARATE RDA FOR TRIBE-SPECIFIC SUBJECT FILES. INFORMATION IN THIS SERIES INCLUDES LITIGATION INSTITUTED AGAINST THE BUREAU OF INDIAN AFFAIRS BY OTHER STATES OR TRIBES, CORRESPONDENCE TO GENERAL PUBLIC, PROPOSED LITIGATION, ETC.

RETAIN FOR FIVE YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

00059000. WISCONSIN PARI-MUTUEL SYSTEM EVT+10 DEST Y

GAMING UTILIZES A COMPUTER SYTEM THAT LINKS EACH RACETRACK THROUGHOUT THE STATE WITH THE MAIN OFFICE LOCATED IN MADISON. THE SYSTEM HANDLES ADMINISTRATIVE MONITORING AND RECORDKEEOING ACTIVITIES WITHIN THE RACING AREA. THE SYSTEM HAS THE FOLLOWING SUBSYSTEMS AND FUNCTIONS:

REVENUE SUBSYSTEM:THIS SYSTEM FACILITATES THE ENTRY OF THE HANDLE, PARI-MUTUEL TAKEOUT, TRACK ATTENDANCE AND DAILY LICENSE FEES OF ALL TRACKS. THE HANDLES FOR EVERY RACE AT EVERY TRACK ARE ENTERED INTO THE SYSTEM. THE LAW REQUIRES THAT GRADUATED PARI-MUTUEL TAX, PURSES, UNCLIAMED PRIZES, ALLOCATION FOR SPECIAL PROGRAMS AND THE ALLOCATION OF BREAKAGE BE INCLUDED.

LICENSING SUBSYSTEM: LICENSING IS REUIRED FOR ALL PERSONNEL AT EACH TRACK LOCATION. LICENSING IS AVAILABLE IN AN ON-LINE MODE AS WELL. THIS INCLUDES OWNERS, TRAINERS, ASSISTANTS, VETS, RACE OFFICIALS, PARI-MUTUEL PERSONNEL, SECURITY PERSONNEL, TOTE OWNERS / PERSONNEL AND CONCESSION OWNERS / PERSONNEL.

ENFORCEMENT SUBSYSTEM: ADMINISTRATIVE CODE VIOLATIONS BY LICENSEES ARE ENTERED INTO THE SYSTEM. REPORTS ARE GENERATED TO FACILITATE THE MONITORING AND ENFORCEMENT RESPONSIBILITIES OF THE DIVISION.

LABORATORY SUBSYSTEM: PURSUANT TO STATUTORY REQUIREMENTS, ANIMALS UNDERGO TESTING FOR FOREIGN SUBSTANCES BEFORE AND AFTER RACES. SAMPLE NUMBERS AND THEIR RESULTS ARE ENTERED INTO THE SYSTEM.

REPORTING SUBSYSTEM: THIS SYSTEM GENERATES A VARIETY OF REPORTS ON A DAILY, WEEKLY, MONTHLY, QUARTERLY, AND ANNUAL BASIS. THE SCOPE OF THESE REPORTS RANGES FROM FROM DAILY OPERATIONAL REPORTS FOR DIVISION STAFF AT EACH TRACK TO STATISTICAL REPORTS ON ATTENDANCE, HANDLE, AND TAX AMOUNTS RECIEVED. THE REPORTING SYSTEM ALSO INTERFACES WITH AUDITING REQUIREMENTS AND OTHER SUCH NEEDS AS REQUIRED.

LIVE LURE SUBSYSTEM: MONITORS ANIMALS TO MAKE SURE ANIMALS RACING IN WISCONSIN HAVE NOT BEEN TRAINED IN STATES THAT PERMIT THE USE OF LIVE LURES. THE SYSTEM ALSO CHECKS ANIMALS FOR VACCINATION EXPIRATIONS, INCLUDING, BUT NOT LIMITED TO, RABIES AND DISTEMPER.

VETERINARIAN TRACKING SUBSYSTEM: AN ON-LINE SYSTEM THAT TRACKS ANIMAL INJURIES, WEIGHT LOSERS, REMOVAL FROM PREMISES, FAILED WINNERS, MISCELLANEOUS ILLNESSES AND ANIMALS SCRATCHED.

THE DEPARTMENT OF ADMINISTRATION MAINTAINS A COPY AT AN OFF-SITE STORAGE FOR SEVEN YEARS. AS AN INTERNAL CONTROL, PROGRAMMERS VERIFY ALL TAPES CREATED BEFORE THEY GO OFF-SITE FOR STORAGE AND TO RUN PROGRAMS.

DATA RECOVERY: PROGRAMMERS KEEP GENERATION DATA SETS 30 DAYS WHICH PROVIDES CONSTANT BACK-UPS. EVERY 7 DAYS A FULL BACK UP IS COMPLETED WITH SIX DAYS OF INCREMENTAL BACK UPS. THIS GIVES PROGRAMMERS THE ABILITY TO RESTORE BACK TO THE LAST 30 DAYS. CURRENTLY ADDITIONAL PROGRAMMING SHOULD NOT BE REQUIRED TO RESTORE DATA. THE PROGRAMMERS MAINTAIN THE SYSTEM PROGRAM DOCUMENTATION. PROGRAM DOCUMENTATION. PROGRAM DOCUMENTATION IS UPDATED ROUTINELY TO REFLECT CHANGES TO THE SYSTEM.

ALL SUBSYSTEMS ARE RETAINED FOR TEN YEARS AND ARE SUBJECT TO REVIEW BY THE LEGISLATIVE AUDIT BUREAU DURING THEIR PERFORMANCE AUDITS CONDUCTED PURSUANT TO S. 13.94(1)(EG) WIS. STATS.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBER, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00073000. CRANE GAME OPERATOR LICENSE CR+5 DEST Y

PURSUANT TO CHAPTER 564 OF THE WISCONSIN STATUTES, GAMING IS REQUIRED TO LICENSE ORGANIZATIONS TO OPERATE CRANE GAMES IN THE STATE OF WISCONSIN.

SERIES INCLUDES THE FOLLOWING INFORMATION:

- COMPLETED AND SIGNED APPLICATION
- PENDING APPLICATIONS FOR LICENSURE
- CRANE GAME REGISTRATION AMENDMENTS
- SIGNIFICANT CORRESPONDENCE TO APPLICATIONS FOR LICENSURE

RETAIN FOR FIVE YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00384000. **DATA COLLECTION SYSTEM RECORDS AND REPORTS** **EVT+7** **DEST** **Y**

PURSUANT TO CHAPTER 569 OF THE WISCONSIN STATUTES, THE DIVISION OF GAMING IS REQUIRED TO COORDINATE THE REGULATORY ACTIVITIES OF INDIAN GAMING; FUNCTION AS A LIASON BETWEEN INDIANS, THE PUBLIC AND THE STATE; FUNCTION AS A CLEARING HOUSE FOR INFORMATION ON INDIAN GAMING AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO COMPACTS UNDER SEC. 14.035, STATS.

THIS SERIES CONSISTS OF AN AUTOMATED SYSTEM FOR COLLECTING CONFIDENTIAL INFORMATION REGARDING GAMING REVENUE FROM EACH TRIBAL GAMING OPERATION. RECORDS INCLUDE IDENTIFYING AND HISTORICAL INFORMATION FOR EACH DEVICE REGARDING COMPONENTS OF THAT DEVICE'S REVENUE AND TOTAL REVENUE AMOUNTS. TRIBES MUST SUBMIT THIS INFORMATION. STATE / TRIBAL COMPACTS REQUIRE THE INFORMATION BE RETAINED FOR SEVEN YEARS.

RETAIN FOR SEVEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

*SECTION X B OF THE STATE / TRIBAL GAMING COMPACTS REQUIRE CONFIDENTIALITY. IN ADDITION, SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00385000. **TRIBAL AUDIT FILES** **CR+7** **DEST** **Y**

PURSUANT TO CHAPTER 569 OF THE WISCONSIN STATUTES, THE DIVISION OF GAMING IS REQUIRED TO COORDINATE THE REGULATORY ACTIVITIES OF INDIAN GAMING; FUNCTION AS A LIASON BETWEEN INDIANS, THE PUBLIC AND THE STATE; FUNCTION AS A CLEARING HOUSE FOR INFORMATION ON INDIAN GAMING AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO COMPACTS UNDER SEC. 14.035, STATS.

SERIES CONSISTS OF CONFIDENTIAL INFORMATION REGARDING TRIBAL AUDIT FINDINGS, FINANCIAL INFORMATION, SUPPORTING AUDIT DOCUMENTATION AND CORRESPONDENCE BETWEEN THE TRIBES AND THE STATE. TRIBES MUST SUBMIT THIS INFORMATION. STATE / TRIBAL COMPACTS REQUIRE THE INFORMATION BE RETAINED FOR SEVEN YEARS.

RETAIN FOR SEVEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

*SECTION X B OF THE STATE / TRIBAL GAMING COMPACTS REQUIRE CONFIDENTIALITY. IN ADDITION, SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00386000. **GAMING - RELATED CONTRACTOR INVESTIGATION REPORTS** **CR+15** **DEST** **Y**

PURSUANT TO CHAPTER 569 OF THE WISCONSIN STATUTES, THE DIVISION OF GAMING IS REQUIRED TO COORDINATE THE REGULATORY ACTIVITIES OF INDIAN GAMING; FUNCTION AS A LIASON BETWEEN INDIANS, THE PUBLIC AND THE STATE; FUNCTION AS A CLEARING HOUSE FOR INFORMATION ON INDIAN GAMING AND ASSIST THE GOVERNOR IN DECIDING THE TYPES OF GAMING CONDUCTED ON INDIAN LANDS AND IN ENTERING INTO COMPACTS UNDER SEC. 14.035, STATS.

THE STATE / TRIBAL COMPACTS PROVIDE THAT ANY PERSON WHO ENTERS OR MAINTAINS A CLASS III GAMING-RELATED CONTRACT WITH A TRIBE, UNDER WHICH THE PERSON WILL RECEIVE MORE THAN \$10,000 IN ANY YEAR, MUST HOLD A GAMING-ISSUED CERTIFICATE.

CERTIFICATION DURATION IS 3 YEARS. THE 15 YEAR RETENTION ALLOWS FOR REVIEW OF HISTORICAL DOCUMENTS AS PART OF THE RECERTIFICATION PROCESS. REPORTS ARE HISTORICALLY SIGNIFICANT AND USEFUL IN FUTURE INVESTIGATIONS.

Dept #: 1311/ Department Name: GAMING COMMISSION

RDA # RDA Title Retention Disposition PII

RETAIN FOR FIFTEEN YEARS AND DESTROY, PROVIDED THE LEGISLATIVE AUDIT BUREAU'S AUDITS UNDER S. 13.94(1)(EG), WIS. STATS. ARE COMPLETE.

*SECTION X B OF THE STATE / TRIBAL GAMING COMPACTS REQUIRE CONFIDENTIALITY. IN ADDITION, SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

Dept #: 1324/ Department Name: FEDERAL PROPERTY

RDA # RDA Title Retention Disposition PII

00033000. TRANSFER RECORDS EVT+5 DEST N

SERIES CONSISTS OF RECORDS RELATING TO THE SCREENING, REQUISITION, RECEIPT, MAINTENANCE, INVENTORY, AND FINAL DISTRIBUTION OF EACH PIECE OF FEDERAL PROPERTY IN THE PROGRAM. RECORDS IN THIS SERIES ARE FILED BY FEDERAL PROPERTY NUMBER. THERE ARE SEPARATE RDAS FOR ELIGIBILITY RECORDS AND CUSTOMER RECORDS, WHICH ARE FILED BY APPLICANT.

RECORDS IN THIS SERIES REMAIN ACTIVE UNTIL THE PIECE OF PROPERTY IS NO LONGER CONSIDERED FEDERAL PROPERTY (RESTRICTION PERIOD HAS LAPSED). ONCE THIS HAS OCCURRED, THE RECORD IS CONSIDERED CLOSED OR ONE (1) YEAR AFTER THE LAST GSA AUDIT IS PERFORMED, WHICHEVER IS LATER.

* PRIOR RDA'S 00032000 AND 00038000

RETENTION: RETAIN 5 YEARS AFTER EVENT, EVENT = CLOSED.

00034000. CUSTOMER RECORDS EVT+5 DEST Y

SERIES CONSISTS OF FILES FOR EACH CUSTOMER (DONEE). IT IS A SEPARATE FILE FROM THE ELIGIBILITY RECORDS, COVERED BY A SEPARATE RDA. CUSTOMER RECORDS SERIES INCLUDES RECORDS PERTAINING TO REQUESTS FOR FEDERAL PROPERTY, PURCHASES OF FEDERAL PROPERTY, CORRESPONDENCE BETWEEN THE PROGRAM AND THE DONEE, CERTIFICATION THAT THE DONEE IS ACTIVELY UTILIZING AND COMPLYING WITH FEDERAL REGULATIONS RELATING TO USE OF FEDERAL PROPERTY, ONSITE VISITS DURING RESTRICTION PERIODS, FINAL DISPOSITION / RELEASE OF THE FEDERAL PROPERTY TO THE DONEE, AND CONTACT INFORMATION FOR THE DONEE.

RECORDS IN THIS SERIES ARE CLOSED WHEN THE DONEE'S ELIGIBILITY EXPIRES AND THE DONEE NO LONGER PARTICIPATES IN THE PROGRAM. DONEE'S ELIGIBILITY AND PARTICIPATION MAY LAPSE FOR SEVERAL, DAYS, MONTHS, OR YEARS. THEREFORE CLOSED RECORDS WILL BE STORED ONSITE FOR FIVE (5) YEARS FROM THE CLOSED DATE, SO PAST DONEE'S RECORDS ARE EASILY ACCESSIBLE.

ARRANGEMENT: FILED BY CLASS CODE (PUBLIC EDUCATION, NON-PROFIT EDUCATION, LOCAL UNITS OF GOVERNMENT, ETC), BY COUNTY, BY ELIGIBILITY SEQUENCE NUMBER.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00035000. DIRECTOR'S FILE EVT+5 SHSW N

RECORDS RELATE TO THE ADMINISTRATION OF THE PROGRAM AND INCLUDE: PROGRAM PLANNING AND FINANCIAL PROJECTIONS, THE APPROVED STATE PLAN OF OPERATIONS, INTERNAL OPERATIONS HANDBOOK, MARKETING STUDIES, COPIES OF THE "SURPLUS SHOPPER" AND OTHER MARKETING EMAILS / CORRESPONDENCE, PROJECT REPORTS, INTERNAL CORRESPONDENCE, CORRESPONDENCE FROM THE NATIONAL ASSOCIATION OF STATE AGENCIES FOR SURPLUS PROPERTY, CORRESPONDENCE AND DIRECTIVES FROM THE FEDERAL GOVERNMENT (GSA, OMB, DOD, ETC.), COPIES OF THE FEDERAL AUDITS AND SUPPORTING RECORDS, COPIES OF INDEPENDENT AUDITS, AND OTHER RECORDS RELATING TO THE ADMINISTRATION OF THE PROGRAM.

RECORDS ARE CLOSED UPON THEIR RELEASE / PUBLISH DATE.

* PRIOR RDA'S 00036000 AND 00037000

00194000. ELIGIBILITY RECORDS EVT+5 DEST Y

SERIES CONSISTS OF FILES FOER EACH WISCONSIN FEDERAL PROPERTY PROGRAM APPLICANT RELATING TO THE APPLICANT'S ELIGIBILITY DETERMINATION, INCLUDING GENERAL CORRESPONDENCE WITH THE APPLICANT. THERE IS A SEPARATE RDA FOR CUSTOMER RECORDS, WHICH ARE ALSO FILED BY APPLICANT, AND FOR TRANSFER RECORDS, WHICH ARE FILED BY FEDERAL PROPERTY NUMBER.

Dept #: /324/ Department Name: FEDERAL PROPERTY

RDA # RDA Title Retention Disposition PII

RECORDS IN THIS SERIES ARE CLOSED WHEN THE APPLICANT'S ELIGIBILITY EXPIRES AND THE APPLICANT NO LONGER PARTICIPATES IN THE PROGRAM. APPLICANT'S ELIGIBILITY MAY LAPSE FOR SEVERAL DAYS, MONTHS, YEARS. THEREFORE CLOSED RECORDS WILL BE STORED ONSITE FOR FIVE (5) YEARS FROM THE CLOSED DATE, SO PAST APPLICANT RECORDS ARE EASILY ACCESSIBLE.

ARRANGEMENT: FILED BY CLASS CODE (PUBLIC EDUCATION, NON-PROFIT EDUCATION LOCAL UNITS OF GOVERNMENT, ETC.), BY COUNTY, BY ELIGIBILITY SEQUENCE NUMBER.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

Dept #: /325/ Department Name: AIR SERVICES-ENTERPRISE OPERATIONS

RDA # RDA Title Retention Disposition PII

00287000. AIRCRAFT LOG BOOKS EVT TRANS OTHER Y

WISCONSIN AIR SERVICES, ESTABLISHED PURSUANT TO SECTION 16.04 OF THE WISCONSIN STATUTES PROVIDES AIR TRANSPORTATION FOR THE GOVERNOR AND ALL OTHER STATE EMPLOYEES. IN THIS CAPACITY, WISCONSIN AIR SERVICES DEVELOPS STATE POLICIES AND GUIDELINES FOR AIRCRAFT ACQUISITION USE, MAINTENANCE, RECORDING OF OPERATIONS AND OTHER COSTS, PERFORMANCE EVALUATIONS AND REPLACEMENT OF AIRCRAFT.

FILES IN THIS SERIES INCLUDE, BUT ARE NOT LIMITED TO:

AIRCRAFT MAINTENANCE LOGS,
ENGINE LOG BOOKS,
AIRCRAFT INSPECTION RECORDS,
AIRWORTHINESS DIRECTIVES,
COMPLIANCE AND MONTHLY MAINTENANCE FORMS

EVT = TERMINATION OF STATE OWNERSHIP OF AIRCRAFT

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00288000. PILOT RECORDS-PAPER EVT TRANS OTHER Y

WISCONSIN AIR SERVICES, ESTABLISHED PURSUANT TO SECTION 16.04 OF THE WISCONSIN STATUTES, PROVIDES AIR TRANSPORTATION FOR THE GOVERNOR AND ALL OTHER STATE EMPLOYEES. IN THIS CAPACITY, WISCONSIN AIR SERVICES DEVELOPS STATE POLICIES AND GUIDELINES FOR AIRCRAFT ACQUISITION, USE, MAINTENANCE, RECORDING OF OPERATIONS AND OTHER COSTS, PERFORMANCE EVALUATIONS AND REPLACEMENT OF AIRCRAFT.

PILOT RECORDS INCLUDE, BUT ARE NOT LIMITED TO:

PILOT LOG BOOK, DUTY TIME, EXPENSES, TRAINING RECORDS, TRIP INFORMATION, AND FLIGHT INFORMATION
COPY OF PILOT'S LICENSE AND MEDICAL CERTIFICATE

THE FEDERAL AVIATION ADMINISTRATION REQUIRES THAT PILOT LOGS BE MAINTAINED ON PAPER BY THE PILOT. AIR SERVICES MAINTAINS AN ELECTRONIC SYSTEM WITH SIMILAR DATA TO SUPPORT THE PILOT'S PAPER LOG. THE PAPER LOG IS RETAINED BY THE PILOT UPON TERMINATION OF STATE SERVICE AND THE ELECTRONIC LOG MAY BE DESTROYED AT THAT TIME.

EVENT IS TERMINATION OF PILOT EMPLOYMENT.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00307000. AIRCRAFT SHOP REPAIR REPORTS EVT TRANS OTHER Y

WISCONSIN AIR SERVICES, ESTABLISHED PURSUANT TO SECTION 16.04 OF THE WISCONSIN STATUTES PROVIDES AIR TRANSPORTATION FOR THE GOVERNOR AND ALL OTHER STATE EMPLOYEES. IN THIS CAPACITY, WISCONSIN AIR SERVICES DEVELOPS STATE POLICIES AND GUIDELINES FOR AIRCRAFT ACQUISITION USE, MAINTENANCE, RECORDING OF OPERATIONS AND OTHER COSTS, PERFORMANCE EVALUATIONS AND REPLACEMENT OF AIRCRAFT.

AIRCRAFT MAINTENANCE RECORDS ARE MAINTAINED FOR EACH AIRCRAFT IN THE FLEET TO DOCUMENT REPAIR WORK DONE ON EACH PLANE. THE PRIMARY RECORD IS MAINTAINED ON PAPER FOR THE LIFE OF THE AIRCRAFT AS REQUIRED BY THE FEDERAL AVIATION ADMINISTRATION. THESE PAPER RECORDS ARE TRANSFERRED TO THE NEW

Dept #: /325/ Department Name: AIR SERVICES-ENTERPRISE OPERATIONS

RDA # RDA Title Retention Disposition PII

OWNER IF THE AIRCRAFT IS SOLD OR DESTROYED IF THE AIRCRAFT IS SCRAPPED. AN ELECTRONIC VERSION OF THE RECORD IS MAINTAINED TO SUPPORT THE FAA REQUIRED PAPER VERSION. THE ELECTRONIC VERSION MAY BE DESTROYED AFTER CORRESPONDING ENTRIES ARE RECORDED IN THE PAPER LOG.

EVENT IS THE TERMINATION OF STATE OWNERSHIP OF THE AIRCRAFT.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS STATS.

00308000. AIRCRAFT DISCREPANCIES REPORTS EVT+0/1 DEST Y

AIRCRAFT DISCREPANCY REPORTS ARE COMPLETED BY PILOTS AS A TOOL TO INFORM MECHANICS THAT WORK IS NEEDED ON AN AIRCRAFT. THE INFORMATION IS TRANSFERRED TO THE AIRCRAFT SHOP REPORT AND ENTERED INTO THE AIRCRAFT MAINTENANCE DATABASE, AFTER WHICH THEY MAY BE DESTROYED.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS.STATS.

Dept #: /334/ Department Name: RECORDS MANAGEMENT-ENTERPRISE OPERATIONS

RDA # RDA Title Retention Disposition PII

00074000. INVENTORY MAINTENANCE REQUESTS EVT+25 DEST N

Inventory maintenance requests submitted to the State Records Center by their clients. These records include, but are not limited to, inventory changes, deletions, and organizational moves.

EVENT= Date Request Completed + 25 Years

00943000. RECORDS MANAGEMENT REVIEWS EVT+5 SHSW N

The Department of Administration (DOA), authority under Wis. Stat. § 16.62(1)(c), is to periodically audit the records management programs of state agencies and the University of Wisconsin Hospitals and Clinics Authority and recommend improvements in records management practices. The purpose of these reviews is to ensure agencies have implemented records management policies, procedures and standards that comply with records retention and disposition requirements as prescribed in Wis. Stat. § 16.61 and Wis. Stat § 16.62 and Adm. Chapter 12 Electronic Records Management.

Records in this series include; reviewer notes and comments, supporting documentation, the report to the agency, responses to the report and corrective action taken.

EVENT: Date of final report

Dept #: /335/ Department Name: WOMEN-OWNED BUSINESS ENTERPRISE PROGRAM

RDA # RDA Title Retention Disposition PII

00930000. WOMEN-OWNED BUSINESS ENTERPRISE CERTIFICATION CR+5 DEST Y

THE WOMEN-OWNED BUSINESS ENTERPRISE PROGRAM PROMOTES THE AVAILABILITY OF PROCUREMENT OPPORTUNITIES IN PROVIDING A STATE DESIGNATION THAT ATTESTS TO THE OWNERSHIP OF THE BUSINESS BY A WOMAN OR WOMEN WHO HOLD 51% OF THE OWNERSHIP, CONTROL AND MANAGEMENT OF A BUSINESS. THE PROGRAM COLLABORATES WITH OTHER WOMEN BUSINESS ORGANIZATIONS TO STRENGTHEN THE WOMEN-OWNED BUSINESS WHO ATTAINED THE WBE CERTIFICATION.

IN ACCORDANCE WITH WIS. STATS. 560.035(2) TO MAINTAIN A DATABASE THAT PROVIDES DEMOGRAPHIC AND STATISTICAL INFORMATION ON THE WBE APPLICANTS AND IN ASSURING THAT APPLICANTS MEET THE CODE REQUIREMENTS CONTAINED IN ADM. 83 ELIGIBILITY, THE PROGRAM COLLECTS THE FOLLOWING: APPLICANTS NAME, ADDRESS, FEDERAL IDENTIFICATION NUMBER OR SOCIAL SECURITY NUMBER, ADDRESSES AND PHONE NUMBER; COPIES OF BIRTH CERTIFICATES, PASSPORTS OR DRIVERS LICENSES; TAXES, W-2'S, P&L STATEMENTS AND BALANCE SHEETS, BANK SIGNATURE CARDS, BUSINESS CONTRACTS; BUSINESS CORPORATE DOCUMENTS SUCH AS ARTICLES OF INCORPORATION, ANNUAL FILINGS WITH DFI, BY-LAWS, OPERATING AGREEMENTS; COPIES OF BUSINESS LEASES, DISTRIBUTOR AGREEMENTS, INVOICES; AND, COPIES OF PROGRAM CORRESPONDENCE RELATED TO THE CYCLE OF WBE ELIGIBILITY, INCLUDING ON-SITE VISIT REPORTS.

Dept #: /335/ Department Name: WOMEN-OWNED BUSINESS ENTERPRISE PROGRAM

RDA # RDA Title Retention Disposition PII

RETENTION PERIOD IS CREATION + 5 YEARS. CREATION IS THE DATE ON THE OFFICIAL LETTER OF CERTIFICATION FROM THE PROGRAM. SCANNED FILES TO BE VERIFIED AND DESTROYED.

00931000. WOMEN-OWNED BUSINESS ENTERPRISE DE-CERTIFICATION CR+5 DEST Y

THE WOMEN-OWNED BUSINESS ENTERPRISE PROGRAM PROMOTES THE AVAILABILITY OF PROCUREMENT OPPORTUNITIES IN PROVIDING A STATE DESIGNATION THAT ATTESTS TO THE OWNERSHIP OF THE BUSINESS BY A WOMAN OR WOMEN. BUSINESSES ARE OCCASIONALLY DE-CERTIFIED FOR REASONS SUCH AS OWNERSHIP CHANGES, NON-COMPLIANCE WITH THE ORIGINAL CERTIFICATION RULES, ETC. IN THESE CASES, LETTERS ARE SENT TO THE BUSINESS ADVISING THE BUSINESS OWNER OF THE REASONS FOR THE DE-CERTIFICATION.

RETENTION IS CR+5. CREATION IS THE DATE ON THE OFFICIAL LETTER OF DE-CERTIFICATION FROM THE PROGRAM TO THE BUSINESS. DESTROY CONFIDENTIAL.

00932000. WOMEN-OWNED BUSINESS ENTERPRISE SUBJECT FILES EVT+5 SHSW N

THE WOMEN-OWNED BUSINESS ENTERPRISE PROGRAM PROMOTES THE AVAILABILITY OF PROCUREMENT OPPORTUNITIES AND COLLABORATES WITH OTHER WOMEN BUSINESS ORGANIZATIONS TO STRENGTHEN THE WOMEN-OWNED BUSINESSES. GENERAL PROGRAM SUBJECT FILES INCLUDE INFORMATION SUCH AS RESEARCH MATERIALS, MEETING AGENDAS, NOTICES AND MINUTES, DATA FOR REPORTS, BROCHURES, COMMITTEE REPORTS AND CORRESPONDENCE, NAMES, ADDRESSES AND E-MAILS OF PERSONS WHO WISH TO BE MAILED PROGRAM UPDATES AND OTHER MISCELLANEOUS MATERIAL NOT DIRECTLY RELATED TO CERTIFICATION OR DE-CERTIFICATION.

RETENTION IS EVT+5. EVENT IS THE RECEIPT OF OR DATE ON MATERIAL/RECORD. TRANSFER TO STATE ARCHIVES (WHS).

Dept #: /337/ Department Name: DISABLED VETERAN-OWNED BUSINESS

RDA # RDA Title Retention Disposition PII

00940000. DISABLED VERTERAN-OWNED BUSINESS CERTIFICATION CR+5 DEST Y

TO INCREASE THE OPPORTUNITY FOR DISABLED VETERAN FIRMS TO SELL THEIR PRODUCTS AND SERVICES TO THE STATE OF WISCONSIN, THE DISABLED VETERAN-OWNED BUSINESS ENTERPRISE PROGRAM WAS ENACTED IN 2010. THE PROGRAM PROMOTES THE AVAILABILITY OF PROCUREMENT OPPORTUNITIES FOR AND COLLABORATES WITH DISABLED VETERANS WHO OWN THEIR OWN BUSINESS. QUALIFIED BUSINESSES HAVE TO BE CERTIFIED BY THE PROGRAM.

RECORDS IN THIS SERIES INCLUDE THE CERTIFICATION APPLICATION (ADM 82.20), DETERMINATION OF DISABLED VETERAN STATUS (ADM 82.22), DOCUMENTATION OF OWNERSHIP (ADM 82.25), DOCUMENTATION OF CONTROL (ADM 82.29), DOCUMENTATION OF ACTIVE MANAGMENT (ADM 82.33), RECERTIFICATION APPLICATION (ADM 82.55). OTHER INFORMATION WILL INCLUDE, OWNER(S) NAME, BUSINESS FINANCIAL STATEMENT, BUSINESS TAX STATEMENT, BUSINESS STOCK DISTRIBUTION, BUSINESS LICENSES/PERMITS, LIST OF MAJOR ASSETS AND EVIDENCE OF REVENUE (CONTRACTS, RECEIPTS, INVOICES).

RETENTION PERIOD IS CREATION + 5 YEARS. CREATION IS THE DATE ON THE OFFICIAL LETTER OF CERTIFICATION FROM THE PROGRAM. SCANNED FILES TO BE VERIFIED AND DESTROYED

00941000. DISABLED VERTERAN-OWNED BUSINESS DE-CERTIFICATION CR+5 DEST Y

THE DISABLED VETERAN-OWNED BUSINESS PROGRAM PROMOTES THE AVAILABILITY OF PROCUREMENT OPPORTUNITIES FOR AND COLLABORATES WITH DISABLED VETERAN BUSINESS ORGANIZATIONS. BUSINESSES WHICH ARE CERTIFIED BY THE PROGRAM MAY OCCASIONALLY NEED TO BE DE-CERTIFIED FOR REASONS SUCH AS OWNERSHIP CHANGES, NON-COMPLIANCE WITH THE ORIGINAL CERTIFICATION RULES, ETC. IN THESE CASES, LETTERS ARE SENT TO THE BUSINESS ADVISING OF THE DECERTIFICATION.

THE RETENTION IS CR+5. CREATION IS THE DATE ON THE OFFICIAL LETTER OF DE-CERTIFICATION FROM THE PROGRAM TO THE BUSINESS. DESTROY CONFIDENTIAL.

00942000. DISABLED VERTERAN-OWNED BUSINESS PROGRAM SUBJECT FILES EVT+5 SHSW N

THE DISABLED VETERAN-OWNED BUSINESS PROGRAM PROMOTES THE AVAILABILITY OF PROCUREMENT OPPORTUNITIES FOR AND COLLABORATES WITH BUSINESSES OWNED BY DISABLED VETERANS AND RELATED ORGANIZATIONS. GENERAL PROGRAM SUBJECT FILES INCLUDE INFORMATION SUCH A RESEARCH MATERIALS, MEETING AGENDAS, NOTICES AND MINUTES, DATA FOR REPORTS, BROCHURES, FLYERS, NEWSPAPER CLIPPINGS, PROMOTIONAL MATERIALS AND GENERAL CORRESPONDENCE.

THE RETENTION IS EVT+5. EVENT IS THE RECEIPT OF OR DATE ON MATERIAL/RECORD. TRANSFER TO STATE ARCHIVE

Dept #: /337/ Department Name: DISABLED VETERAN-OWNED BUSINESS

| RDA # | RDA Title | Retention | Disposition | PII |
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(WHS).

Dept #: /340/ Department Name: MINORITY BUSINESS ENTERPRISE

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00249000.</u> | <u>MINORITY OWNED BUSINESS CERTIFICATION FILES</u> | <u>CR+5</u> | <u>DEST</u> | <u>Y</u> |
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RECORDS ARE CREATED UPON RECEIPT OF APPLICATION (DD-400) FOR REVIEW AND APPROVAL. RECORDS CONTAINED IN THIS SERIES INCLUDE THE INITIAL CERTIFICATION APPLICATION, ON-SITE VISIT REPORTS, RECERTIFICATION OF APPLICATIONS, AWARD/DENIAL CORRESPONDENCE PURSUANT TO S. 560.036, WIS. STAT. RECORDS ARE RETAINED FOR 3 YEARS FOR REVIEW PURPOSES FOLLOWING DECERTIFICATION.

RECORDS IN THIS SERIES MAY BE SUBDIVIDED IN THE FOLLOWING FILES: CERTIFICATION APPLICATION S. DOD 5.14(1); DETERMINATION OF MINORITY STATUS S. DOD 5.04(1); DOCUMENTATION OF OWNERSHIP S. DOD 5.06(1); DOCUMENTATION OF CONTROL S. DOD 5.08(1-3); DOCUMENTATION OF ACTIVE MANAGEMENT S. DOD 5.10(1); RECERTIFICATION APPLICATION S. DOD 5.13(3)

INFORMATION IN THIS SERIES MAY INCLUDE: OWNER(S) NAME; ETHNICITY OF OWNER(S); BUSINESS FINANCIAL STATEMENT; BUSINESS TAX STATEMENTS; BUSINESS STOCK DISTRIBUTION; BUSINESS LICENSES/PERMITS; LIST OF MAJOR ASSETS; EVIDENCE OF REVENUE (CONTRACTS, RECEIPTS, INVOICES).

RETENTION PERIOD IS CREATION + 5 YEARS. CREATION IS THE DATE ON THE OFFICIAL LETTER OF CERTIFICATION FROM THE PROGRAM. SCANNED FILES TO BE VERIFIED AND DESTROYED.

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| <u>00252000.</u> | <u>CERTIFICATION DATA</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
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Electronic Records Related To The State Minority- Owned Business Certification Applications And Awards Are Maintained By The Department Of Commerce On The PEARL Database Software. PEARL Is A Hierarchical Database Written And Supported By Henry A. Bromelkamp & Co., Minneapolis, Mn. and Customized For The Division'S Daily Operations. It Is Made Up Of Database Systems, such as County List, Constituent List, Prospect Management System, Loan System, Draw System, Audit System, Labor Standards System, And Environmental Review System. Systems are Capable Of Accumulating Historical Certification Program Data. Historical Information entered Includes The Following:

- Applicant Name, Address, Federal Identification Number, Telephone Number, And Fax Number;
- Company Contact, Title, Telephone Number And Fax Number;
- Project Description
- Date Application Received
- Date Certified, And Date Award Letter Sent; And
- Project Monitoring Dates And Fiscal Information

Retention: Evt (Project Close-Out) + 4 Years And Delete.

Dept #: /390/ Department Name: WIS ADVANCED TELECOMM FOUNDATION-ENTERPRISE TECHNOLOG

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| <u>00035200.</u> | <u>TEACH APPLICATIONS</u> | <u>EVT+5</u> | <u>DEST</u> | <u>N</u> |
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THE TECHNOLOGY FOR EDUCATIONAL ACHIEVEMENT (TEACH) PROGRAM IS AUTHORIZED UNDER CHAPTER 16, SUBCHAPTER IX OF THE WISCONSIN STATUTES. TEACH IS ADMINISTERED BY THE WISCONSIN DEPARTMENT OF ADMINISTRATION, DIVISION OF ENTERPRISE TECHNOLOGY. SECTION 16.997, WISCONSIN STATUTES, AUTHORIZES TEACH TO PROVIDE ELIGIBLE EDUCATIONAL AGENCIES ACCESS TO DATA LINES AND VIDEO LINKS THROUGH ITS EDUCATIONAL TELECOMMUNICATIONS ACCESS PROGRAM.

RECORDS MAY INCLUDE ORIGINAL AND CONTINUING APPLICATIONS FOR PARTICIPATION IN THE TEACH PROGRAM, ALONG WITH EMAIL LETTERS, PROGRAM AUDITS AND ASSESSMENTS AND EVALUATIONS.

RDA # RDA Title Retention Disposition PII

ELECTRONIC RECORDS APPRAISAL NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, TO MAKE SURE THAT IT REMAINS AVAILABLE THROUGHOUT THE STATED RETENTION PERIOD, AND TO MEET THE REQUIREMENTS OF ADMINISTRATIVE RULE ADM 12 A READABILITY AND RETRIEVAL CHECK MUST BE DONE ON CD'S AT LEAST EVERY 3 YEARS AND TRANSFER TO NEW STORAGE MEDIA AT LEAST EVERY 5 YEARS.

EVENT = SUPERSEDED

00249000. GRANT APPLICATIONS AND AWARDS EVT+5 DEST N

THE TECHNOLOGY FOR EDUCATIONAL ACHIEVEMENT (TEACH) PROGRAM IS AUTHORIZED UNDER CHAPTER 16, SUBCHAPTER IX OF THE WISCONSIN STATUTES. TEACH IS ADMINISTERED BY THE WISCONSIN DEPARTMENT OF ADMINISTRATION, DIVISION OF ENTERPRISE TECHNOLOGY. SECTION 16.997, WISCONSIN STATUTES, AUTHORIZES TEACH TO PROVIDE ELIGIBLE EDUCATIONAL AGENCIES ACCESS TO DATA LINES AND VIDEO LINKS THROUGH ITS EDUCATIONAL TELECOMMUNICATIONS ACCESS PROGRAM.

RECORDS MAY INCLUDE APPLICATION, AWARDS, CONDITIONS, APPROVAL LETTERS, ORIGINAL AND CONTINUING APPLICATIONS, DENIAL LETTERS, EMAIL LETTERS, COPIES OF PROGRAM AUDITS, ASSESSMENTS AND EVALUATIONS, BUDGET WORKSHEETS, COPIES OF PURCHASE ORDERS, EXPEDITURE REPORTS AND OTHER PROGRAM AND FISCAL RELATED SUPPORTING DOCUMENTATION. ANNUAL, STATUS AND FINAL REPORTS MAY BE INCLUDED. OTHER GRANTS MAY INCLUDE BLOCK GRANTS, TRAINING AND TECHNICAL ASSISTANCE GRANTS, TELECOMMUNICATION ACCESS GRANTS AND NEW GRANTS AWARDED FOR INFRASTRUCTURE FINANCIAL ASSISTANCE. THIS INFORMATION MAY BE MAINTAINED FOR EACH ORGANIZATION RECEIVING A GRANT.

FEDERAL LAW REQUIRES RETENTION OF GRANT DOCUMENTATION FOR FIVE YEARS AFTER A FEDERAL REIMBURSEMENT CHECK IS RECEIVED BY THE STATE.

ELECTRONIC RECORDS APPRAISAL NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, TO MAKE SURE THAT IT REMAINS AVAILABLE THROUGHOUT THE STATED RETENTION PERIOD, AND TO MEET THE REQUIREMENTS OF ADMINISTRATIVE RULE ADM 12 A READABILITY AND RETRIEVAL CHECK MUST BE DONE ON CD'S AT LEAST EVERY 3 YEARS AND TRANSFER TO NEW STORAGE MEDIA AT LEAST EVERY 5 YEARS.

EVENT = RECEIPT OF FEDERAL REIMBURSEMENT

00258000. TECHNOLOGY PLANS EVT+5 SHSW N

THE TECHNOLOGY FOR EDUCATIONAL ACHIEVEMENT (TEACH) PROGRAM IS AUTHORIZED UNDER CHAPTER 16, SUBCHAPTER IX OF THE WISCONSIN STATUTES. TEACH IS ADMINISTERED BY THE WISCONSIN DEPARTMENT OF ADMINISTRATION, DIVISION OF ENTERPRISE TECHNOLOGY. SECTION 16.997, WISCONSIN STATUTES, AUTHORIZES TEACH TO PROVIDE ELIGIBLE EDUCATIONAL AGENCIES ACCESS TO DATA LINES AND VIDEO LINKS THROUGH ITS EDUCATIONAL TELECOMMUNICATIONS ACCESS PROGRAM.

POTENTIAL TEACH GRANT RECIPIENTS ARE REQUIRED TO FILE TECHNOLOGY PLANS. PUBLIC SCHOOLS' AND PUBLIC LIBRARIES' PLANS ARE SUBMITTED TO THE DEPARTMENT OF PUBLIC INSTRUCTION (DPI) WHO REVIEWS THEM. PRIVATE SCHOOLS' PLANS ARE SUBMITTED TO AND REVIEWED BY DOA.

IN ADDITION TO THE TECHNOLOGY PLAN, RECORDS MAY INCLUDE UPDATES TO THE PLANS, CORRESPONDENCE REGARDING PLANS, AND DOCUMENTATION REGARDING THE REVIEW AND APPROVAL OF PLANS.

ELECTRONIC RECORDS APPRAISAL NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, TO MAKE SURE THAT IT REMAINS AVAILABLE THROUGHOUT THE STATED RETENTION PERIOD, AND TO MEET THE REQUIREMENTS OF ADMINISTRATIVE RULE ADM 12 A READABILITY AND RETRIEVAL CHECK MUST BE DONE ON CD'S AT LEAST EVERY 3 YEARS AND TRANSFER TO NEW STORAGE MEDIA AT LEAST EVERY 5 YEARS.

EVT = EXPIRATION OF DOA APPROVED TECHNOLOGY PLAN

00338000. TEACH FINANCIAL RECORDS EVT+5 DEST N

THE TECHNOLOGY FOR EDUCATIONAL ACHIEVEMENT (TEACH) PROGRAM IS AUTHORIZED UNDER CHAPTER 16, SUBCHAPTER IX OF THE WISCONSIN STATUTES. TEACH IS ADMINISTERED BY THE WISCONSIN DEPARTMENT OF ADMINISTRATION, DIVISION OF ENTERPRISE TECHNOLOGY. SECTION 16.997, WISCONSIN STATUTES, AUTHORIZES TEACH TO PROVIDE ELIGIBLE EDUCATIONAL AGENCIES ACCESS TO DATA LINES AND VIDEO LINKS THROUGH ITS EDUCATIONAL TELECOMMUNICATIONS ACCESS PROGRAM.

RECORDS INCLUDE LETTERS OF AUTHORITY (EVERY THREE YEARS), BILLING, PAYMENTS, SERVICE REQUESTS AND SERVICE UPGRADE REQUESTS, FISCAL REPORTS AND AUDITS. RECORDS MAY INCLUDE MONTHLY FINANCIAL STATEMENTS, INVESTMENT REPORTS AND RECONCILIATION WORK PAPERS, CONTRIBUTION DOCUMENTATION, AND OFFICE FURNITURE AND EQUIPMENT RECORDS.

FEDERAL LAW REQUIRES RETENTION OF RELATED DOCUMENTATION FOR FIVE YEARS AFTER A FEDERAL REIMBURSEMENT CHECK IS RECEIVED BY THE STATE.

ELECTRONIC RECORDS APPRAISAL NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, TO MAKE SURE THAT IT REMAINS AVAILABLE THROUGHOUT THE STATED RETENTION PERIOD, AND TO MEET THE REQUIREMENTS OF ADMINISTRATIVE RULE ADM 12 A READABILITY AND RETRIEVAL CHECK MUST BE DONE ON CD'S

Dept #: /390/ Department Name: WIS ADVANCED TELECOMM FOUNDATION-ENTERPRISE TECHNOLOG

RDA # RDA Title Retention Disposition PII

AT LEAST EVERY 3 YEARS AND TRANSFER TO NEW STORAGE MEDIA AT LEAST EVERY 5 YEARS.

EVET = RECIEPT OF FEDERAL REIMBURSEMENT.

00339000. TEACH BOARD POLICIES EVT+3 SHSW N

THE TECHNOLOGY FOR EDUCATIONAL ACHIEVEMENT (TEACH) PROGRAM IS AUTHORIZED UNDER CHAPTER 16, SUBCHAPTER IX OF THE WISCONSIN STATUTES. TEACH IS ADMINISTERED BY THE WISCONSIN DEPARTMENT OF ADMINISTRATION, DIVISION OF ENTERPRISE TECHNOLOGY. SECTION 16.997, WISCONSIN STATUTES, AUTHORIZES TEACH TO PROVIDE ELIGIBLE EDUCATIONAL AGENCIES ACCESS TO DATA LINES AND VIDEO LINKS THROUGH ITS EDUCATIONAL TELECOMMUNICATIONS ACCESS PROGRAM.

THE TEACH BOARD WAS DISBANDED IN 2003. HOWEVER, THE ESTABLISHED POLICIES ARE FOLLOWED BY DOA PENDING PROMULGATION OF NEW RULES.

RECORDS INCLUDE POLICIES, MEETING CORRESPONDENCE, A ROSTER OF BOARD MEMBERS, MEETING AGENDAS AND ATTACHMENTS, BRIEFING DOCUMENTS, MEETING HANDOUTS AND PRESENTATIONS AND MEETING MINUTES REFLECTING ALL DECISIONS MADE.

EVT = EFFECTIVE DATE OF REPLACEMENT POLICIES OR ADMINISTRATIVE RULES.

Dept #: /400/ Department Name: FACILITIES DEVELOPMENT

RDA # RDA Title Retention Disposition PII

00094000. CONSTRUCTION PROJECT FILES EVT+10 SHSW Y

Project Files Are For All Completed Projects. Projects Are Considered Complete After Final Payment Is Made To All Contractors And A/E. These Include:

Contracts, Contract Change Orders And Correspondence (see Section 16.87, 16.88 And 16.89, of the Wisconsin Statutes)

Requests And Certification For Payments

Insurance Policies And Bond Forms

Record File Copy Of Specifications

Related Forms And Correspondence Involved In The Construction Of Project.

These Project Files Are Kept In State Facilities Development For 6 Months After The Project Has Been Completed Before They Are Sent To The State Records Center For Storage.

Evt=Project Closure

* Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; ss. 19.36 (10)(a) and (13), wis. Stats.

00168000. ASBESTOS ABATEMENT PROJECT FILES P PERM Y

THESE RECORDS ARE FEDERALLY REQUIRED IN RESPONSE TO REGULATIONS ON ASBESTOS ABATEMENT ACTIVITY, MANDATED BY THE OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA). THE REGULATING GUIDELINE FOR ASBESTOS ABATEMENT PROJECTS IS FOUND AT 29 CFR 1926.1101, ASBESTOS STANDARD FOR CONSTRUCTION.

UNDER THSOE RULES, OSHA REQUIRES THAT THESE RECORDS BE KEPT FOR DURATION OF WONERSHIP OF BUILDING. HOWEVER, BECAUSE THERE MAY BE NO TIME LIMIT TO THE LIABILITY OF THE STATE FOR ASBESTOS LITIGATION THESE RECORDS NEED TO BE RETAINED PERMANENTLY.

RECORDS RETAINED IN THESE FILES INCLUDE INFORMATION ABOUT THE ASBESTOS ABATEMENT CONTRACTOR, SCOPE OF ASBESTOS REMOVAL AND WASTE MANIFEST / LANDFILL DISPOSAL RECORDS.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS HOME ADDRESSES, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00231000. BUILDING COMMISSION MINUTES-SUBCOMMITTEE AND FULL COMMISSION CR+20 SHSW N

RDA # RDA Title Retention Disposition PII

STATE BUILDING COMMISSION CREATED BY S. 13.48(2), WIS. STATS.

SERIES CONSISTS OF MONTHLY STATE BUILDING COMMISSION MINUTES DETAILING AUTHORIZATION FOR PROJECTS, FUNDING AND RELATED INFORMATION, SUCH AS AGENCY REQUESTS FOR BUILDING COMMISSION MEETINGS.

00311000. CENTRAL PLANT FUEL REQUESTS EVT+1 DEST N

Central Fuel Procurement Program Was Created By DOA Under The Authorization Of 16.895, Wis. Stats. Under the fuel procurement program, Monthly Fuel Requirements (Natural Gas, Coal, Tire Derived Fuels, And Paper Fuel Pellets, Etc.) Are Received From The Agency Central Heating Plants and entered into a spreadsheet. This RDA covers the spreadsheet, which is used to determine fuel volume requirements, assist with ordering fuel, verify past fuel usage, and relsove contract disputes.

00326000. BUILDING COMMISSION CORRESPONDENCE-SUBCOMMITTEES AND FULL C CR+10 SHSW N

STATE BUILDING COMMISSION CREATED BY S. 13.48(2), WIS. STATS.

SERIES CONSISTS OF MISCELLANEOUS CORRESPONDENCE PERTAINING TO BUILDING COMMISSION AGENDAS.

00357A00. BUILDING CONTRACT SUPPORTING DOCUMENTS EVT+10 DEST N

Wis. Stat. § 16.855 authorizes Division of Facilities Development to design and construct all state facilities.

Supporting documents for contracts are a variety of paper documents and forms that provide information relative to design and construction contracts. These forms are scanned and stored as electronic images on the State Facilities Information database. After the electronic image is verified, the paper copies are destroyed. This RDA covers the retention and destruction of electronic images.

The electronic images are maintained in the database for the life of the project plus 10 years.

Examples of supporting documents are: Proof of Insurance, Affirmative Action Plan or Exemption Forms; Wage Rate Affidavits; and Settlement Certificates.

EVENT: Contract Closed

00390000. WISCONSIN ASBESTOS AND LEAD MANAGEMENT STSYEM (WALMS) P PERM Y

THE DIVISION OF STATE FACILITIES IS AUTHORIZED BY S. 16.855 TO DESIGN AND CONSTRUCT ALL STATE FACILITIES. ADMIN RULE NR447.06 REQUIRES THAT PRIOR TO RENOVATION, BUILDING OWNERS ARE TO INSPECT FOR ASBESTOS AND NOTIFY CONSTRUCTION WORKERS OF THE LOCATION AND QUANTITY OF ASBESTOS CONTAINING MATERIALS (ACM). ADMIN RULE COMM 32.50, TABLE 32.50-1, INCORPORATES BY REFERENCE OCCUPATIONAL SAFETY AND HEALTH REGULATIONS FOR CONSTRUCTION, TITLE 29 CFR PART 1926, JULY 1, 2003. THESE RULES ALSO REQUIRE BUILDING OWNERS TO IDENTIFY ASBESTOS MATERIALS PRIOR TO CONSTRUCTION AND REQUIRES RECORDS RETENTION FOR DURATION OF OWNERSHIP OF THE BUILDING.

DSF MAINTAINS CONTRACTS WITH CONSULTANTS FOR THE REQUIRED ASBESTOS INSPECTION AND AIR MONITORING. UPON COMPLETION OF BUILDING INSPECIONS AN OFFICIAL INSPECTION REPORT IS PREPARED AND SUBMITTED TO DSF. THIS REPORT INCLUDES: BUILDING INFORMATION, FLOOR PLANS, MATERIAL INVENTORY BY ROOM, BULK SAMPLE DATA AND LIMITED TESTING FOR LEAD BASED PAINT. THE INSPECTION REPORT ALSO TYPICALLY INCLUDES COPIES OF CONTRACTOR LICENSES WHICH INCLUDES HOME ADDRESS INFORMATION.

RECORDS OF ACTUAL ASBESTOS REMOVAL PROJECTS ARE RETAINED UNDER 505/00168000 -- ASBESTOS ABATEMENT PROJECT FILES.

BECAUSE THERE MAY BE NO TIME LIMIT TO THE LIABILITY OF THE ASBESTOS LITIGATION THESE RECORDS SHOULD BE RETAINED PERMANENTLY.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS HOME ADDRESS INFORMATION, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00391000. ENVIRONMENTAL INVESTIGATION AND REMEDIATION FILES P PERM N

THE DIVISION OF STATE FACILITIES IS AUTHORIZED BY S. 16.85 TO DESIGN AND CONSTRUCT STATE FACILITIES. ONE COMPONENT OF THIS RESPONSIBILITY IS COMPLIANCE WITH ENVIRONMENTAL PROTECTION LAWS AND RULES. ENVIRONMENTAL SITE INVESTIGATIONS ARE TYPICALLY CONDUCTED IN COMPLIANCE WITH WISCONSIN ADMINISTRATIVE RULE CHAPTER NR700.

THESE RECORDS ARE PROJECT FILES FOR ENVIRONMETAL SITE INVESTIGATIONS THAT HAVE BEEN REQUIRED BY THE DEPARTMENT OF NATURAL RESOURCES (WDNR) AND / OR THE US ENVIRONMENTAL PROTECTION AGENCY (USEPA). THERE ARE FREQUENT INSTANCES WHEN A REGULATING AGENCY REQUIRES THAT THE PROPERTY OWNER RE-ADDRESS THE ENVIRONMETAL SITUATION AT A SITE AND ACCESS TO RECORDS OF PREVIOUS WORK CONDUCTED ON THE PROPERTY BECOMES NECESSARY.

WHEN CONSTRUCTION OR EXCAVATION IS PERFORMED ON A SITE WHICH HAS UNDERGONE EIVRONEMENTAL

Dept #: /400/ Department Name: FACILITIES DEVELOPMENT

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REMEDICATION IN THE PAST, THESE RECORDS ARE NEEDED IN ORDER TO FIND OUT EXACTLY WHAT CONTAMINATION, IF ANY, REMAINS IN THE SUBSURFACE AND NOW MUST BE DEALT WITH OR AVOIDED, OR WHAT IN-PLACE ENGINEERING BARRIERS, SUCH AS CLAY LINERS OR CAPS, HAVE TO BE AVOIDED OR REPLACED.

WHEN A PROPERTY PARCEL IS TO BE TRANSFERRED TO A NEW OWNER, ACCESS TO THESE HISTORICAL RECORDS RELATED TO ENVIRONMENTAL CONTAMINATION IS CRITICAL AND USUALLY DEMANDED BY THE PURCHASING PARTY.

PRIOR TO 2008 THESE FILES WERE MAINTAINED AS PART OF INDIVIDUAL DSF PROJECT FILES UNDER RDA 505/00094000.

BECAUSE THERE IS NO LIMIT TO THE LIABILITY OF THE STATE FOR MOST LITIGATION RELATED TO ENVIRONMENTAL REMEDIATION THESE RECORDS MUST BE RETAINED PERMANENTLY.

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| <u>00392000.</u> | <u>ROOFING AND PLAZA GUARANTEE AND WARRANTY DATA</u> | <u>CR+20</u> | <u>DEST</u> | <u>N</u> |
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THE DIVISION OF STATE FACILITIES IS AUTHORIZED BY S. 16.855 TO DESIGN AND CONSTRUCT ALL STATE FACILITIES.

ROOFING WARRANTY FILES ARE CREATED FOR ALL ROOFING AND REROOFING PROJECTS UPON PROJECT COMPLETION. PROJECTS ARE CONSIDERED COMPLETE AFTER FINAL PAYMENTS ARE MADE TO ALL CONTRACTORS AND A/E'S.

THE FILES CONTAIN STATE GUARANTEES AND MANUFACTURER'S WARRANTIES FOR ROOF SYSTEMS, METAL FABRICATIONS, LIGHTNING PROTECTION, ASBESTOS TESTING AND OTHER RELATED ITEMS. BUDGET AND CHANGE ORDER INFORMATION ARE ALSO MAINTAINED IN THE ROOFING WARRANTY FILES. COPIES OF GUARANTEE / WARRANTY INFORMATION RECEIVED BY THE AGENCY UPON CLOSEOUT OF NEW BUILDING CONSTRUCTION PROJECTS ARE ALSO MAINTAINED UNDER THIS RDA.

PRIOR TO 2008, THESE FILES WERE MAINTAINED AS PART OF INDIVIDUAL DSF PROJECT FILES UNDER RDA 505/00094000.

Dept #: /427/ Department Name: LIRC

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
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| <u>00010000.</u> | <u>UNEMPLOYEMNT INSURANCE COURT CASE FILES</u> | <u>EVT+7</u> | <u>SHSW</u> | <u>Y</u> |
|------------------|------------------------------------------------|--------------|-------------|----------|

FILES ARE CREATED BY THE LABOR AND INDUSTRY REVIEW COMMISSION ONCE A SUMMONS AND COMPLAINTS (APPEAL) IS RECEIVED FROM AN UNEMPLOYMENT INSURANCE COMMISSION DECISION.

FILES CONTAIN:

1. COURT PLEADINGS
2. MOTIONS
3. APPEAL BRIEFS
4. HEARING TRANSCRIPT
5. CORRESPONDENCE
6. APPEAL TRIBUNAL DECISIONS
7. COMMISSION DECISIONS
8. CIRCUIT COURT DECISIONS, COURT OF APPEALS DECISIONS AND SUPREME COURT DECISIONS IF APPEALED TO THOSE COURTS.
9. DIGEST SUMMARY (WHEN APPLICABLE)

NOTE: THE HEARING OFFICE FILE IS INCLUDED IN THE COURT CASE FILE WHILE THE COURT CASE IS PENDING. ONCE THE CASE IS CLOSED THE HEARING OFFICE FILE IS REMOVED FROM THE COURT CASES FILE AND RETURNED TO THE APPROPRIATE HEARING OFFICE.

NOTE: CERTAIN CORRESPONDENCE AND WORKING DOCUMENTS ARE REMOVED FROM THE COURT CASE FILE AND DESTROYED ONCE THE COURT CASE IS CLOSED. THESE WORKING RECORDS USED IN CASE PREPARATION ARE NO LONGER OF ANY VALUE TO THE LABOR AND INDUSTRY REVIEW COMMISSION AFTER THE CLOSE OF A CASE. (SEE RDA \$445-00010A, UI CASE PREPARATION/BACKGROUND MATERIAL)

RETENTION: EVENT (CLOSED MEANS DATE OF THE LAST COURT DECISION) + 7 YEARS AND TRANSFER TO STATE ARCHIVES (WHS).

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| <u>00084B00.</u> | <u>UNEMPLOYMENT INSURANCE HEARING TAPES/DIGITAL FILES FOR CASES</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
|------------------|---------------------------------------------------------------------|--------------|-------------|----------|

1. CASSETTE TAPES OF TESTIMONY IN UNEMPLOYMENT INSURANCE CASES APPEALED TO CIRCUIT COURT FOLLOWING DECISIONS BY THE LABOR AND INDUSTRY REVIEW COMMISSION. TRANSCRIPTS ARE PREPARED FROM THE DIGITAL HEARING FILES ONCE A CASE REACHES THE COURT APPEAL STAGE. AFTER JANUARY 2013, THE COMMISSION WILL NO LONGER POSSESS ANY CASSETTE TAPES CONTAINING TESTIMONY FROM UNEMPLOYMENT INSURANCE CASES

Dept #: /427/ Department Name: LIRC

RDA # RDA Title Retention Disposition PII

APPEALED TO CIRCUIT COURT.

2. DIGITAL HEARING FILES IN UNEMPLOYMENT INSURANCE CASES APPEALED TO CIRCUIT COURT FOLLOWING DECISIONS BY THE LABOR AND INDURTY REVIEW COMMISSION. TRANSCRIPTS ARE PREPARED FROM THE DIGITAL HEARING FILES ONCE A CASE REACHES THE COURT APPEAL STAGE* (THESE ARE ELECTRONIC FILES)

(TRANSCRIPTS ARE COVERED UNDER RDA#00010.)

* THE DIGITAL RECORDING MEDIUM FOR UNEMPLOYMENT INSURANCE HEARINGS HAS REPLACED THE USE OF CASSETTE TAPES FOR RECORDING HEARINGS. THE CONVERSION FROM CASSETTE TAPES TO DIGITAL HEARING FILES STARTED IN FEBRUARY 2003 AND WAS COMPLETED IN FEBRUARY 2004.

RETENTION: EVENT (CLOSED MEANS DATE OF THE LAST COURT DECISION) + 7 YEARS AND DESTROY CONFIDENTIAL.

Dept #: /475/ Department Name: DISTRICT ATTORNEY ADMINISTRATION

RDA # RDA Title Retention Disposition PII

00149000. STATE PROSECUTORS CORRESPONDENCE CR+2 DEST Y

The State Prosecutors Office Was Created In The 1989 biennial 31 Budget Bill.

Files May Contain Routine Correspondence and other communications Consisting Of Responses To Verbal Or Written Inquiries By State Prosecutors' Office To Approximately 430 State Prosecutors (including elected District Attorney's and appointed deputy DA's and Assistant DA's), Staff, Other Legal Entities, And/Or The General Public.

This Correspondence Does Not include documents that are part of a new or existing Case File.

* Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; ss. 19.36 (10)(a) and (13), Wis. Stats.

00312000. STATE PROSECUTORS OFFICIAL MEMORANDA AND LEGAL OPINIONS CR+20 SHSW N

(Outgoing Documents)
The State Prosecutors Office Was Created byThe 1989 biennel Budget Bill.

These Files Contain State Prosecutors Office Memoranda (Numbered Series) Covering Both General Information And Specific Prosecutors Office Policies For District Attorneys Or The State Prosecutors Office - Written By Doa And/Or department of justice Attorneys.

Dept #: /530/ Department Name: ADMIN SERVICES-FINANCIAL MGMT SERVICES

RDA # RDA Title Retention Disposition PII

00280000. STATE SELF-FUNDED PROPERTY LOSSES (LESS THAN INSURANCE DEDUC CR+6 DEST Y

Files Consist Of Documentation Of Damage And Repairs To Property Where The Expenses Are Less Than The Deductible And The State Bears The Cost Of The Repairs. The Six Year Retention Is based on the applicable statute of limitations, section 893.52, Wis. Stats.

Documents Include, But Are Not Limited To:

Incident/Property Loss Reports
Investigative Reports
Evidential Documents, Such As Photographs
Repair Estimates
Repair Invoices And Vouchers
Related Correspondence

Dept #: /530/ Department Name: ADMIN SERVICES-FINANCIAL MGMT SERVICES

RDA # RDA Title Retention Disposition PII

* Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C., 552a; ss. 19.36(10)(a) and (13), Wis stats.

00281000. SUBROGATION CLAIMS CR+6 DEST Y

Files Consist Of Documentation Of Damage And Repair To Where The State Is Not Liable For The Cost Of Repairs. The Six Year Retention Period Is based on the applicable statutes of limitations, S. 893.52, Wis. Stats.

Documents Include, But Are Not Limited To:

Incident/Property Loss Reports
Investigative Reports
Evidential Documents, Such As Photographs
Repair Estimates
Repair Invoices And Vouchers
Related Correspondence
Payment Checks And Bank Deposit Slips

* Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential.

00313000. CAPITAL INVENTORY - RECORDS CR+10 DEST N

The Department Of Administration Is Required To Create And Maintain A Property Inventory Database Under State Of Wisconsin Accounting Policy (Set By The State Controller'S Office), To Meet GAAP Requirements, And To Satisfy Federal Grant Requirements.

Details Of Property Acquisitions Are Keyed Into The Department'S Computerized Property Management Inventory System On A Monthly Basis From File Maintenance Updates Or Other Financial Documents. From this database an electronic Monthly archive is created and retained for the ten year retention period. Records are kept for 10 years due to the 10-year depreciation cycle.

Dept #: /540/ Department Name: ADM SERVICES - PERSONNEL/PAYROLL

RDA # RDA Title Retention Disposition PII

00253000. DOA TRAINING RECORDS EVT DEST Y

THESE ARE THE REGISTRATION RECORDS FOR DOA'S TRAINING PROGRAMS PER WIS. STAT. 230.046(4). THE DOA BUREAU OF PERSONNEL OFFERS VARIOUS TYPES OF SELF-IMPROVEMENT CLASSES TO EMPLOYEES. EMPLOYEES MAY REGISTER FOR COURSES BY FILLING OUT A PAPER FORM OR USING AN ONLINE REGISTRATION SYSTEM. EITHER OPTION COLLECTS THE CLASS TITLE, DATE, LOCATION, TRAINING COSTS, THE EMPLOYEE'S NAME, WORK ADDRESS AND SOCIAL SECURITY NUMBER. THE PAPER REGISTRATION DOCUMENTS ARE TRANSCRIBED INTO THE ELECTRONIC DATABASE AND THEN DESTROYED. THE ELECTRONIC REGISTRATIONS ARE RETAINED AT LEAST UNTIL THE EMPLOYEE TERMINATES EMPLOYMENT WITH DOA.

THESE TRAINING RECORDS DOCUMENT DEPARTMENT COMPLIANCE WITH TRAINING MANDAES, E.G. DIVERSITY TRAINING AND HARASSMENT TRAINING, AND ALSO DOCUMENT EMPLOYEE REGISTRATION AND APPROVAL OF ATTENDANCE. a MAXIMUM OF 4800 TRAINING FORMS MAY BE ARRANGED BY EMPLOYEE SOCIAL SECURITY NUMBER AND STORED IN THE DATABASE.

EVT = EMPLOYEE TERMINATION

* Some personally identifiable information in the records, such as social security numbers and financial account numbers, may be confidential. See 5 U.S.C. 552a; ss. 19.36(10)(a) and (13), Wis. Stats.

Dept #: /700/ Department Name: ENERGY

RDA # RDA Title Retention Disposition PII

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00162000.</u> | <u>ENERGY CONTRACT FILES</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
| | <p>The Division performs contractual work with other state agencies, universities, local units of government, businesses, and individuals to implement and promote programs such as energy conservation, energy data collection, alternative energy supplies development, wood waste and waste to energy, wind energy, energy development and demonstration grants, and recycling programs.</p> <p>The legislature gives final approval for grants.</p> <p>Record series includes: contractual agreement with grant recipient, amendments, budgets, purchase orders, proposals, work plans, progress reports, background and working papers, invoices, and related material and correspondence.</p> <p>EVENT = Closing date of the contract + 7 Years</p> | | | |
| <u>00183000.</u> | <u>REGULATIONS/PROGRAM DEVELOPMENT FILES</u> | <u>EVT+10</u> | <u>SHSW</u> | <u>N</u> |
| | <p>THE ENERGY SERVICES DIVISION DEVELOPS PROGRAMS FOR DEALING WITH DIRECTIVES AS MANDATED BY THE LEGISLATURE TO IMPLEMENT AND PROMOTE PROGRAMS SUCH AS ENERGY CONSERVATION, ENERGY DATA COLLECTION, DEVELOPING ALTERNATIVE ENERGY SUPPLIES, WOOD WASTE AND WASTE TO ENERGY, WIND ENERGY, ENERGY DEVELOPMENT AND DEMONSTRATION GRANTS, RECYCLING PROGRAMS, RENEWABLE ENERGY, AND SOLAR ENERGY.</p> <p>THESE FILES CONSIST OF: BASIC PROGRAM INSTRUCTIONS, REGULATIONS, LEGISLATION, BUDGETS, AND RESEARCH MATERIALS.</p> <p>THESE PROGRAMS ARE REVIEWED YEARLY FOR RENEWAL AND THIS INFORMATION WOULD SAVE CONSIDERABLE TIME AND MONEY WHEN REVIVAL OF THE PROGRAM IS REQUIRED. SOME RECORDS MAY RELATE TO AN OIL CRISIS STRATEGIC PLAN IN THE EVENT OF ANOTHER OIL CRISIS.</p> <p>EVENT = END OF PROGRAM + 10 YEARS AND TRANSFER TO STATE ARCHIVES (WHS).</p> | | | |
| <u>00310000.</u> | <u>LIHEAP BENEFIT RECORDS-WARRANT REGISTER-MICROFICHE</u> | <u>CR+7</u> | <u>DEST</u> | <u>Y</u> |
| | <p>STATUTORY REFERENCE: SECTIONS 16.26, 16.27, AND 16.957 OF THE WISCONSIN STATUTES.</p> <p>FILES CONSIST OF RECORDS NEEDED TO ADMINISTER THE HOME ENERGY PLUS PROGRAMS CONSISTING OF THE WISCONSIN HOME ENERGY ASSISTANCE PROGRAM (WHEAP) AND THE WISCONSIN LOW-INCOME WEATHERIZATION (WAP) PROGRAM. THE RECORDS RELATE TO THE PROCESS BY WHICH CLIENTS RECEIVE HE+ BENEFITS AND DOCUMENTS FOR ADMINISTRATION OF THE PROGRAMS. THE RECORDS ARE STORED ON THE WHEAP WISWAP DATABASE.</p> <p>FILES MAY INCLUDE, BUT ARE NOT LIMITED TO:</p> <p>VENDOR AGREEMENTS</p> <p>CHECK WARRANT REGISTERS</p> <p>WHEAP AND WAP ADMINISTRATIVE CONTRACTS WITH LOCAL GRANTEEES</p> <p>RECORDS OF BENEFITS AND SERVICES PROVIDED TO HE+ PROGRAM RECIPIENTS</p> <p>* RECORDS ARE CONFIDENTIAL PURSUANT TO 49.81 & 49.83. IN ADDITION, SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS.19.36 (10)(A) AND (13), WIS STATS.</p> | | | |
| <u>00349000.</u> | <u>LOW INCOME PUBLIC BENEFITS</u> | <u>CR+7</u> | <u>DEST</u> | <u>N</u> |
| | <p>STATUTORY REFERENCE: SECTION 16.957, WISCONSIN STATUTES</p> <p>THIS RDA COVER RECORDS SPECIFIC TO THE PUBLIC BENEFITS PROGRAM INCLUDING, BUT NOT LIMITED TO:</p> <p>-- UTILITY CORRESPONDENCE, ESPECIALLY RELATED TO FEE CALCULATIONS</p> <p>-- FEE CALCULATIONS</p> <p>-- INVOICING MATERIALS</p> <p>-- TRUE-UP TALLIES</p> <p>THE PUBLIC BENEFITS PROGRAM IS AN ADD-ON TO THE FEDERAL HOME ENERGY PLUS PROGRAM. (ALL RECORDS FOR INDIVIDUAL RECIPIENTS ARE KEPT UNDER RDA# 00310000.)</p> | | | |
| <u>00360000.</u> | <u>RELOCATION CASE FILES</u> | <u>CR+5</u> | <u>DEST</u> | <u>Y</u> |
| | <p>CONDEMNERS DISPLACING PEOPLE OR BUSINESSES FOR THE PURPOSE OF A PUBLIC PROJECT ARE REQUIRED TO INTERVIEW THE PERSONS TO BE DISPLACED, OBTAIN CONFIDENTIAL INFORMATION AND SUBMIT A RELOCATION PLAN</p> | | | |

Dept #: 700/ Department Name: ENERGY

RDA # RDA Title Retention Disposition PII

TO THE STATE ENERGY OFFICE FOR APPROVAL BEFORE THEY INITIATE NEGOTIATIONS WITH THE SELLER. THE INFORMATION GATHERED FOCUSES OF THE VALUE OF THE PROPERTY BEING ACQUIRED, COMPARABLE REPLACEMENT PROPERTY NEEDED, MOVING, INCIDENTAL EXPENSES AND ON OCCASION, MONTHLY INCOME AND EXPENSE STATEMENTS. THIS INFORMATION IS NECESSARY IN ORDER TO CALCULATE RELOCATION BENEFITS. ONCE THE STATE ENERGY OFFICE APPROVES THE RELOCATION PLAN VIA OFFICIAL LETTER, THE CONDEMER MAY INITIATE NEGOTIATIONS WITH THE SELLER. THE STATE ENERGY OFFICE REVIEW AND APPROVAL PROCESS TYPICALLY TAKES 4-5 MONTHS. THE INFORMATION CONTAINED WITHIN THE FILES NECESSITATES A CONFIDENTIAL DESTRUCTION AT THE END OF RETENTION PERIOD.

EVENT = APPROVAL LETTER FOR RELOCATION PLAN + 5 YEARS AND DESTROY CONFIDENTIAL.

Dept #: 711/ Department Name: HOUSING AND COMMUNITY RESOURCES

RDA # RDA Title Retention Disposition PII

00012A00. COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROGRAM HISTORY D/ EVT+4 DEST Y

Electronic records related to the CDBG awards to local units of government are maintained by DEHCR on the PEARL/PD database software. PEARL/PC is a hierarchical database written and supported by Henry A. Bromelkamp & Co., Minneapolis, MN. PEARL/PC was customized for DEHCR daily operations. It is made up of eight database systems, including: county list, constituent list, fiscal year system, loan system, draw system, audit system, labor standards system, and the environmental review system.

Each system is capable of accumulating DEHCR CDBG historical data. Separate fiscal year, loan, draw, audit, labor standards, and environmental review systems are created for each state fiscal year. For example, there is a FY94 system that corresponds to state fiscal year 1993-1994. All applications received in fiscal year 1993-1994 are logged onto the FY94 system. As awards are made to applicants, information entered into the fiscal year system includes, but is not limited to, the amount awarded, date awarded, and date notified.

The accumulate history information, DEHCR has reviewed the individual paper files and entered the necessary information into the fiscal year system. Historical information entered into the fiscal year system includes, but is not limited to, the following:

- * Applicant name, address, federal identification number, and telephone fax numbers;
- * Chief elected officer, title and telephone number;
- * Commerce program & program representative;
- * Short project title and long project description;
- * Date application received and initial amount requested;
- * Amount awarded, date awarded, and date notified; and
- * Beneficiary name, addresses, federal identification number, and telephone and fax numbers

Records must be retained for four years after the close out of a program year. The State of Wisconsin has yet to close out a single program year.

00013000. DENIED COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROJECTS EVT+4 DEST Y

Series includes records that document the CDBG grant application, review and decision processes for projects that the Department denies. CDBG projects are awarded per 24 CFR Part 570.480 to .496 and are awarded both on a continuous basis and annually. When public facilities projects are submitted, the applications are reviewed and ranked against each other with the highest scoring applications being funded. The public facilities program is an annual competition.

Community Development, Public Facilities for Community Development for Emergency Grant Applications can be submitted by a unit of government anytime during the course of the year. Funding decisions are made on these applications on a continuous basis. Typically, decisions are arrived at within 30 days of the determination that all the material is complete. Reviews of the applications are initiated soon after receipt of the application when it reasonably can be expected that any deficiencies can be cured.

Records in the series may include the following:

- CDBG Pre-Application materials, including correspondence and project notes documenting meetings with community representatives.
- CDBG standard application materials submitted by communities seeking grants.
- Initial site visits notes, staff review correspondence and phone logs, staff report and funding recommendations.
- Committee or management actions and documentation including letters and follow-up correspondence.

Records must be retained for four years after the close out of a program year. The State of Wisconsin has yet to close out a single program year.

00014000. COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROJECT CASE FILES EVT+3 DEST Y

Series includes records that document the CDBG grant review, award and project processes from grant application through final project

| RDA # | RDA Title | Retention | Disposition | PII |
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closeout for those projects that receive grant funding. Projects are managed per requirements in 24 CFR Part 570.480 to .496.

Records in this series may be sub-divided into the following files:

- CDBG Pre-Application materials, including correspondence and project notes documenting meetings with community representatives.
- CDBG standard application materials submitted by communities seeking grants
- Initial site visit notes, staff review correspondence and phone logs, staff report and funding recommendations.
- Committee or management actions and documentation including letters and follow-up correspondence.
- Contracts with local units of government, subsequent amendments and revisions to contract, documents term and conditions of grant award.
- Labor standards (Davis - Bacon) review materials submitted the community in compliance with The Davis - Bacon Act, The Copeland "Anti - Kickback" Act, Environmental review materials, copy of approval decision letter to community, in compliance with 24 CFR Part 58.
- AA-EEO Review Materials submitted to DEHCR in compliance with Title VI of The Civil Rights Act of 1964 (PL 88 - 352); Section 109 of the Housing and Urban Development Act of 1974, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; AGE Discrimination Act of 1975, as amended; Executive Order 11246, as amended; and Section 3 of the Housing and Urban Development Act of 1968, as amended; staff review notes and follow-up documentation; and response to the community.
- Project funds disbursement account records, including signature cards, depository designation, contract summary sheet, financial processing records needed to administer and disburse funds to the community for the project. Series documents officials responsible for receiving funds.
- Grantee Quarterly Reports submitted by local units of government in compliance with The Community Development Block Grant (CDBG) Implementation Handbook, Quarterly Report Instructions, pages 165-170. Includes reports of project status and expenditures and Commerce follow-up correspondence and verification of information reported, staff notes. All quarterly reports are maintained together.
- Project monitoring visit includes site visit findings related to project, community record-keeping practices per contract, and correspondence between grantee and Commerce representative related to site visit findings or concerns. Subsequent monitoring visits may be scheduled to follow-up on issues of other visits. Retain all monitoring visit reports and findings together.
- Grantee project final close out report, including close out correspondence with grantee, project representative review comments and notes.
- Independent project audits of grantees, relevant grantee response to audit and grantee Auditor review comments and notes. Audit of community is required by the 1984 Single Audit Act; audit is completed at completion of calendar year.

Records must be retained for three years after the close out of a program year. The State of Wisconsin has yet to close out a single program year.

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| <u>00015000.</u> | <u>COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) REVOLVING LOAN FUN</u> | <u>EVT+4</u> | <u>DEST</u> | <u>N</u> |
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Series includes items required by contract between the Department and the Grantee for the Business Development Grant/Loan that documents each community's methods for services loans; loan manuals, updates and revisions to manuals. Series applies to all projects related to the community and is maintained separately from records related to specific projects.

Retain complete and current manuals until EVT (manuals or portions of manuals superseded by revisions and/or updates) and transfer to state archives.

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| <u>00017000.</u> | <u>FEDERAL CDBG AWARD CASE FILES</u> | <u>EVT+4</u> | <u>DEST</u> | <u>Y</u> |
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FEDERAL GRANT OR LOAN CLOSE OUT DOCUMENTATION: FINAL REPORT AND NOTIFICATION THAT CLOSES OUT THE PRIMARY LOAN OR GRANT TO THE STATE.

ANNUAL PERFORMANCE EVALUATION REPORTS: WEDC IS REQUIRED TO SUBMIT ANNUAL REPORTS ON GRANTS. REPORTS CONTAIN A COMPILATION OF DATA AND INFORMATION RELATED TO THE GRANT PROJECT ACCOMPLISHMENTS, SUMMARIZED PROJECT STATUS INFORMATION.

CONTRACT FOR GRANTS OR LOANS FROM FEDERAL AGENCIES: KEY DOCUMENTS INCLUDE THE CONTRACT OR AGREEMENT REGARDING TERMS AND CONDITIONS OF THE GRANT OR LOAN PROGRAM, RULES AND REQUIREMENTS OF THE AWARD.

GRANTEE RECORDS ARE MAINTAINED SEPARATELY FROM THE SERIES.

EVENT = FINAL CLOSEOUT OF GRANT + 4 YEARS AND DESTROY CONFIDENTIAL.

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| <u>00104000.</u> | <u>CONTINUUM OF CARE SUPPORTIVE HOUSING PROGRAM</u> | <u>EVT+6</u> | <u>DEST</u> | <u>N</u> |
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Consisting Of Funding Authorized By Hud Under The McKinney Homeless Assistance Act, Coc/Shp Funds May Be Used For Homeless Activities Such As Acquisition/ Rehabilitation/Real Property Leasing, Supportive Services, Shelter Operations And Administration. Any City, County, Tribe, Or Nonprofit May Apply For And Receive Funding For Its Homeless Shelter Program.

This Program Is Directed By Federal Regulation 24 Cfr 5766. The Program Requires The Division To Retain Records Including Approved Applications, Contracts, Substantive Correspondence, And Performance Reports, As Well As Subject Files And Final Product Files.

Event = Completion of work

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
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| <u>00105000.</u> | <u>HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
| | <p>The Housing Opportunities for Persons with AIDS program is authorized by AIDS Housing Opportunity Act and ammended by the Housing and Community Development Act of 1992. This program is designed to provide eligible applicants with resources and incentives to devise long-term comprehensive strategies for meeting the housing needs of persons with acquired immunodeficiency syndromes or related diseases and their families.</p> <p>This program is directed by federal regulation 24 CFR 5766. This program required the bureau to retain records including approved applications, contracts, substantive correspondence, and performance reports, as well as subject files and final product files.</p> <p>Due to Federal guidelines amend to destroy 5 years after event.</p> | | | |
| <u>00213000.</u> | <u>FEDERAL HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) - GRANT C</u> | <u>EVT+25</u> | <u>DEST</u> | <u>N</u> |
| | <p>The Division operates the Federal Home Investment Partnership Program (HOME) for the State of Wisconsin. This program utilizes federal funding for the development, rehabilitation and purchase of affordable housing. This is a federal U.S. Department of Housing and Urban Development (HUD) program that is guided by federal law 24 CFR 92. HUD requires the retention of records including approved grant applications, contracts, substantive correspondence and performance reports, as well as subject files and final product files.</p> <p>Due to federal guidelines amend to destroy 15 years after the event.</p> | | | |
| <u>00214000.</u> | <u>HUD EMERGENCY SHELTER GRANT PROGRAM-GRANT CASE FILES</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Consisting Of Funding Authorized By Hud Under The Mckinney Homeless Assistance Act, Esg Funds May Be Used For Homeless Prevention Activities And Essential Services, Renovation And Rehabilitation Of Shelter Facilities, And Shelter Operating Costs. Any City, County, Tribe, Or Private Nonprofit May Apply For And Receive Funding For Its Homeless Shelter Program.</p> <p>This Program Is Directed By Wis. Statute S. 16.35 And Federal Regulation 24 Cfr 5766. The Program Requires The Division To Retain Records Including Approved Applications, Contracts, Substantive Correspondence, And Performance Reports, As Well As Subject Files And Final Product Files.</p> <p>Amend To Destroy 7 Years After Event.</p> | | | |
| <u>00217000.</u> | <u>CDBG SMALL CITIES PROGRAM - HOUSING GRANT CASE FILES AND ADMIN</u> | <u>EVT+5</u> | <u>DEST</u> | <u>N</u> |
| | <p>The Bureau of Housing administers Wisconsin's federally funded CDBG Housing Program for Small Cities. Eligible units of local government compete for CDBG funds, which are used for housing programs principally benefiting low and moderate-income households. Funds may be used for various housing and neighborhood revitalization activities including housing preservations, acquisition, relocation, demolition of delapidated structures, and handicapped accessibility.</p> <p>This is a federal U.S. Department of Housing and Urban development program which is guided by federal law 24 CFR 570. HUD requires the retention of records including approved grant applications, contracts, correspondence, and performance reports, as well as subject files and final substantive product files.</p> <p>Due to federal guidelines amend to destroy 10 years after the event.</p> <p>As of 2005, Housing Grant Administration Files have been combined with Housing Case Files.</p> | | | |
| <u>00217A00.</u> | <u>CDBG SMALL CITIES PROGRAM - UNSUCCESSFUL GRANT APPLICATION</u> | <u>EVT+1</u> | <u>DEST</u> | <u>N</u> |
| | <p>The Bureau of Housing administers Wisconsin's federally funded CDBG Housing Program for Small Cities. Eligible units of local government compete for CDBG funds, which are used for housing programs principally benefiting low and moderate-income households. Funds may be used ofr various housing and neighborhood revitalization activities including housing preservations, acquisition, relocation, demolition of delapidated structures, and handicapped accessibility.</p> <p>This is a federal U.S. Department of Housing and Urban development program which is guided by federal law 24 CFR 570. HUD requires the retention of records including unsuccessful grant applications, contracts, correspondence, and performance reports.</p> | | | |
| <u>00219000.</u> | <u>HOUSING COST REDUCTION INITIATIVE (HCRI)-HOUSING GRANT CASE FILE</u> | <u>EVT+5</u> | <u>DEST</u> | <u>N</u> |
| | <p>Local sponsors compete for state HCRI funds to provide assistance to reduce the housing costs of low- and moderate-income households and encourage development of new affordable housing units. The money may be used for a wide variety of housing activities from closing costs and down payment assistance for home buyers to rent and security deposit assistance for renters and homeless persons.</p> <p>Records required for the program include applications, contracts, correspondence, and performance reports.</p> | | | |
| <u>00221000.</u> | <u>INTEREST BEARING REAL ESTATE TRUST ACCOUNT (IBRETA)</u> | <u>EVT+5</u> | <u>DEST</u> | <u>N</u> |
| | <p>Recent state legislation requires the earmarking of interest from real estate trust accounts for homeless aid. The money would be utilized to assist existing Bureau programs.</p> | | | |

RDA # RDA Title Retention Disposition PII

This program was created by Act 33 in 1993. The act requires the Bureau to keep records on applications, contracts, correspondence, and performance reports.

Due to federal guidelines amend to destroy 5 years after event.

00222000. **TRANSITIONAL HOUSING PROGRAM (THP)** **EVT+5** **DEST** **N**

This program funds a variety of mechanisms that help formerly homeless persons or families achieve real, lasting economic independence. Funds may be used for one-time housing costs, educational or vocational training, transportation, or other costs needed to assist the transitional housing participant in attaining self-sufficiency. This program is guided by WISC. Statute s. 16.354. Records required for the program include applications, contracts, correspondence, and performance reports.

In 2003 Transitional Housing Program (THP) was combined with Emergency Shelter Grant Program (ESG), therefore, the THP files will be combined with ESG files.

00223000. **STATE SHELTER SUBSIDY GRANT PROGRAM** **EVT+7** **DEST** **N**

This program provides up to 50% of an emergency shelter program's annual operating budget. Eligible applicants are a county or municipal governing body or agency, and Indian tribal government, a community action agency, or other private nonprofit organizations.

This program is guided by Wisc. Statute s. 16.352. Statutes require the Bureau to retain records such as applications, contracts, correspondence, and performance reports.

Due to state guidelines amen to destroy 5 years after event.

00226000. **HOUSING ADVISORY COUNCIL (HAC)** **CR+3** **SHSW** **N**

The Division Receives Input On Planned And Prospective Housing Issues And Programs From A Nine-Member Housing Advisory Council Made Up Of Persons Representing A Cross Section Of Housing Interests, From Low-Income Housing Advocates To Real Estate And Leding Professionals.

The Housing Advisory Council Is Mandated By Wisc. Statutes S. 15.107 (4). Records To Be Retained By The Council Include Minutes, Reports, And Correspondence.

00227000. **GOVERNOR'S TASK FORCE ON REGULATORY BARRIES TO AFFORDALE HC** **CR+3** **SHSW** **N**

AMEND TO: GOVERNOR'S TASK FORCES ON HOUSING: THESE RECORDS MAINTAIN HISTORICAL INFORMATION REGARDING HOUSING TASK FORCES CREATED BY VARIOUS GOVERNOR'S THROUGHOUT THE STATE'S HISTORY.

ORIGINAL: THE DIVISION OVERSEES A 14-MEMBER TASK FORCE WHICH REVIEWS THE IMPACT OF STATE AND LOCAL NEWS ON THE AFFORDABILITY OF HOUSING. LOCAL OFFICIALS, BUILDERS, AND REPRESENTATIVES OF COMMUNITY ORGANIZATIONS AND STATE AGENCIES MAKE RECOMMENDATIONS TO THE GOVERNOR. THE AUTHORITY FOR THE TASK FORCE IS EXECUTIVE ORDER #157.

00229000. **COMPREHENSIVE PLAN AND ASSOCIATED REPORTING** **EVT+5** **SHSW** **N**

THE DIVISION IS RESPONSIBLE FOR PREPARING THE STATE'S COMPREHENSIVE PLAN, WHICH IS A FIVE-YEAR PLAN FOR ADDRESSING HOUSING NEEDS PER WIS. STATS. S. 16.31. THE PLAN PROVIDES A STATISTICAL REVIEW OF HOUSING CONDITIONS IN WISCONSIN AND OUTLINES STRATEGIES FOR PROVIDING AFFORDABLE AND SPECIAL NEEDS HOUSING WHERE IT IS NEEDED. DOCUMENTS INCLUDE THE CONSOLIDATED PLAN, ANNUAL PLAN, ANNUAL PERFORMANCE REPORTS AND ASSOCIATED MATERIALS.

RETENTION: EVENT (END OF 5-YEAR PLAN) + 5 YEARS AND TRANSFER TO STATE ARCHIVES (WHS).

00269000. **CDBG APPLICATIONS / GRANTS** **EVT+3** **DEST** **N**

This Bureau operates the federally funded State Community Development Block Grant program in the Division of Community Development. State/Federal requirements of these programs mandate that reoccurs be retained for 4 years following the closeout of the grant. Records consist of an application for funds, contract describing the funded activity and work to be done, disbursement records, compliance records for federal requirements (wages paid, environmental assessment), project correspondence and final project audit.

The records in these boxes contain vital information on grants that we made to communities that have terms and conditions that sometimes take several years to be met. Although it is unusual for a community to take this long in meeting the terms and conditions of a grant award, it is a possibility. The terms and conditions address job retention and creation requirements of a business that has partnered with the community in an economic development project. Sometimes there may be unforeseen developments in the local, regional, national or gloval economy that prevents the business from meeting its job communities within the originally state time period. When this happens, it may be necessary to resort back to the file for vital information that can assist in negotiating a workout or compromise. It is important for Commerce to monitor the job creation. The federal agency that has provided Commerce these funds as

| RDA # | RDA Title | Retention | Disposition | PII |
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well as monitors us requires that Commerce ensure that job retention and creation conditions are met since it is the promise of jobs that is a deciding factor in the awarding of the funds. Failure by Commerce in demonstrating the tracking of job retention and creation can put over \$28 million of federal grant funds to the state at risk.

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| <u>00344000.</u> | <u>WISCONSIN FRESH START PROGRAM - GRANT ADMINISTRATIVE FILE</u> | <u>EVT+5</u> | <u>DEST</u> | <u>Y</u> |
| | THE WISCONSIN FRESH START PROGRAM WAS CREATED BY 1997 ACT 237. FUNDS USED FOR GRANTS INCLUDE FUNDS FROM A U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT PROGRAM THAT IS GUIDED BY FEDERAL LAW 24 CFR 92. | | | |
| | THIS WISCONSIN FRESH START PROGRAM PROVIDES GRANTS TO COMMUNITIES FOR ESTABLISHING PROGRAM FOR AT-RISK YOUTH TO RENOVATE AND BUILD HOMES. RECORDS CONSIST OF CORRESPONDENCE AND/OR SUBJECT FILES RELATING TO ROUTINE OPERATIONS AND DAILY ACTIVITIES IN ADMINISTRATION OF GRANT PROGRAM. | | | |
| | DUE TO FEDERAL GUIDELINES AMEND TO DESTROY 5 YEARS AFTER EVENT. | | | |
| <u>00353000.</u> | <u>HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) - FINANCIAL REPORT</u> | <u>EVT+5</u> | <u>DEST</u> | <u>N</u> |
| | The Division operates the federal HOME Investment Partnership Program (HOME) for the State of Wisconsin. This program utilizes federal funding for the development, rehabilitation and purchase of affordable housing. This is a federal U.S. Department of Housing & Urban Development program that is =guided by federal law 24 CFR 92. | | | |
| | This program is authorized by Wis. Stat. § 16.336. HUD requires the Division to retain backup financial reports relating to the program for up to thirty years after the grant is closed out. | | | |
| | Due to federal guidelines, destroy 30 years after the event. | | | |
| | EVENT: upon closeout designation from HUD | | | |
| <u>00354000.</u> | <u>FEDERAL HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) HOMEBUY</u> | <u>EVT+5</u> | <u>DEST</u> | <u>N</u> |
| | The Division operates the Federal Home Investment Partnership Program (HOME) for the State of Wisconsin. This program utilizes federal funding for the development, rehabilitation and purchase of affordable housing. This is a federal U.S. Department of Housing and Urban Development (HUD) program that is guided by federal law 24 CFR 92. HUD requires the retention of records including approved grant applications, contracts, substantive correspondence and performance reports, as well as subject files and final product files. | | | |
| | The HOME Homebuyer program specifies that records must be retained for the most recent five-year period; and for homeownership housing projects that impose recapture/resale restrictions, they must be retained for five years after the affordability period terminates. | | | |
| | Due to HUD guidelines amend to destroy 20 years after event. | | | |
| <u>00355000.</u> | <u>FEDERAL HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) HOMEBUY</u> | <u>EVT+10</u> | <u>DEST</u> | <u>Y</u> |
| | The Division operates the Federal Home Investment Partnership Program (HOME) for the State of Wisconsin. This program utilizes federal funding for the development (HUD) program that is guided by federal law 24 CFR 92. | | | |
| | Records series includes: correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program. | | | |
| | The HOME Homebuyer program specifies that records must be retained for the most recent five-year period; and for homeownership housing projects that impose recapture/resale restrictions, they must be retained five years after the affordability period terminates. | | | |
| | EVENT = Upon closeout of the grant by HUD + 10 Years | | | |
| <u>00358000.</u> | <u>HOME TENANT BASED RENTAL ASSISTANCE</u> | <u>EVT+5</u> | <u>DEST</u> | <u>Y</u> |
| | THE FEDERAL HOME INVESTMENT PARTNERSHIP PROGRAM (HOME) WAS CREATED TO HELP PRODUCE HOUSING OPPORTUNITIES FOR HOUSEHOLDS THAT EARN NOT MORE THAN 80% OF COUNTY MEDIAN INCOME (CMI). THE DIVISION OF HOUSING (DOH) IS PROVIDING HOME TBRA FUNDS THROUGH LOCAL GOVERNMENTS, HOUSING AUTHORITIES AND NON-PROFIT ORGANIZATIONS OR PROVIDE HOME RENTAL ASSISTANCE, IN ASSOCIATION WITH SUPPORT SERVICES COORDINATED BY THE PARTICIPATING AGENCY, TO HELP HOMELESS PERSONS AND TO PREVENT HOMELESSNESS. | | | |
| | 24 CFR 92 STATES THAT FOR TENANT-BASED RENTAL ASSISTANCE PROJECTS, RECORDS MUST BE RETAINED FOR FIVE YEARS AFTER THE PERIOD OF RENTAL ASSISTANCE TERMINATES. | | | |
| | EVENT = TERMINATION DATE OF RENTAL ISSUANCE + 5 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00359000.</u> | <u>PROJECT FOR ASSISTANCE IN THE TRANSITION FROM HOMELESSNESS (P</u> | <u>EVT+5</u> | <u>DEST</u> | <u>N</u> |
| | THE PROJECTS FOR ASSISTANCE IN THE TRANSITION FROM HOMELESSNESS (PATH) IS A FEDERAL FORMULA GRANT PROGRAM, CREATED IN 1991 UNDER THE MCKINNEY ACT, AND ADMINISTERED BY THE SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION (SAMHSA). PATH FUNDS SERVE INDIVIDUALS WITH SERIOUS MENTAL ILLNESS, AS | | | |

Dept #: 711/ Department Name: HOUSING AND COMMUNITY RESOURCES

RDA # RDA Title Retention Disposition PII

WELL AS INDIVIDUALS WITH CO-OCCURRING SUBSTANCE ABUSE DISORDERS, WHO ARE HOMELESS. UNDER THE PATH GRANT PROGRAM, SAMHSA PROVIDES A FLEXIBLE STREAM OF FUNDING THAT ENCOURAGES COMMUNITY COMMITMENT TO SERVING INDIVIDUALS WHO ARE HOMELESS AND LIVING WITH SERIOUS MENTAL ILLNESS AND HELPS FILL CRITICAL GAPS IN SERVICES. PATH, BY NATURE OF THE SELECTIVE FOCUS, DRAWS ATTENTION TO THE MOST VULNERABLE OF THE HOMELESS POPULATION AND ALLOWS FOR IMPLEMENTATION OF PROGRAMMING TO MEET THEIR NEEDS. FUNDING FROM SOAR IS USED TO COMPLEMENT THESE ACTIVITIES TO ENSURE SUPPORT FOR HOMELESS PERSONS WITH MENTAL ILLNESSES OR CO-OCCURRING SUBSTANCE DISORDERS.

EVENT = DATE OF CONTRACT SIGNATURE + 5 YEARS AND DESTROY.

Dept #: 800/ Department Name: FACILITIES MANAGEMENT

RDA # RDA Title Retention Disposition PII

00350000. BACKGROUND CHECKS ON CUSTODIAL CREWS EVT+0/6 DEST Y

The Division of Facilities Management (DFM) contracts for custodial services in various facilities. With minimal supervision, the custodial crews have access to many state offices, some of which demand heightened security measures. The custodial crews are employees of the contractor so DFM requires the contractor to provide a background check for each employee they desire to place in our building. The employee must be approved by DFM before they can work in one of our buildings.

Background checks are usually sent to DFM electronically but occasionally but we receive a paper copy. Either way DFM files the background check appropriately, confidentially destroying the record six months after termination of employment.

Some PII in the records, such as social security number and financial account numbers may be confidential. See U.S.C. 552a; Wis. Stat. § 19.36(10)(a) and (13).

EVENT: termination of employment

00383000. STATE CAPITOL AND EXECUTIVE RESIDENCE BOARD (GENERAL) CR+10 SHSW N

THE STATE CAPITOL AND EXECUTIVE RESIDENCE BOARD (SCERB), UNDER SECTION 16.83 OF THE WISCONSIN STATUTES IS TO DIRECT THE CONTINUING AND CONSISTENT MAINTENANCE OF THE PROPERTY, DECORATIVE FURNITURE AND FURNISHINGS OF THE STATE CAPITOL AND EXECUTIVE RESIDENCE. THE BORD APPROVES ALL RENOVATION, REPAIRS (EXCEPT REPAIRS OF AN EMERGENCY NATURE), INSTALLATION OF FIXTURES, DECORATIVE ITEMS OR FURNISHINGS FOR THE GROUNDS AND BUILDINGS.

THE FILES INCLUDE INCOMING AND OUTGOING CORRESPONDENCE WITH BOARD MEMBERS, PROSPECTIVE MEMBERS, STATE BOARD STAFF, AGENCIES, LEGISLATORS, CITIZENS, PRIVATE CONSULTANTS, ARCHITECTS, INTERIOR DESIGNERS ETC. CONCERNING THE TOPICS DELINEATED ABOVE.

ELECTRONIC RECORDS APPRAISAL NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THSES RECORDS, TO MAKE SURE THAT IT REMAINS AVAILABLE THROUGHOUT THE STATED RETENTION PERIOD, AND TO MEET THE REQUIREMENTS OF ADMINISTRATIVE RULE ADM 12 A READABILITY AND RETRIEVAL CHECK MUST BE DONE ON CD'S AT LEAST EVERY 3 YEARS AND TRANSFER TO NEW STORAGE MEDIA AT LEAST EVERY 5 YEARS.

00383A00. STATE CAPITOL AND EXECUTIVE RESIDENCE BOARD (SCERB) MINUTES CR+50 SHSW N

MINUTES OF THE SCERB MEETINGS AND ANY ATTACHMENTS WHICH INCLUDES SUCH MATERIAL AS PROJECT DESCRIPTIONS, BOARD ACTION REQUESTS, PROPOSAL AND RELATED MATERIALS.

JUSTIFICATION FOR RETAINING BEYOND 25 YEARS: THE STATE CAPITOL AND EXECUTIVE RESIDENCE BOARD MAKES DECISIONS ON RENOVATION, REPAIRS, INSTALLATIONS OF FIXTURES, DECORATIVE ITEMS OR FURNISHINGS FOR THE CAPITOL AND EXECUTIVE RESIDENCE GROUNDS AND BUILDINGS. THE DECISIONS MADE BY THE BOARD ARE OF HISTORICAL IMPORTANCE AND AVLUE WILL BE REFERRED TO WHEN FUTURE RENOVATIONS AND PURCHASES ARE MADE FOR THE CAPITOL AND RESIDENCE. SUCH HISTORICAL REFERENCE DOCUMENTS HELPED PRESERVE THE INTEGRITY OF THE MOST RECENT RESTORATION OF THE CAPITOL BUILDING.

THE MINUTES HAVE BEEN RECORDED ON AUDIO COMPACT DISC SINCE 2006.

ELECTRONIC RECORDS APPRAISAL NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THSES RECORDS, TO MAKE SURE THAT IT REMAINS AVAILABLE THROUGHOUT THE STATED RETENTION PERIOD, AND TO MEET THE REQUIREMENTS OF ADMINISTRATIVE RULE ADM 12 A READABILITY AND RETRIEVAL CHECK MUST BE DONE ON CD'S AT LEAST EVERY 3 YEARS AND TRANSFER TO NEW STORAGE MEDIA AT LEAST EVERY 5 YEARS.

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RDA # RDA Title Retention Disposition PII

00170000. INCIDENT CASE FILES CR+20 DEST Y
WISCONSIN STAT. CH 19.35 COVERS THE AREA OF CONFIDENTIAL MATERIAL OBTAINED WHILE OFFICERS ARE DEALING WITH THE PUBLIC.

IN FULFILLING ITS STATUTORY RESPONSIBILITY UNDER WIS. STAT. CH. 16.84 & 16.843 TO PROTECT THE SAFETY AND SECURITY OF STATE PROPERTY AND EMPLOYEES, THE WISCONSIN STATE CAPITOL POLICE BUREAU PERFORMS POLICE FUNCTIONS AND DOCUMENTS THEM IN INCIDENT CASE FILES. THE RECORDS IN THIS SERIES PROVIDE ESSENTIAL INFORMATION RELATED TO THESE REGULATORY FUNCTIONS, INCLUDING OFFICERS' REPORTS, PHOTOS, STATEMENTS OF WITNESS, ETC.

IF APPROPRIATE, THESE CASE FILES PROVIDE DOCUMENTS FOR PROSECUTION OF INDIVIDUALS WHO VIOLATE STATE LAWS.

RETENTION: CR + 20 YEARS AND DESTROY CONFIDENTIAL.

00170A00. AUDIO / VISUAL RECORDED INTERVIEWS EVT+0/6 DEST Y
CAPITOL POLICE PERFORMS POLICE FUNCTIONS PURSUANT TO ITS STATUTORY RESPONSIBILITY UNDER SECTIONS 16.84 AND 16.843 OF THE WISCONSIN STATUTES.

SERIES CONSISTS OF AUDIO OR VIDEO RECORDINGS OF INTERVIEWS OR INTERROGATIONS CONDUCTED IN THE COURSE OF INVESTIGATIONS.

NOT ALL CASES HAVE AUDIO OR VIDEO RECORDED INTERVIEWS. WHEN AN AUDIO OR VIDEO RECORDING IS MADE, A WRITTEN REPORT OF THE INTERVIEW IS PREPARED FOR THE DETECTIVES SO THEY CAN FURTHER INVESTIGATE THE CASE (COVERED BY A SEPARATE RDA).

* RECORDS MAY BE DESTROYED SIX MONTHS AFTER CREATION UNLESS THEY BECOME EVIDENCE IN A CRIMINAL PROCEEDING, IN WHICH CASE THEY MUST BE RETAINED UNTIL THE PROSECUTOR OR COURT NO LONGER CONSIDERS THEM EVIDENCE.

** RECORDS MAY BE CONFIDENTIAL IF THEY ARE BEING USED AS EVIDENCE IN A CRIMINAL PROCEEDING. IN ADDITION, SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS.

00171000. CAPITAL POLICE DISPATCH LOGS CR+7 DEST Y
CAPITOL POLICE PERFORMS POLICE FUNCTIONS TO PROTECT THE SAFETY AND SECURITY OF STATE PROPERTY AND EMPLOYEES, PURSUANT TO ITS STATUTORY RESPONSIBILITY UNDER SECTIONS 16.84 AND 16.843 OF THE WISCONSIN STATUTES.

SERIES CONSISTS OF COMPUTER AIDED DISPATCH SYSTEM. DISPATCHERS AND OFFICERS USE THE SYSTEM 24 HOURS A DAY TO LOG CALLS FOR SERVICE THAT REQUIRE INCIDENT NUMBERS, GENERATE CASE NUMBERS, AND LOG UPDATES AS THEY OCCUR.

MINOR CASES MAY BE CLOSED OUT WITH A NOTATION AS TO THE DISPOSITION OF THE CASE. FOR CASES REQUIRING LONGER TERM FOLLOW UP, INVESTIGATIONS, OR PROSECUTIONS, PAPER COPIES ARE CREATED AND FILED WITH INCIDENT CASE FILES, COVERED BY RDA 800/00017000- INCIDENT CASE FILES.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552A; SS. 19.36(10)(A) AND (13), WIS. STATS

00202000. BLOOD BORN PATHOGENS EVT+30 DEST N
In fulfilling OSHA requirements (29 CFR PART 1910.1030) records must be kept on all employees given the vaccine for "occupational exposure to blood borne pathogens".

These records must contain employee name and date of vaccine. All records must be held for 30 years after termination of employees who may come in contact with any type of blood borne pathogens.

Record series is confidential pursuant to 29 CFR 1910.1030

EVENT: Termination

00203000. EVIDENCE SEIZURE YEARLY REPORTS EVT+7 DEST Y
WISCONSIN STAT. CH. 19.35 COVERS THE AREA OF CONFIDENTIAL MATEIRAL OBTAINED WHILE OFFICERS ARE DEALING WITH THE PUBLIC.

IN FULFILLING STATUTORY RESPONSIBILITY UNDER WIS. STAT. CH.16.84 AND 16.843 TO PROTECT THE SAFETY AND SECURITY OF STATE PROPERTY AND EMPLOYEES, THE WISCONSIN STATE CAPITOL POLICE DEPARTMENT PERFORMS

RDA # RDA Title Retention Disposition PII

POLICE FUNCTIONS AND DOCUMENTS THE COLLECTION OF SEIZED EVIDENCE. THE RECORDS IN THIS SERIES PROVIDE ESSENTIAL INFORMATION RELATED TO THESE REGULATORY FUNCTIONS, INCLUDING SPECIFIC EVIDENCE SEIZED AND STATUS AND LOCATION OF SUCH EVIDENCE.

ITEMS SEIZED MAY BE INCLUDED BUT NOT LIMITED TO VIDEOS, ADDRESSES OF MANY INFORMANTS, LOGS WITH NAMES OF JUVENILES AS WELL AS ADULTS, IF ANY WEAPONS OR DRUGS WERE SEIZED LOCATION THEY ARE STORED. THIS INFORMATION IS NEEDED FOR OFFICERS TO GO TO COURT FOR TRIALS AND PROVIDE SUCH EVIDENCE. THE OFFICER MUST SWEAR IN COURT THAT THIS IS INDEED THE EVIDENCE THAT WAS OBTAINED DURING THE INVESTIGATION.

RECORDS MAY BE DESTROYED 7 YEARS AFTER EVENT/DATE OF SEIZURE UNLESS THEY BECOME EVIDENCE IN A CRIMINAL PROCEEDING, IN WHICH CASE THEY MUST BE RETAINED UNTIL THE PROSECUTOR OR COURT NO LONGER CONSIDERS THEM EVIDENCE.

RETENTION: EVENT(DATE OF SEIZURE) + 7 YEARS AND DESTROY CONFIDENTIAL.

00204000. **CAPITAL POLICE FIELD TRAINING OFFICER REQUIREMENTS** **CR+7** **DEST** **Y**

WISCONSIN STAT. CH. 19.35 COVERS THE AREA OF CONFIDENTIAL MATERIAL OBTAINED BY CAPITOL POLICE. CAPITOL POLICE TRACK THE PROGRESS OF NEW OFFICERS THROUGH THEIR TRAINING AND PROBATIONARY PERIOD AT CAPITOL POLICE TO DETERMINE IF THEY HAVE MET ALL REQUIREMENTS TO PASS PROBATION. THIS MANUAL CONTAINS PERSONAL INFORMATION. THIS RECORD IS IN A BOOK "MANUAL" FORM. THIS INFORMATION IS REQUIRED DUE TO HIRING OF OFFICERS PURSUANT TO WIS. STAT. CH.16.84(2).

IN FULLFILLING STATUTORY RESPONSIBILITY UNDER WIS. STAT. CH. 16.84 TO HIRE CAPITOL POLICE OFFICERS THE WISCONSIN STATE CAPITOL POLICE DEPARTMENT MAINTAINS DETAILED INFORMATION ON THE CANDIDATE DURING THEIR TRAINING. THE RECORDS IN THIS SERIES PROVIDE ESSENTIAL AND CONFIDENTIAL INFORMATION RELATED TO THE CANDIDATE/OFFICER.

THE CAPITOL POLICE FOLLOWS JUSTICE DEPARTMENT - GUIDELINES THAT IS USED FOR ALL POLICE AGENCIES IN THE STATE OF WI. THESE GUIDELINES CONTAIN INFORMATION OF OFFICERS AND OTHERS. THIS INFORMATION MAY HAVE MEDICAL INFORMATION, PERSONAL HISTORY, LEGAL MATTERS AS WELL AS NAMES AND ADDRESS OF ASSOCIATES INCLUDING JUVENILES.

* RECORDS MAY BE DESTROYED 7 YEARS AFTER CREATION IF THE CANDIDATE DID NOT PASS PROBATION, OR 7 YEARS AFTER SEPERATION FROM THE STATE CAPITOL POLICE OR THEY BECOME EVIDENCE IN A CRIMINAL PROCEEDING, IN WHICH CASE THEY MUST BE RETAINED UNTIL THE PROSECUTOR OR COURT NO LONGER CONSIDERS THEM.

00256000. **POLICE TELEPHONE LINE TAPE RECORDINGS** **EVT+0/4** **DEST** **Y**

CAPITOL POLICE PERFORMS POLICE FUNCTIONS TO PROTECT THE SAFETY AND SECURITY OF STATE PROPERTY AND EMPLOYEES, PURSUANT TO ITS STATUTORY RESPONSIBILITY UNDER SECTIONS 16.84 AND 16.843 OF THE WISCONSIN STATUTES.

SERIES INCLUDES AUDIO RECORDINGS OF MADISON AND MILWAUKEE RADIO CHANNELS AND PHONE LINES IN THE DISPATCH AREA OF THE CAPITOL POLICE DEPARTMENT.

* RECORDS MAY BE DESTROYED FOUR MONTHS AFTER CREATION UNLESS THEY BECOME EVIDENCE IN A CRIMINAL PROCEEDING, IN WHICH CASE THEY MUST BE RETAINED UNTIL THE PROSECUTOR OR COURT NO LONGER CONSIDERS THEM EVIDENCE.

** RECORDS MAY BE CONFIDENTIAL IF THEY ARE BEING USED AS EVIDENCE IN A CRIMINAL PROCEEDING. IN ADDISIOTN, SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552 A; SS. 19.36 (10)(A) AND (13), WIS STATS.

00257000. **DAILY DUTY ROSTER SCHEDULE** **CR+2** **DEST** **Y**

CAPITOL POLICE PERFORMS POLICE FUNCTIONS TO PROTECT THE SAFETY AND SECURITY OF STATE PROPERTY AND EMPLOYEES, PURSUANT TO ITS STATUTORY RESPONSIBILITY UNDER SECTIONS 16.84 AND 16.843 OF THE WISCONSIN STATUTES.

SERIES CONSISTS OF A LOG OF EACH EMPLOYEE ON DUTY FOR EACH ROTATION SHIFT, REFERRED TO AS A DAILY DUTY ROSTER. ALL OFFICERS ON PATROL DUTY ARE LOGGED IN ON THIS ROSTER.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552 A; SS. 19.36 (10)(A) AND (13), WIS STATS.

00306000. **RIDE ALONG WAIVER** **CR+1** **DEST** **Y**

CAPITOL POLICE PERFORMS POLICE FUNCTIONS TO PROTECT THE SAFETY AND SECURITY OF STATE PROPERTY AND EMPLOYEES, PURSUANT TO ITS STATUTORY RESPONSIBILITY UNDER SECTIONS 16.84 AND 16.843 OF THE WISCONSIN STATUTES. OCCASIONALLY, EMPLOYEES OR CITIZENS REQUEST TO RIDE IN A SQUAD CAR OR WALK ALONG WITH THE CAPITOL POLICE. IT ALLOWS THE PUBLIC TO GAIN INSIGHT AS TO WHAT A DAY-TO-DAY SHIFT ENTAINLS, AND IT ALLOWS POLICE OFFICERS TO INTERACT WITH THE GENERAL PUBLIC.

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RDA # RDA Title Retention Disposition PII

SERIES CONSISTS OF FORM FILLED OUT BY THE REQUESTING RIDE-ALONG, THAT INCLUDES RIDE-ALONG NAME, DATE OF BIRTH, AND EMERGENCY CONTACT. THE FORM IS SIGNED BY THE RIDE-ALONG OFFICER.

* SOME PERSONALLY IDENTIFIABLE INFORMATION IN THE RECORDS, SUCH AS SOCIAL SECURITY NUMBERS AND FINANCIAL ACCOUNT NUMBERS, MAY BE CONFIDENTIAL. SEE 5 U.S.C. 552 A; SS. 19.36 (10)(A) AND (13), WIS STATS.

00382000. BUILDING ACCESS CARD ACCESS AND ALARM SYSTEM CR+10 DEST N

CAPITOL POLICE PERFORMS POLICE FUNCTIONS TO PROTECT THE SAFETY AND SECURITY OF STATE PROPERTY AND EMPLOYEES, PURSUANT TO ITS STATUTORY RESPONSIBILITY UNDER SECTIONS 16.84 AND 16.843 OF THE WISCONSIN STATUTES.

MANY STATE FACILITIES ARE ACCESSED BY EMPLOYEES WITH PERSONALLY ISSUES ACCESS CARDS. THIS IS OFTEN REQUIRED ONLY DURING PERIODS WHEN THE BUILDING IS NOT OPEN FOR NORMAL BUSINESS. OPERATIONAL SECURITY CONCERNS MAY ALSO DICTATE THE FULL TIME USE OF A CARD ACCESS SYSTEM. THE DIVISION USES THE CCURE SOFTWARE SYSTEM TO RECORD ALL ACCESS TRANSACTIONS AS WELL AS SYSTEM ADMINISTRATIVE ACTIONS. THE CCURE SYSTEM ALSO RECORDS VARIOUS ALARMS SUCH AS FIRE, WATER, OR FORCED ENTRY.

THE CCURE RECORDS ARE MAINTAINED IN A LOG KEPT ON THE DEDICATED SERVER. RECORDS ARE NOT DELETED AUTOMATICALLY BUT MUST BE SELECTED AND DELETED BY A DIVISION OF CAIPTOL POLICE OPERATOR. IF NECESSARY, RECORDS OF SPECIFIC ACCESS TRANSACTIONS CAN BE EXTRACTED AND COPIED FOR USE BY CAPITOL INVESTIGATORS, OTHER JURISDICTIONS OR STATE OFFICIALS. SUCH COPIES ARE RETAINED UNDER TERMS OF RDA'S GOVERNING THE USED.

Dept #: 1900/ Department Name: INTERGOVERNMENTAL RELATIONS

RDA # RDA Title Retention Disposition PII

00122000. REIMBURSEMENTS TO MUNICIPALITIES FOR SERVICES RENDERED CR+5 DEST N

Under Wis. Stat. § 70.119 (2015-16), the state makes payments to municipalities for services rendered to support the functions of state buildings. Such services may include water, sewer, electrical, police, and fire. The rate at which the state reimburses the municipality is predetermined annually. Records include, but are not limited to, calculations based on computer tapes furnished by the WI Dept. of Revenue, letters to municipalities and any other documentation to provide payment to each municipality for services rendered for state owned buildings.

EVENT = Creation

00123000. WISCONSIN RESIDENT POPULATION ESTIMATES CR+12 DEST Y

Under Wis. Stat. § 16.96, Demographic Services develops yearly population estimates for the state's local jurisdictions used in the allocation of state revenue sharing, calculates long-range population projections, and coordinates the state's participation in various census activities.

These records are on the development of the annual estimates for tax distribution purposes. The records consist of computer printouts of the base data used to derive the population estimates. Records also include letters to municipalities with estimates and challenges from communities against Population Estimates, and records consisting of challenges from court challenges, and related correspondence and materials.

EVENT = Creation

00157000. MUNICIPAL INCORPORATION AND CONSOLIDATION FILES CR+10 SHSW Y

Official records pertaining to proposed incorporations of town areas into cities and villages pursuant to Wis. Stat. § 66.0201 - § 66.0209 (2015-16), and municipal consolidations of towns with cities and villages pursuant to Wis. Stat. § 66.0229 (2015-16). Information includes court orders, incorporation petitions, hearing testimony and exhibits, and determinations prepared by the Department, correspondence, and appellate records.

EVENT = Creation

00158000. ANNEXATION FILES CR+10 SHSW Y

Official records pertaining to proposed annexations of town territory to cities and villages reviewed by the Department pursuant to Wis. Stat. § 66.0217 (2015-16). Information includes the petition, correspondence from and between the Department and the affected parties, including the annexing city or village and the affected town, and any information gathered prior to issuing an advisory opinion.

EVENT = Creation

| RDA # | RDA Title | Retention | Disposition | PRI |
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| <u>00161000.</u> | <u>MUNICIPAL RECORDS</u> | <u>P</u> | <u>PERM</u> | <u>N</u> |
| | <p>PURSUANT TO WIS. STAT. SS 66.0211(5), "CERTIFICATION OF INCORPORATION, IF A MAJORITY OF THE VOTES IN AN INCORPORATION REFERENDUM ARE CAST IN FAVOR OF A VILLAGE OR CITY. THE CLERK OF THE CIRCUIT COURT SHALL CERTIFY THE FACT TO THE SECRETARY OF ADMINISTRATION AND SUPPLY THE SECRETARY OF ADMINISTRATION WITH A COPY OF A DESCRIPTION OF THE LEGAL BOUNDARIES OF THE VILLAGE OR CITY AND THE ASSOCIATED POPULATION AND A COPY OF A PLAT OF THE VILLAGE OR CITY. WITHIN 10 DAYS OF RECEIPT OF THE DESCRIPTION AND PLAT, THE SECRETARY OF ADMINISTRATION SHALL FORWARD 2 COPIES TO THE DEPARTMENT OF TRANSPORTATION AND ONE COPY EACH TO THE DEPARTMENT OF ADMINISTRATION AND THE DEPARTMENT OF REVENUE. THE SECRETARY OF ADMINISTRATION SHALL ISSUE A CERTIFICATE OF INCORPORATION AND RECORD THE CERTIFICATE." PURSUANT TO WIS. STAT. SS 66.0215(5), CERTIFICATE OF INCORPORATION. IF A MAJORITY OF THE VOTES ARE CAST IN FAVOR OF A CITY THE CLERK SHALL CERTIFY THE FACT TO THE SECRETARY OF ADMINISTRATION, TOGETHER WITH THE RESULT OF THE CENSUS, IF ANY, AND 4 COPIES OF A DESCRIPTION OF THE LEGAL BOUNDARIES OF THE TOWN AND 4 COPIES OF A PLAT OF THE TOWN. THE SECRETARY OF ADMINISTRATION SHALL THEN ISSUE A CERTIFICATE OF INCORPORATION, AND RECORD THE CERTIFICATE IN A BOOK KEPT FOR THAT PURPOSE. TWO COPIES OF THE DESCRIPTION AND PLAT SHALL BE FORWARDED BY THE SECRETARY OF ADMINISTRATION TO THE DEPARTMENT OF TRANSPORTATION AND ONE COPY TO THE DEPARTMENT OF REVENUE. OTHER RELATED STATUTES UNDER THIS PROGRAM ARE: WIS. STAT. SS 66.0217(9)(A), 66.0217(11), 66.0221(1), AND 66.0223(1).</p> <p>RECORDS WILL BE RETAINED ON-SITE FOR TWO YEARS AFTER ENTRY IN AN ELECTRONIC SYSTEM AND QUALITY CONTROLLED. THE ELECTRONIC VERSION WILL THEN BECOME THE OFFICIAL RECORD. ANY PUBLICATIONS OR OTHER COMPILED DOCUMENTS RESULTING FROM THIS WILL BE TRANSFERRED TO THE WISCONSIN STATE GOVERNMENT PUBLICATIONS SECTION OF THE WISCONSIN HISTORICAL SOCIETY.</p> | | | |
| <u>00275000.</u> | <u>COUNTY PLANS FOR LAND RECORDS MODERNIZATION</u> | <u>EVT+1</u> | <u>SHSW</u> | <u>N</u> |
| | <p>The Department of Administration under Wis. Stat. § 59.72(3)(b) requires that county-wide plans for land records modernization be submitted to, and approved by, the Department of Administration within 2 years after the county land information office is established. The plan shall be submitted for approval to the Department of Administration under Wis. Stat. § 16.967(3)(e). No later than January 1, 2014, and by January 1 every 3 years thereafter, the land information office shall update the plan and receive approval from the Department of Administration of the updated plan. A plan under Wis. Stat. § 59.72(3)(b) shall comply with the standards developed by the Department of Administration under Wis. Stat. § 16.967(3)(cm).</p> <p>EVENT = Superseded</p> | | | |
| <u>00346000.</u> | <u>COOPERATIVE BOUNDARY PLAN AND AGREEMENT FILES</u> | <u>CR+10</u> | <u>SHSW</u> | <u>Y</u> |
| | <p>Correspondence, hearing records, and draft and final submissions and Departmental approval documents relating to Wis. Stat. § 66.0301 and § 66.0307, (2015-16). These agreements may adjust municipal boundaries by transferring private and public property according to criteria developed by the affected units of government, and may last indefinitely upon approval by the Department and may also include provisions for municipal revenue sharing.</p> <p>EVENT = Creation</p> | | | |
| <u>00371000.</u> | <u>PLAT INDEX</u> | <u>FIS+1</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Plat record cards containing plat data including name and legal description of plat, permanent file number, surveyor, certification date and filing date. Used as index for retrieving microfilm for plat, determining abutting plat information and insuring that plat names are not duplicated within county or municipality.</p> <p>EVENT = Fiscal</p> | | | |
| <u>00372000.</u> | <u>SUBDIVISION PLAT AND CERTIFIED SURVEY MAP FILES</u> | <u>CR+5</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Wis. Stat. ch. 236 (2015-16), requires that when an owner creates more than 4 parcels of land, 1.5 acres or less in area, within a 5 year period those parcels must be created on a subdivision plat. The Department is the clearinghouse for the review of the plats. The Department reviews the plats and certifies that it complies with statutorily mandated minimum layout standards for lots, roads and public access dedications to navigable lakes and streams, as well as is in compliance with surveying, monumenting and technical mapping requirements. Surveyor's and local units of governments send in certified survey maps to review and determine if the maps are in compliance with statutory standards.</p> <p>The files contain drawings, plats and maps, correspondence about the plat/map with the surveyor, local units of government, property owners and other state agencies along with staffs technical review notes and certification letters.</p> <p>EVENT = Creation</p> | | | |
| <u>00373000.</u> | <u>ASSESSOR'S PLAT FILES</u> | <u>CR+5</u> | <u>DEST</u> | <u>Y</u> |
| | <p>Wis. Stat. § 70.27 (2015-16), provides, in part, that whenever the boundaries of parcels of land cannot be sufficiently determined for assessment or title purposes, the local unit of government can order that this area be surveyed, monumented and platted to clearly</p> | | | |

Dept #: 900/

Department Name: INTERGOVERNMENTAL RELATIONS

| <u>RDA #</u> | <u>RDA Title</u> | <u>Retention</u> | <u>Disposition</u> | <u>PII</u> |
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establish the boundaries of the parcels. The Department reviews the assessors plat and certifies that it complies with statutorily mandated surveying, monumenting and technical mapping requirements.

The files contain drawings, plats, correspondence about the plat with the surveyor, local units of government, property owners and other state agencies along with staffs technical review notes and certification letters.

EVENT = Creation

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| <u>00374000.</u> | <u>PLAT FILE MICROFILM</u> | <u>P</u> | <u>PERM</u> | <u>Y</u> |
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This Record Series contains microfilm records of plat files dating back to 1935. The microfilm is a permanent record of plat reviews, certifications and correspondence which are used to complete the current review of subdivision plats as required by Wis. Stat. ch. 236 (2015-16). These records are used when reviewing adjacent plats or replats of the original development, to waive restrictions and easements on recorded plats and to provide copies of platting documents to other state agencies, local units of government and the public when requested. The microfilming process has been replaced by scanning the records and storing them in an electronic/digital format, however these old records are used daily.

Event = Permanent

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| <u>00375000.</u> | <u>PLAT AND MAP COMPUTATIONS</u> | <u>CR+5</u> | <u>DEST</u> | <u>Y</u> |
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Computations of plat and certified survey map boundaries using an Excel spreadsheet to enter and obtain data output. Computations are used in technical review of plats and certified survey maps to verify compliance with minimum lot and street layout requirements.

EVENT = Creation

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| <u>00376000.</u> | <u>PLAT PROJECTS RECORDS</u> | <u>P</u> | <u>PERM</u> | <u>Y</u> |
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This Record Series contains electronic project records of plat files dating back to 1988. The electronic project records are a permanent record of plat reviews, certifications and correspondence which are used to complete the current review of subdivision plats as required by Wis. Stat. ch. 236 (2015-16). These records are used when reviewing adjacent plats or replats of the original development, to waive restrictions and easements on recorded plats and to provide copies of platting documents to other state agencies, local units of government and the public when requested.

EVENT = Permanent

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| <u>00377000.</u> | <u>GENERAL PLATTING CORRESPONDENCE</u> | <u>EVT+3</u> | <u>DEST</u> | <u>Y</u> |
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SUPERSEDED BY RDA ADM00010 PER DIANE GRIFFIN 7/2017

Correspondence Pertaining To Platting Review. Contains Significant Policy Correspondence With Requests For Interpretation Of Requirements, Publications And Changes In Procedures.

SUPERSEDES 115/729/00123000 PER TOM HERMAN 4/9/2007