

410-CORRECTIONS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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<u>00001000.</u>	<u>DIVISION OF ADULT INSTITUTIONS (DAI) AND DIVISION OF JUVENILE CORRECTIONS</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES CONSIST OF INDIVIDUALLY IDENTIFYING CONFIDENTIAL DOCUMENTS FILES IN THE PAPER-BASED DOC HEALTH CARE RECORD, AND/OR IN AN ELECTRONIC HEALTH RECORD, FOR INDIVIDUALS RESIDING IN DIVISION OF ADULT INSTITUTIONS AND DIVISION OF JUVENILE CORRECTIONS FACILITIES. THE DOCUMENTS ARE CREATED BY, OR UNDER THE SUPERVISION OF, HEALTH CARE PROVIDERS WHO IDENTIFY AND ADDRESS THE MEDICAL, DENTAL, MENTAL HEALTH, AND ALCOHOL AND DRUG ABUSE OF THOSE INDIVIDUALS. THE RECORD SERIES CONSISTS OF AT LEAST THE FOLLOWING COMPONENTS: MEDICAL CHART, PATIENT REQUEST FOLDER, PSYCHOLOGICAL RECORDS ENVELOPE, PSYCHOLOGICAL SERVICES UNIT RECORD, AND DENTAL RECORD. IT ALSO INCLUDES FORMS USED BY PATIENTS TO COMMUNICATE WITH HEALTH STAFF, INCLUDING HEALTH SERVICE REQUEST, DENTAL SERVICE REQUEST AND PSYCHOLOGICAL SERVICE REQUEST FORMS. SOME OFFENDERS ALSO HAVE A MEDICATIONS RECORD ENVELOPE AND/OR A PSYCHOLOGICAL SERVICES UNIT RECORD - AODA ENVELOPE.

PURPOSE: THIS RECORD SERIES DOCUMENTS REQUESTS FOR HEALTH CARE BY PATIENTS, IDENTIFICATION OF NEEDS AND HEALTH CARE CONDITIONS OF PATIENTS, AND THE PROVISION OF HEALTH CARE TO THOSE PATIENTS WITH THE GOAL OF ENSURING THAT THE DOC PROVIDES APPROPRIATE AND NEEDED HEALTH CARE TO PATIENTS.

EVENT = DATE OF RELEASE FROM DAI INCARCERATION OR DJC COMMITMENT

THE FORMS INCLUDE BUT ARE NOT LIMITED TO: SEE DAI POLICY 500.50.02, ATTACHMENTS 1 AND 1A

CONFIDENTIAL:

Federal Laws:

42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records

45 C.F.R. Part 160 General Administrative Requirements

45 C.F.R. Part 164 Security and Privacy

Wisconsin State Statutes:

Wis. Stat. § 51.30 Records

Wis. Stat. § 51.47 Alcohol and Other Drug Abuse Treatment Records

Wis. Stat. § 146.38 Health Care Services Review, Confidentiality of Information

Wis. Stat. § 146.82 Confidentiality of Patient Health Care Records

Wis. Stat. § 146.83 Access to Patient Health Care Records

Wis. Stat. § 252.15 Restrictions of Use of an HIV Test

Wis. Stat. § 303.388 Prisoner Medical Records

Wis. Stat. §938.78 Confidentiality of Records

Wis. Stat. §950.04(1v) Rights of Victims

Wis. Stat. §972.15 Presentence Investigation

Wisconsin Administrative Code:

Wis. Admin Code § DHS 92.08 Criminal Commitments

<u>00001A00.</u>	<u>DIVISION OF ADULT INSTITUTIONS (DAI) OFFENDER HEALTH CARE RECORDS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES CONSISTS OF INDIVIDUALLY IDENTIFYING CONFIDENTIAL DOCUMENTS FILED IN THE PAPER-BASED DOC HEALTH CARE RECORD, AND/OR IN AN ELECTRONIC HEALTH RECORD, DESCRIBED IN RDA 1, FOR INDIVIDUALS RESIDING IN DIVISION OF ADULT INSTITUTIONS. THE DOCUMENTS ARE CREATED BY, OR UNDER THE SUPERVISION OF, HEALTH CARE PROVIDERS WHO ADDRESS THE MEDICAL, DENTAL, MENTAL HEALTH, AND ALCOHOL AND DRUG ABUSE NEEDS OF THOSE INDIVIDUALS.

THIS RDA AUTHORIZES CONFIDENTIAL DESTRUCTION OF DOCUMENTS FILED IN THE HEALTH CARE RECORD AT SEVEN (7) YEARS FOLLOWING THE DATE OF RELEASE FROM A PERIOD OF INCARCERATION EXCEPT FOR THE FOLLOWING DOCUMENTS WHICH MUST BE RETAINED UNDER RDA 1 FOR ELEVEN (11) YEARS FROM DATE OF RELEASE FROM A PERIOD OF INCARCERATION:

- PRESCRIBER'S ORDERS
- EKG/ECG REPORTS
- IMMUNIZATION RECORDS
- POSITIVE TUBERCULOSIS TEST RESULT REPORT
- CONSULTATION RECORDS OF NON-DOC PROVIDERS
- LAST 12 MONTHS OF PROGRESS NOTES
- MOST RECENT INTAKE SCREENING/MEDICAL HISTORY
- PSYCHIATRIC REPORTS
- MOST RECENT PROBLEM LIST
- DENTAL RECORD
- PSYCHOLOGICAL SERVICES UNIT RECORD
- ALL DOCUMENTS PERTAINING TO AN INMATE WHO DIES DURING INCARCERATION, OR FOR WHOM LITIGATION IS PENDING

PURPOSE: THIS RECORD SERIES DOCUMENTS REQUESTS FOR HEALTH CARE BY PATIENTS, IDENTIFICATION OF NEEDS

AND HEALTH CARE CONDITIONS OF PATIENTS, AND THE PROVISION OF HEALTH CARE TO THOSE PATIENTS WITH THE GOAL OF ENSURING THAT THE DOC PROVIDES APPROPRIATE AND NEEDED HEALTH CARE TO PATIENTS.

EVENT = DATE OF RELEASE FROM DAI INCARCERATION

THE FORMS INCLUDE BUT ARE NOT LIMITED TO: SEE DAI POLICY 500.50.02, ATTACHMENTS 1 AND 1A

CONFIDENTIAL:

FEDERAL LAWS:

42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS

45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS

45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:

WIS. STAT. § 51.30 RECORDS

WIS. STAT. § 51.47 ALCOHOL AND OTHER DRUG ABUSE TREATMENT RECORDS

WIS. STAT. § 146.38 HEALTH CARE SERVICES REVIEW, CONFIDENTIALITY OF INFORMATION

WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS

WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS

WIS. STAT. § 252.15 RESTRICTIONS OF USE OF AN HIV TEST

WIS. STAT. § 303.388 PRISONER MEDICAL RECORDS

WIS. STAT. §938.78 CONFIDENTIALITY OF RECORDS

WIS. STAT. §950.04(1V) RIGHTS OF VICTIMS

WIS. STAT. §972.15 PRESENTENCE INVESTIGATION

WISCONSIN ADMINISTRATIVE CODE:

WIS. ADMIN CODE § DHS 92.08 CRIMINAL COMMITMENTS

<u>00003000.</u>	<u>INFORMATION FOR INMATES, OFFENDERS, STUDENTS, STAFF, VISITORS, O</u>	<u>EVT+75</u>	<u>DEST</u>	<u>N</u>
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CONTENT: DEPARTMENT OF CORRECTIONS HANDOUT, HANDBOOK, BOOKLET, INFORMATION, INSTRUCTION, NOTICE OR OTHER ITEMS CREATED FOR INMATES, OFFENDERS, STUDENTS, OR STAFFS THAT PROVIDE INFORMATION ON A VARIETY OF TOPICS. THE ORIGINAL OF THESE ARE RETAINED BY THE FORMS COMPLIANCE OFFICER.

PURPOSE: THIS RECORD SERIES PROVIDES INFORMATION TO INMATES, OFFENDERS, STUDENTS, STAFF, VISITORS, OR THE PUBLIC REGARDING DOC PRACTICES. THESE DO NOT CONTAIN ANY INMATE, OFFENDER, STUDENT OR STAFF INFORMATION AND ARE FOR INFORMATION PURPOSES ONLY.

RETENTION: EVENT + 75 YEARS. EVENT IS DATE OF EACH VERSION – WHETHER CREATION, REVISION, OBSOLETE OR NO LONGER USED.

PLEASE NOTE THAT THIS MEANS THAT THE FIRST EDITION IS TO BE RETAINED 75 YEARS, THE NEXT VERSION WOULD BE RETAINED FOR 75 YEARS, AND SO ON. WHEN THIS DOCUMENT IS OBSOLETE OR CLOSED (NO LONGER USED) THEN THIS IS RETAINED 75 YEARS.

EVENT = DATE OF EACH VERSION - WHETHER CREATION, REVISION, OBSOLETE, OR NO LONGER USED

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:

- POC-0011 INFORMATION REGARDING HIV ANTIBODY TESTING & DISCLOSURE OF RESULTS
- POC-0011S INFORMATION REGARDING HIV ANTIBODY TESTING & DISCLOSURE OF RESULTS - SPANISH
- POC-0014 DENTAL SERVICES AVAILABLE DURING INCARCERATION
- POC-0014S DENTAL SERVICES AVAILABLE DURING INCARCERATION - SPANISH
- POC-0015 OFFENDER HEALTH BOOKLET
- POC-0034 DOC NOTICE OF PRIVACY PRACTICES
- POC-0034S NOTICE OF PRIVACY PRACTICES SPANISH
- POC-0036 DICTATION INSTRUCTIONS FOR PSYCHIATRIC REPORT
- POC-0038 NOTICE TO PATIENTS - HEALTH CARE RECORD REVIEW
- POC-0038S NOTICE TO PATIENTS - HEALTH CARE RECORD REVIEW - SPANISH
- POC-0040 INFECTION CONTROL - HAND HYGIENE
- POC-0040A INFECTION CONTROL - PERSONAL PROTECTIVE EQUIPMENT (PPE)
- POC-0040B INFECTION CONTROL - HOUSEKEEPING/LAUNDRY
- POC-0040C INFECTION CONTROL - STANDARD PRECAUTIONS
- POC-0045 INSTRUCTIONS FOR YOUR NEW PARTIAL OR FULL DENTURE
- POC-0045S INSTRUCTIONS FOR YOUR NEW PARTIAL OR FULL DENTURE - SPANISH
- POC-0046 NOTICE TO ALL PATIENTS - ACCESS TO HEALTH SERVICES
- POC-0046A NOTICE TO ALL YOUTH - ACCESS TO HEALTH SERVICES
- POC-0046S NOTICE TO ALL PATIENTS - ACCESS TO HEALTH SERVICES - SPANISH
- POC-0047 STAYING HEALTHY IN PRISON BROCHURE
- POC-0047A SUICIDE PREVENTION BROCHURE
- POC-0047AS SUICIDE PREVENTION BROCHURE - SPANISH
- POC-0047S STAYING HEALTHY IN PRISON BROCHURE - SPANISH
- POC-0048 DEPAKOTE TO VALPROIC ACID PATIENT INFORMATION SHEET
- POC-0057 TB TESTING & HEPATITIS B VACCINATIONS FOR DOC EMPLOYEES
- POC-0058 NOTICE TO PATIENTS - HEALTH CARE RECORD REVIEW PROCEDURES
- POC-0061 INSTRUCTIONS FOR A BROKEN JAW
- POC-0062 GUIDELINES FOR PRESCRIPTION OF PSYCHOTROPIC MEDICATIONS
- POC-0066 INSTRUCTIONS FOR HEMODIALYSIS PATIENTS WHEN AN EMERGENCY OCCURS REQUIRING

YOU TO LEAVE THE HEMODIALYSIS UNIT
 POC-0069 INSTRUCTIONS AFTER TOOTH EXTRACTIONS
 POC-0069S INSTRUCTIONS AFTER TOOTH EXTRACTIONS - SPANISH
 POC-0070 INSTRUCTIONS AFTER TOOTH EXTRACTIONS AFFECTING THE SINUS
 POC-0070S INSTRUCTIONS AFTER TOOTH EXTRACTIONS AFFECTING THE SINUS - SPANISH
 POC-0073 MINIMUM SECURITY HEALTH CARE RESTRICTIONS/CAPABILITIES
 POC-0074 REQUESTING DENTAL SERVICES AFTER YOU LEAVE A&E INTAKE
 POC-0075 PROFESSIONAL INTERPRETERS FOR HEALTH APPOINTMENTS WITH NON-ENGLISH SPEAKING INMATES - BILINGUAL
 POC-0076 HEMOCCULT TESTING INSTRUCTIONS
 POC-0077 HOW TO ADD MEDICATIONS TO A PERITONEAL DIALYSATE BAG
 POC-0078 HOW TO TAKE A STERILE PERITONEAL DIALYSATE SAMPLE
 POC-0081 BHS SECURITY ORIENTATION MANUAL FOR HEALTHCARE STAFF
 POC-0082 BHS SECURITY ORIENTATION SUMMARY FOR NON-DOC HEALTHCARE STAFF
 POC-0083 PROCESS FOR SLEEP STUDIES AND TREATMENTS
 POC-0085 BRUXISM AND BITEGUARDS
 POC-0086 POWER OF ATTORNEY FOR HEALTH CARE DISCLAIMER
 POC-0087 ADVANCE DIRECTIVE BROCHURE
 POC-0088 HYPERTENSION
 POC-0089 HEALTH CARE PROBLEM RESOLUTION GUIDE
 POC-0091 ADHD GUIDE FOR INMATES

CONFIDENTIAL: NONE – THERE ARE NO BHS DOCUMENTS THAT CONTAIN CONFIDENTIAL ITEMS.

<u>00004000.</u>	<u>WORKER'S COMPENSATION FILES/INJURED PRISONERS</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
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These Files Include Cases Which Apply To Compensation To Injured Prisoners, S. 303.21, And Duty Disability Retirement Application, S.40.65 Wis. Stats. The Files Contain Gathered Materials Relating To The Investigation Of The Claim, Medical Records, Documents Filed With DILHR And The Final Decision And Order.

The Closed Action Indicates Final Payment.

Purpose: These Files Contain All Of The Information Regarding Claims, They Must Be Maintained In Order For The Attorneys And Their Staff To Have Access To Current Information.

Retention: Retain 12 years and destroy confidential.

<u>00006000.</u>	<u>PERSONNEL CASE FILES - APPEALS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THESE ARE CASE FILES PERTAINING TO PERSONNEL COMMISSION APPEALS. THESE CASES MAY INCLUDE RECLASSIFICATION AND DISCRIMINATION COMPLAINTS AND MAY INVOLVE THE EQUAL OPPORTUNITY COMMISSION. THE FILES COULD CONTAIN THE INTIAL APPEAL LETTERS AND / OR COMPLAINT FORMS, CORRESPONDENCE, PLEADINGS, BRIEFS, EXHIBITS AND INTERIN AND/OR FINAL DECISIONS FROM ALL THE FORUMS THE CASES WERE APPEALED TO.

PURPOSE: USED TO PROCESS A LITIGATION OR APPEAL.

RETANTION: DESTROY PAPER RECORDS 10 YEARS AFTER CASE CLOSED.

<u>00007000.</u>	<u>SUBJECT FILES - LEGAL</u>	<u>CR+10</u>	<u>SHSW</u>	
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THESE FILES PERTAIN TO SPECIFIC SUBJECT AREAS RELATING TO DEPARTMENTAL ISSUES.

PURPOSE: SUBJECT FILES ARE USED AS A GUIDELINE OR REFERENCE BY THE ATTORNEYS AND THEIR STAFF.

AN EXAMPLE OF THIS TYPE OF RECORD INCLUDES: CONTRACTUAL SERVICES - WHEN CONTRACTS ARE FORMED WITH BUSINESSES OUTSIDE OF THE STATE GOVERNMENT, SUCH AS BANKS AND SERVICES FROM PRIVATE BUSINESSES.

RETENTION: RETAIN 10 YEARS AND DESTROY CONFIDENTIAL

<u>00008000.</u>	<u>ATTORNEY FILES-COPIES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Content: These files are the compilation of the attorney's personal working materials. Materials within may include research notes, policy statements concerning pertinent programs correspondence relating to legal advice, notes from staff meetings, correspondence concerning rules and attorney's convenience copies.

The closed action indicates the close of the case.

Attorney's files - copies may be incorporated into reference files (RDA #00007000) containing similar subjects.

Purpose: These are working files that aid attorneys in giving advice on litigations or appeals. The information contained is used for future reference by attorney.

Retention: Retain 5 years and destroy confidential.

<u>00009000.</u>	<u>INMATE LITIGATION REFERRALS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THESE ARE FILES PERTAINING TO A VARIETY OF LAWSUITS FILED BY: (1) INMATES, OFFENDERS, OR THEIR FAMILIES WITH THE VARIOUS COURTS THROUGHOUT WISCONSIN NAMING THE DEPARTMENT OF CORRECTIONS OR DEPARTMENTAL STAFF OR (2) DEPARTMENT OF CORRECTIONS NAMING INMATES. THESE FILES CONTAIN COPIES OF LEGAL DOCUMENTS SERVED UPON THE DEPARTMENT OF CORRECTIONS AND ITS STAFF, CORRESPONDENCE AND DOCUMENTS FROM THE INSTITUTIONS, DEPARTMENT STAFF, DEPARTMENT OF JUSTICE, AND THE OFFICE OF LEGAL COUNSEL, AND TEMPORARY OR FINAL DECISIONS OR ORDERS FROM THE COURT.

THESE FILES ARE CLOSED ONCE WE RECEIVE A COURT DECISION OR UPON SETTLEMENT.

PURPOSE: MOST OF THESE LAWSUITS ARE REFERRED AND HANDLED BY THE DEPARTMENT OF JUSTICE AND VARIOUS DISTRICT ATTORNEY OFFICES THROUGHOUT WISCONSIN. SOME OF THESE LAWSUITS ARE ASSIGNED AND HANDLED BY STAFF WITHIN THE DEPARTMENT OF CORRECTIONS, OFFICE OF LEGAL COUNSEL.

RETENTION: DESTROY 10 YEARS AFTER CASE IS CLOSED. CLOSED MEANS FINAL DECISION FROM THE COURT OR UPON SETTLEMENT.

<u>00010000.</u>	<u>CLAIMS BOARD FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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These Cases Are Filed With The State Claims Board And Are Generally Initiated By Employees, Companies And The General Public. Information Included In These Files Would Be Initial Claims, Department Of Corrections Investigation Materials And Recommendations, And The State Claims Board's Decision.

The Closed Action Indicates That The Case Is Closed Or Final Payment Has Been Made.

Purpose: Claims Board Files Are Actions Seeking Compensation Against The Department Of Corrections.

Retention: Retain 10 years and destroy confidential.

<u>00011000.</u>	<u>LEGAL OPINION</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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Content: Documents rendering legal advice or interpretation of statutes affecting the Department of Corrections. This series includes notes, drafts and correspondence pertaining to specific legal opinions.

Purpose: These Records Are Used To Document Legal Advice Given Regarding Corrections Policies, Procedures, And Interpretation Of Wisconsin Statutes.

These documents are kept in paper or electronic form.

Retention: Retain permanently.

<u>00016000.</u>	<u>DACC/SCC TREATMENT FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: TREATMENT RECORDS INCLUDE CARE HISTORY, TESTING, ASSESSMENT MEMOS AND SIMILAR INFORMATION REQUIRED BY PROGRAMMING, PRODUCED BY STAFF AND THE INMATE TO DIAGNOSE, TREAT AND REFER. THIS INFORMATION IS CONFIDENTIAL UNDER FEDERAL LAW 42USC 290-DD-3.

THE CLOSED ACTION INDICATES THAT THE INMATE HAS LEFT THE FACILITY.

THIS RECORD SERIES IS NOT A DUPLICATE OF RDA 72, ADULT SOCIAL SERVICE CASE RECORD INSTITUTION COPY) PAPER. THERE IS ONLY ONE DUPLICATED DOCUMENT, THE SUMMARY OF THE DRUG AND ALCOHOL ASSESSMENT. THE DACC AND SCCC TREATMENT FILES ARE UNIT FILES THAT STAY AT THE FACILITY.

PURPOSE: THESE FILES ARE MAINTAINED BY THE STAFF TO KEEP ACCURATE AND CURRENT INFORMATION ON THE INMATE'S TREATMENT AND TESTING.

<u>00018000.</u>	<u>INITIAL CLASSIFICATION AND RECLASSIFICATION TRACKING OF WORK PR</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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This is a NEW RDA created to cover records identified during agency review.

CONTENT: This record series consist of data regarding the number of hearings processed by type (scheduled - appeared, scheduled - waived, early- appeared, early - waived).

PURPOSE: This record series documents the number of hearings performed by BOCM staff as part of their duties.

The forms include but are not limited to: None

CONFIDENTIAL: None

EVENT = Creation

<u>00019000.</u>	<u>WORK/STUDY COORDINATOR'S UNIT FILE</u>	<u>EVT+3</u>	<u>DEST</u>	
<p>The File Contains Weekly Work Schedules, Paycheck Stubs, Work Study Release Data Sheet, With Information Such As Work Schedule, Work Route, Pay Rate, Travel Time, Employer Address And Start Date.</p> <p>Work Study Release Form - Doc-370 (Copy) Work Study Release Agreement - C-372 (Original) Work Release Approval - (Copy) Social Security Number - Copy Of Social Security Card</p> <p>*Note - A Copy Of Doc-370, Work Study Release Form And Work Study Release Agreement Doc-372, Must Be Sent To The Inmate's Social Service File.</p> <p>Purpose: Program Coordinators Use These Files For Quick Access To Work Information While The Inmate Is In The Work/Study Program.</p> <p>* The Closed Action Indicates That The Inmate Is Released Or Transferred From The Institution Or From The Work Study Program. Retain For 1 Month After Closed And Destroy.</p> <p>Records Contain Personally Identifiable Information.</p>				

<u>00026000.</u>	<u>REQUEST TO VISIT INMATE</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
<p>THIS RECORD SERIES IS FOR USE WITH, BUT NOT LIMITED TO DOC 176- REQUEST TO VISIT INMATE, DOC 846- VISITOR REGISTER AND DOC 1089-DENIED VISIT JUSTIFICATION (SECURITY COPY). THIS RECORD SERIES INCLUDES INMATE, NAME, DOC NUMBER, INSTITUTION, HOUSING, UNIT, ASSIGNMENT, DATE OF LAST VISIT, VISIT HOURS AVAILABLE, DATE COMPLETED, VISITOR(S) NAME, RELATIONSHIP TO INMATE, DATE OF BIRTH, ADDRESS (STREET, CITY, STATE) AND NAMES OF CHILDREN UNDER 18 YEARS OF AGE BY FULL NAME AND DATE OF BIRTH; STAFF SIGNATURE APPROVING VISIT, TIME VISIT BEGAN, TIME VISIT ENDED, STAFF SIGNATURE.</p> <p>THIS RECORD SERIES DOCUMENTS THE PERSON(S) VISITING AN INMATE SO THAT SECURITY CAN VERIFY IF THAT PERSON IS AUTHORIZED TO VISIT AND THE REASON(S) FOR DENIAL OF VISITATION. DOC 176 FORM IS ALSO USED AS A PASS FOR VISITOR(S) TO GET INTO THE INSTITUTION.</p> <p>THESE DOCUMENTS SHOULD BE MAINTAINED IN THE INSTITUTION SECURITY DEPARTMENT. DOC ADMINISTRATIVE CODE 309.06 PROVIDES GUIDANCE FOR THIS PROCEDURE.</p> <p>RETAIN 1 YEAR FROM CREATION AND DESTROY CONFIDENTIAL.</p>				

<u>00030000.</u>	<u>CONSTRUCTION PROJECTS - PAYMENTS</u>	<u>CR+36</u>	<u>DEST</u>	<u>N</u>
<p>CONTENT: THIS SERIES HAS PAYMENT DOCUMENTATION FOR CONSTRUCTION PROJECT(S) INCLUDING VOUCHERS, PURCHASE ORDERS, REQUESTS AND CERTIFICATIONS FOR PAYMENT, COPY OF FINAL CLOSING LETTERS AND OTHER PAYMENT RELATED CORRESPONDENCE.</p> <p>PURPOSE: THESE RECORDS ARE USED TO PROCESS AND DOCUMENT PAYMENTS FOR CONSTRUCTION PROJECTS THAT HAVE ASSIGNED PROJECT NUMBERS AND APPROVAL OF THE DEPARTMENT OF ADMINISTRATION, BUILDING COMMISSION OR DIVISION OF FACILITIES DEVELOPMENT.</p> <p>RETENTION: RETAIN FOR 36 YEARS; REFERENCE 1.103 - 15at(D)(3).</p> <p>RELATED SERIES: CONSTRUCTION PROJECT FILES, DOC RDA 0023.</p>				

<u>00036000.</u>	<u>Exceptional Educational Needs (EEN) Student Records</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
<p>Contents: Exceptional Educational Needs records are considered "behavioral" as opposed to student "progress" records and are confidential as specified in Chapter 48, 115 and 118 of the Wisconsin Statutes.</p> <p>These records may include but are not limited to:</p> <ul style="list-style-type: none"> * EEN referral information * Parental consent for evaluation and placement * Individual Multidisciplinary Team members evaluation report * EEN placement decision 				

- * Individual education plans
- * Other related previous and on-going records
- * Correspondence or other documents related to the student's involvement in EEN programming

Purpose: To assess exceptional education needs, recommend programming and track progress of students in the program.

Note: Closed is after student is released from DOC custody or termination from EEN program.

Wis. Stats. 118.125(3) requires behavioral records to be destroyed one year after student ceases to be enrolled in the school unless the student specifies in writing that the records can be maintained for a longer time. Students in DOC are asked to sign a release to allow the Department to maintain the records for five years after termination or release. Most students sign the release; however, for those students who do not sign the release, RDA 036A covers retention of their records for one year after termination according to the statute.

<u>00036A00.</u>	<u>Exceptional Educational Needs (EEN) Student Records - No Release Signed</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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Contents: Exceptional Educational Needs records are considered "behavioral" as opposed to student "progress" records and are confidential as specified in Chapter 48, 115 and 118 of the Wisconsin Statutes.

These records may include but are not limited to:

- * EEN referral information
- * Parental consent for evaluation and placement
- * Individual Multidisciplinary Team members evaluation report
- * EEN placement decisions
- * Individual education plans
- * Other related previous and on-going records
- * Correspondence or other documents related to the student's involvement in EEN programming

Purpose: To assess exceptional education needs, recommend programming and track progress of students in the program.

Note: Closed is after student is released from DOC custody or termination from EEN program.

<u>00037000.</u>	<u>NON-LEGAL DOCUMENTATION</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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Content: This Record Series Contains Invalid, Non-Conforming Documentation & Related Correspondence From Inmates & Other Parties Attempting To File Papers As Legal Documents &/Or Requesting Legal Advisement.

Special Note: These Papers Are Not Recognized As Legal Documents Because They Are Not Conformed To Or Permitted By Law, Established Rules Or Procedures.

Purpose: These Records Are Kept For Reference To The Possible Filing Of Legitimate Legal Documents.

Retention Note: These Records Are To Be Kept 1 year.

<u>00038A00.</u>	<u>CIPIS INMATE RELATED DATA FILES - PRIMARY INFORMATION</u>	<u>EVT+75</u>	<u>SHSW</u>	<u>Y</u>
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ROOT SEGMENT, INMATE CHARACTERISTICS, SENTENCE/DETAINER, ATR RELEASES, DIS STATUS, MANDATORY RELEASE/PAROLE ELIGIBILITY DATA STATUS, RELEASE SUPPLEMENT

EVENT=DISCHARGE OR DEATH OF INMATE

<u>00038B00.</u>	<u>CIPIS INMATE RELATED DATA FILES - SECONDARY INFORMATION</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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MOVEMENT, SECURITY, CLASSIFICATION INCLUDING ASSESSMENT AND EVALUATION AND PROGRAM REVIEW, HEALTH CLASSIFICATION INCLUDING MEDICAL AND DENTAL, WORK/STUDY RELEASE, EDUCATION AGENT/AREA ASSIGNMENT, AND SPECIAL PLACEMENT NEEDS.

<u>00038C00.</u>	<u>CIPIS INMATE RELATED DATA - OUTPUTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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ADULT INST. RELEASE WK END, ADULT INST. RELEASE WK DURING, DCI - INSTITUTION RELEASE LISTING, WCI - ALPHA LIST OF ACTIVE INMATES, DIS LOCATION VARIANCES BETWEEN CIPIS & DIS PC, AND OTHERS.

<u>00039B00.</u>	<u>CIPIS NON-INMATE RELATED DATA - FILES COUNTS HISTORY</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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ON-GOING HISTORY OF POPULATION COUNTS

RDA #	RDA Title	Retention	Disposition	PII
	RETAIN PERMANENTLY.			
<u>00039C00.</u>	<u>CIPIS NON-INMATE RELATED DATA FILES - RELEASE/OPERATION</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
	PROJECTED RELEASE COUNTS, OPERATOR ID'S RETAIN FOR 5 YEARS AND DESTROY.			
<u>00040A00.</u>	<u>TRANSACTION ORIENTED AND PROCESSING DATA-DATA FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	CLASSIFICATION PRINT QUE REQUESTS, CIB STATUS CHANGES INCLUD ING DATA SHARING WITH THE DEPARTMENT OF JUSTICE, PENDING DECISION, PENDING TRANSFERS, ETC.			
	EVT=SUPERCEDE			
<u>00040B00.</u>	<u>TRANSACTION ORIENTED AND PROCESSING DATA-OUTPUTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	IMS B/B MONITORING JOB ON CIPIS 'CT D/B, IMS D/B UNLOAD JOB ON CIPIS TRANSCRIPT HOLD, ETC			
	EVT=SUPERSEDE			
<u>00053B00.</u>	<u>INTERSTATE CORRECTIONS COMPACT - BED DAYS TRACKING INPUTS AND</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
	CONTENT: This record series consist of records that are utilized to track, manage, and record the number of bed days, date received in contract state, date revised, and total days after release.			
	PURPOSE: The purpose of this record is to track the number of bed days per offender to ensure Wisconsin is afforded the appropriate number of bed days in states that have entered into a compact contract. Wisconsin Statute § 302.25 outlines the purpose of the compact, to provide for the mutual development and execution of programs of cooperation for the confinement, treatment and rehabilitation of offenders with the most economical use of human and material resources. This requirement provides a basis of cooperation between states that have entered into the contract to serve the best interests of offenders and society and effect economies-in capital expenditures and operations costs.			
	The forms include but are not limited to: None			
	CONFIDENTIAL: State Statutes: Wis. Stat. §19.35(1)(am) Safety and Security Wis. Stat. §19.36(8) Confidential Informant Wis. Stat. §905.09 Informant Wis. Stat. §905.10 Identity of Informer See Confidentiality of Records on page 2 above and application of the balancing test.			
	EVENT = Last day of the calendar year			
<u>00055A00.</u>	<u>EXECUTIVE DIRECTIVES - INDEX</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
	CONTENT: EXECUTIVE DIRECTIVES OUTLINE POLICIES AND PROCEDURE FOR CORRECTIONS PROGRAMS. RECORDS MAY INCLUDE BUT ARE NOT LIMITED TO POLICY REGARDING INSTITUTION PROGRAMS, TRAINING, CONFIDENTIALITY, OPEN RECORDS, AS WELL AS ADMINISTRATIVE AND FISCAL POLICIES. THE EXECUTIVE DIRECTIVES INDEX CONTAINS INFORMATION ON TITLE, NUMBER ASSIGNMENT AND THE DATE APPROVED. EXECUTIVE DIRECTIVES ARE LISTED NUMERICALLY.			
	PURPOSE: THIS INDEX IS USED TO AS A TOOL FOR STAFF TO LOCATE PARTICULAR EXECUTIVE DIRECTIVES CREATED BY DEPARTMENT.			
	THERE IS NO GRS RDA FOR EXECUTIVE DIRECTIVE INDEX, THE DOC HAS THESE RECORDS AND REQUIRES AN RDA TO MANAGE.			
	RETENTION: EVENT (DATE INDEX IS SUPERSEDED) + 0 AND DESTROY			
<u>00056000.</u>	<u>PUBLIC RECORDS REQUESTS - OFFICIAL RECORD</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
	CONTENT: THIS SERIES CONSISTS OF THE OFFICIAL DOCUMENTATION OF PUBLIC, MEDIA, AGENCY, AND INMATE/OFFENDER ACCESS TO DEPARTMENT RECORDS THROUGH PUBLIC RECORDS REQUESTS. RECORDS REQUESTS ARE ROUTED AND PROCESSED THROUGH THE OFFICES OF DESIGNATED LEGAL CUSTODIANS THROUGHOUT THE DEPARTMENT. THE SERIES MAY INCLUDE BUT IS NOT LIMITED TO THE FOLLOWING: RECORD REQUEST AND STAMPED ENVELOPE, RECORD REQUEST RESPONSE, CONFIDENTIAL INFORMATION RELEASE AUTHORIZATION(S), RECORD REQUEST APPEAL, RECORD REQUESTS APPEAL DECISION,			

CORRESPONDENCE ABOUT PENDING LITIGATION, AND DUPLICATES OF RECORDS GRANTED.

PURPOSE: TO DOCUMENT COMPLIANCE WITH WIS. STAT. 19.35 AND PROVIDE REFERENCE FOR LEGAL CUSTODIANS, ALSO DOCUMENTS A DELEGATED RESPONSIBILITY OF LEGAL CUSTODIANS AS DEFINED BY WIS. STAT. 19.33 AND WIS. STAT. 15.02(4).

NOTE: IF RECORDS RELEASED ARE CONFIDENTIAL IN NATURE, DESTRUCTION SHALL BE CONFIDENTIAL.

FORMS INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING:

- DOC-1160 RECORD REQUEST RESPONSE
- DOC-1161 RECORD REQUEST AUTHORIZATION
- DOC-1163 AUTHORIZATION FOR DISCLOSURE OF NON-HEALTH CONFIDENTIAL INFORMATION
- DOC-1163S AUTHORIZATION FOR DISCLOSURE OF NON-HEALTH CONFIDENTIAL INFORMATION - SPANISH
- DOC-1163A AUTHORIZATION FOR USE AND DISCLOSURE OF PHI
- DOC-1163AS AUTHORIZATION FOR USE AND DISCLOSURE OF PHI-SPANISH
- DOC-1163R REVOCATION OF AUTHORIZATION FOR USE AND DISCLOSURE OF PHI
- DOC-1163RS REVOCATION OF AUTHORIZATION FOR USE AND DISCLOSURE OF PHI-SPANISH
- DOC-2309 CERTIFICATION OF RECORDS
- DOC-2672 INSPECTION OF PUBLIC RECORDS

DO NOT USE ADMINISTRATIVE GENERAL RECORDS SCHEDULE RDA - ADM00022 OPEN RECORDS REQUESTS AND RESPONSES HAS RETENTION OF EVENT + 3 YEARS. THIS RETENTION IS NOT SUFFICIENT FOR DOC PUBLIC RECORDS REQUESTS AND RESPONSES.

RETENTION JUSTIFICATION: THE DOC BUSINESS AND LEGAL VALUE OF THE PUBLIC RECORDS REQUESTS PROVIDES FOR A LONGER RETENTION OF THIS RECORD SERIES. THE DECISION TO RETAIN THESE RECORDS FOR SEVEN(7) YEARS ALIGNS WITH INMATE SECURITY AND LEGAL RECORD SERIES AND PROVIDES THE DEPARTMENT ACCESS TO THESE RECORDS.

CONFIDENTIAL: YES

FEDERAL LAWS: 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS

45 C.F.R. PART 164 PROTECTED HEALTH CARE RECORDS

STATE STATUTES: SEE HARD COPY

ADMINISTRATIVE RULES:

WIS. ADMIN CODE CH. 309.39(7) INMATE TELEPHONE CALLS

WIS. ADMIN CODE CH. 332.17(7)(A-D) LIE DETECTOR DISCLOSURE OF TEST INFORMATION

RETENTION: EVENT + 7 YEARS AND DESTROY CONFIDENTIAL
EVENT IS THE DATE THE REQUEST IS CLOSED OR CANCELLED.

<u>00056A00.</u>	<u>PUBLIC RECORDS - PROCEDURAL</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS SERIES CONSISTS OF NOTICES AND LISTINGS REQUIRED BY STATUTORY AND/OR DEPARTMENT PROCEDURES. STATUTORILY REQUIRED PUBLIC NOTICE(S) CONCERNING RECORDS ACCESS ARE DEPICTED IN WIS. STAT. 19.34. A LISTING OF DESIGNATED LEGAL CUSTODIANS IS REQUIRED BY THE DEPARTMENT OF CORRECTIONS EXECUTIVE DIRECTIVE 21.

PURPOSE: TO DOCUMENT COMPLIANCE WITH STATE LAW(S) AND DEPARTMENT PROCEDURE(S); PROVIDES THE PUBLIC WITH DIRECTION CONCERNING RECORDS ACCESS PROCEDURES AND AVAILABILITY. THESE ESTABLISH BASIC CONTROLS AND ASSIGN GENERAL RESPONSIBILITY.

FORMS INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING:

- DOC-1241 PUBLIC NOTICE - ACCESS TO DOC RECORDS
- DOC-1241S PUBLIC NOTICE - ACCESS TO DOC RECORDS - SPANISH

RETENTION: EVENT + 0 AND DESTROY CONFIDENTIAL.
EVENT IS SUPERSEDED.

<u>00056B00.</u>	<u>PUBLIC RECORDS REQUEST TRACKING SYSTEM - INPUTS AND OUTPUTS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THE CONTENT OF PRRT INCLUDES THE DETAILS OF A PUBLIC RECORD REQUEST. THE CONTENTS MAY CONTAIN THE DATE OF THE REQUEST, THE DATE THE REQUEST WAS RECEIVED AND COMPLETED, THE NATURE OF THE REQUEST, THE NAME AND INFORMATION OF THE LEGAL CUSTODIAN WHO HANDLED THE REQUEST, IF THE REQUEST WAS APPEALED, THE COSTS OF THE REQUEST, THE REQUESTER'S NAME, CONTACT INFORMATION, AND THE TYPE OF REQUEST.

PURPOSE: THE PURPOSE OF PRRT IS TO TRACK ALL PUBLIC RECORDS REQUESTS WITHIN THE DEPARTMENT OF CORRECTIONS. ALL PUBLIC RECORDS REQUESTS RECEIVED BY THE LEGAL CUSTODIANS ARE ENTERED INTO THIS TRACKING SYSTEM. THIS TRACKING SYSTEM WAS CREATED FOR THE DEPARTMENT TO GET A BETTER

UNDERSTANDING OF THE PUBLIC RECORDS REQUESTS WE RECEIVE ALONG WITH MORE ACCURATE NUMBERS OF REQUESTS AND TO AIM FOR CONSISTENCY AMONG RESPONSES TO REQUESTS.

FORMS: NO FORMS FOR THIS RDA

RETENTION JUSTIFICATION: THE RETENTION OF SEVEN (7) YEARS IS IN ALIGNMENT WITH INMATE SECURITY AND LEGAL RECORD SERIES AND PROVIDES THE DEPARTMENT ACCESS TO THESE RECORDS FOR TRACKING, TRENDING AND OTHER BUSINESS ANALYSIS OF THIS TYPE OF RECORD.

RETENTION: EVENT (DATE THE REQUEST/APEAL IS CLOSED OR CANCELLED) + 7 YEARS AND DESTROY CONFIDENTIAL.

<u>00057000.</u>	<u>RESEARCH PROJECTS CASE FILE - APPROVED PROJECTS</u>	<u>EVT+7</u>	<u>SHSW</u>	<u>Y</u>
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CONTENT: REQUESTS TO CONDUCT RESEARCH ARE MANAGED BY THE RESEARCH REVIEW COMMITTEE. EXECUTIVE DIRECTIVE #36, RESEARCH PROGRAM PROCEDURES WAS ESTABLISHED TO ASSURE QUALITY RESEARCH AND TO PROTECT OFFENDERS, INMATES, YOUTH AND/OR EMPLOYEES WHO ARE THE SUBJECTS OF RESEARCH. RECORDS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO:

- * REQUEST TO CONDUCT RESEARCH
- * PROTOCOL INCLUDING A DESCRIPTION OF THE PROPOSED RESEARCH
- * A COPY OF ANY QUESTIONNAIRE TO BE USED
- * DESCRIPTION OF PROCEDURES TO ASSURE THAT DEPARTMENT INMATES, OFFENDERS, YOUTH, AND/OR EMPLOYEES ARE NOT PUT AT RISK AND THAT SECURITY OF THE INSTITUTION/PROBATION & PAROLE SYSTEM WON'T BE VIOLATED
- * SAMPLES OF PROPOSED INFORMED CONSENT FORMS
- * SIGNED COPY OF DOC-138 RESEARCH PROJECT AGREEMENT
- * SIGNED COPY OF DOC-138A SUPERVISOR CONSENT FOR DOC EMPLOYEE RESEARCHERS (IF NECESSARY)
- * SIGNED DOC-139 DECISION ON RESEARCH PROJECT APPLICATION
- * SIGNED COPY OF DOC-1198 RESEARCHER'S REQUEST FOR CONFIDENTIAL RECORDS OR HUMAN SUBJECTS RESEARCH
- * COPIES OF INSURANCE POLICIES
- * APPROVED PROJECT RECORDS THAT MAY INCLUDE FOLLOW-UP RESEARCH ON FINDINGS
- * FINAL REPORT
- * ONE-PAGE EXECUTIVE SUMMARY OR SCIENTIFIC ABSTRACT OF FINDINGS
- * ANY PAPERS INTENDED FOR PUBLICATION WITH THE DEPARTMENT APPROVAL
- * CORRESPONDENCE TO RESEARCHERS REGARDING DEADLINES

PURPOSE: APPROVED RESEARCH PROJECTS SERVE A VALUABLE PURPOSE BECAUSE THEY EXAMINE THE PROCESS AND EFFECTIVENESS OF CORRECTIONAL PROGRAMS.

FORMS INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING:

- DOC-138 RESEARCH PROJECT AGREEMENT
- DOC-138A SUPERVISOR CONSENT FOR DOC EMPLOYEE RESEARCHERS
- DOC-139 DECISION ON RESEARCH PROJECT APPLICATION
- DOC-1198 RESEARCHER'S REQUEST FOR CONFIDENTIAL RECORDS OR HUMAN SUBJECTS RESEARCH
- DOC-1098D APPLICATION SUPPLEMENT-CONVICTION RECORD
- DOC-255 DATA REQUEST
- DOC-1163A AUTHORIZATION FOR THE USE AND DISCLOSURE OF PROTECTED HEALTH INFORMATION

NEITHER RDA AMD00026 NOR ADM00027 WERE CONSIDERED FOR THESE RECORDS, HOWEVER THE DOC DETERMINED THAT THESE RESEARCH PROJECTS CASE FILES ARE NOT PROGRAM/POLICY IMPACT NOR ARE THEY INTERNAL OR ROUTINE.

THE DOC RESEARCH PROJECTS RDAS HAS EXISTED AND IS RENEWED AS A SEPARATE RDA SERIES DUE TO THE NATURE OF THE RECORDS THAT RESEARCHERS MAY HAVE ACCESS TO. THESE ARE OFTEN TIMES RESEARCH THAT MAY BE PUBLISHED BY PROFESSIONALS WITHIN A SPECIFIC OR MULTIPLE DISCIPLINES. WE HAVE HAD THESE RDAS IN THE PAST AND PREFER TO HAVE SEPARATE RETENTIONS FOR THE DIFFERENT ASPECTS OF THESE RESEARCH PROJECTS. THE DOC DOES NOT BELIEVE THAT RESEARCH PROJECTS THAT HAVE BEEN DENIED/WITHDRAWN, NO PROTOCOLS RETURNED OR THE LOG NEEDS TO BE SENT TO THE WISCONSIN HISTORICAL SOCIETY OR RETAINED THE SAME LENGTH OF TIME - THEREFORE THE NEED FOR SEPARATE RDAS. HISTORICALLY INMATES HAVE BEEN USED FOR RESEARCH FOR A VARIETY OF STUDIES IN MANY DISCIPLINES.

RETENTION: EVENT(DATE OF THE FINAL REPORT) + 7 YEARS AND TRANSFER TO WISCONSIN HISTORICAL SOCIETY

RETENTION JUSTIFICATION: THESE RECORDS MAY HAVE BUSINESS OR HISTORICAL VALUE IF THE RESEARCH PROJECT IS APPROVED AND COMPLETED. THE SEVEN(7) YEAR IN HOUSE RETENTION PROVIDES THE DOC WITH ACCESS TO THESE RECORDS IN THE EVENT OF RESEARCH FINDING PUBLICATION AND ANY ITEMS THAT WOULD ARISE FROM SAID RESEARCH. THE DOC FEELS THIS RETENTION IS ADEQUATE FOR BUSINESS PURPOSES.

CONFIDENTIAL: YES

FEDERAL LAWS: SEE HARD COPY
STATE STATUTES: SEE HARD COPY

<u>00057A00.</u>	<u>RESEARCH PROJECTS CASE FILE - DENIED/WITHDRAWN</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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CONTENT: REQUESTS TO CONDUCT RESEARCH ARE MANAGED BY THE RESEARCH REVIEW COMMITTEE. EXECUTIVE

DIRECTIVE #36, RESEARCH PROGRAM PROCEDURES. THIS DIRECTIVE WAS ESTABLISHED TO ASSURE QUALITY RESEARCH AND TO PROTECT INMATES, OFFENDERS AND/OR EMPLOYEES WHO ARE THE SUBJECTS OF RESEARCH.

RECORDS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO:

- * REQUEST TO CONDUCT RESEARCH
- * RESEARCH REVIEW COMMITTEE DENIAL LETTER TO RESEARCHER DETAILING REASON FOR DENIAL AND OPPORTUNITY FOR RESEARCHER TO RESPOND

PURPOSE: RECOMMENDATIONS TO DENY RESEARCH ARE REQUIRED TO INSURE SAFEGUARDS FOR THE PROTECTION AND PRIVACY OF THE INVOLVED OFFENDERS, INMATES, YOUTH AND/OR EMPLOYEES.

FORMS: NO FORMS FOR THIS RDA

THIS RDA IS DIFFERENT FROM RDA 57 AS THESE WERE RESEARCH PROJECTS THAT WERE DENIED OR WITHDRAWN. NO RESEARCH WAS COMPLETED THEREFORE THESE RECORDS DO NOT NEED TO BE RETAINED FOR THE SAME RETENTION.

RETENTION: EVENT(DATE OF DENIAL OR WITHDRAWAL) + 3 YEARS AND DESTROY CONFIDENTIAL

RETENTION JUSTIFICATION: THESE RECORDS HAVE LITTLE BUSINESS OR HISTORICAL VALUE IF THE RESEARCH PROJECT HAS BEEN DENIED OR WITHDRAWN, THEREFORE THE THREE(3) YEAR RETENTION IS ADEQUATE TO KNOW IF SOMEONE HAS ALREADY REQUESTED TO DO THIS TYPE OF RESEARCH IN THE PAST.

<u>00057B00.</u>	<u>RESEARCH PROJECTS CASE FILE - NO PROTOCOLS RETURNED</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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CONTENT: REQUESTS TO CONDUCT RESEARCH ARE MANAGED BY THE ADMINISTRATOR, DIVISION OF MANAGEMENT SERVICES. EXECUTIVE DIRECTIVE #36, RESEARCH PROGRAM PROCEDURES WAS ESTABLISHED TO ASSURE QUALITY RESEARCH AND TO PROTECT THE OFFENDERS, INMATES, YOUTH AND/OR EMPLOYEES WHO ARE THE SUBJECTS OF RESEARCH.

RECORDS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO:

- * REQUEST TO CONDUCT RESEARCH
- * CORRESPONDENCE TO RESEARCHER DETAILING ADDITIONAL REQUIREMENTS OR DOC RESPONSE PACKET

PURPOSE: THESE RECORDS ARE USED TO TRACK RESEARCH PROJECTS AND FOLLOW-UP ON NON-RESPONSE OF REQUIREMENTS ACCORDING TO EXECUTIVE DIRECTIVE #36

FORMS: NO FORMS FOR THIS RDA

THIS RDA IS DIFFERENT FROM RDA 57 AS THESE WERE RESEARCH PROJECTS THAT WERE DENIED OR WITHDRAWN. NO RESEARCH WAS COMPLETED THEREFORE THESE RECORDS DO NOT NEED TO BE RETAINED FOR THE SAME RETENTION.

RETENTION: EVENT (DATE RESPONSE PACKET DISTRIBUTED AND NO PROTOCOL RECEIVED) +2 YEARS AND DESTROY

RETENTION JUSTIFICATION: THESE RECORDS HAVE LITTLE BUSINESS OR HISTORICAL VALUE IF THE NO PROTOCOL HAS BEEN RETURNED AS THE RESEARCH WILL NOT BE APPROVED. THE TWO YEAR RETENTION PROVIDES A RECORD IF THE REQUESTER SUBMITS A NEW REQUEST WITHIN THIS TIMELINE. THE DOC BELIEVES THIS TWO (2) YEAR RETENTION IS ADEQUATE.

<u>00057C00.</u>	<u>RESEARCH PROJECTS CASE FILE - OFFENDER RESEARCH LOGS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: REQUESTS TO CONDUCT RESEARCH ARE MANAGED BY THE RESEARCH REVIEW COMMITTEE. EXECUTIVE DIRECTIVE #36, RESEARCH PROGRAM PROCEDURES WAS ESTABLISHED TO ASSURE QUALITY RESEARCH AND TO PROTECT INMATES, OFFENDERS, YOUTH, AND/OR EMPLOYEES WHO ARE THE SUBJECTS OF RESEARCH.

PURPOSE: THESE RECORDS TRACK RESEARCH PROJECTS AND FOLLOW-UP ON NON-RESPONSE OF REQUIREMENTS ACCORDING TO EXECUTIVE DIRECTIVE #36. THE DIVISION OF MANAGEMENT SERVICES (DMS) DISTRIBUTES A LOG TWICE A YEAR TO EXECUTIVE STAFF INDICATING THE TYPE OF RESEARCH APPROVED BY THE COMMITTEE AND THE STATUS OF THE RESEARCH PROJECTS. AN ADDITIONAL LOG IS MAINTAINED WHICH TRACKS ALL PERTINENT DATES RELATED TO RESEARCH PROJECTS.

THE OFFENDER RESEARCH LOG IS AN INDEX OF RESEARCH PROJECTS AND IS USED TO TRACK PROJECTS. INFORMATION IN THE LOG MAY INCLUDE THE FOLLOWING:

- * CASE NUMBER
- * NAME OF RESEARCHER
- * DATE INITIAL REQUEST RECEIVED
- * DATE DOC RESPONSE PACKET SENT
- * DATE RECEIVED PLAN & SIGNED FORMS
- * RESEARCH REVIEW COMMITTEE MEMBERS ASSIGNED
- * DECISION AND DATE OF LETTER
- * ADDITIONAL INFORMATION NEEDED & TYPE OF INFORMATION
- * FOLLOW-UP REVIEW DATE
- * RESEARCH RESULTS RECEIVED

FORMS: NO FORMS FOR THIS RDA

RETENTION: EVENT(SUPERSEDED) + 0 YEARS AND DESTROY CONFIDENTIAL

<u>00058000.</u>	<u>OPERATIONAL PLANS</u>	<u>EVT+7</u>	<u>SHSW</u>	<u>N</u>
<p>CONTENT: THIS RECORD SERIES CONTAINS THE OFFICIAL DEPARTMENT COPIES OF THE OPERATIONAL PLAN WRITTEN BY JUVENILE DETENTION FACILITY SUPERINTENDENTS AND APPROVED BY THE OFFICE OF DETENTION FACILITIES DIRECTOR, WHICH CONSISTS OF A SERIES OF POLICIES AND PROCEDURES FOR SPECIFIC TOPICS OUTLINED / REQUIRED IN THE DOC ADMINISTRATIVE CODE FOR DETENTION FACILITY.</p> <p>PURPOSE: THESE RECORDS ARE KEPT TO DOCUMENT COMPLIANCE WITH THE WISCONSIN ADMINISTRATIVE CODE FOR THE DEPARTMENT OF CORRECTIONS.</p> <p>EVENT = CLOSED, CLOSED MEANS CLOSURE OF THE FACILITY</p>				
<u>00059000.</u>	<u>APPROVAL LETTERS</u>	<u>EVT+7</u>	<u>SHSW</u>	<u>N</u>
<p>CONTENT: THIS RECORD SERIES CONTAINS THE OFFICIAL STATE APPROVAL DOCUMENTATION FOR LOCAL PLACES OF DETENTION TO OPERATE. DOCUMENTATION CONSISTS OF, BUT IS NOT LIMITED TO PLAN APPROVAL, OCCUPANCY APPROVAL AND POLICY / PROCEDURES APPROVAL LETTERS WRITTEN BY FACILITY INSPECTORS AND SIGNED BY THE OFFICE OF DETENTION FACILITIES DIRECTOR.</p> <p>PURPOSE: THESE RECORDS ARE KEPT TO ACKNOWLEDGE APPROVAL OF FACILITY PLANNING, OCCUPANCY AND OPERATIONS TO THE FACILITY ADMINISTRATOR.</p> <p>EVENT = CLOSED, "CLOSED" MEANS CLOSURE OF FACILITY</p>				
<u>00060000.</u>	<u>CONSTRUCTION DOCUMENTS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
<p>CONTENT: THIS RECORD SERIES CONTAINS THE OFFICIAL COPIES OF FACILITY DOC APPROVED CONSTRUCTION DOCUMENTS.</p> <p>PURPOSE: CONSTRUCTION DOCUMENTS ARE KEPT TO ENSURE COMPLIANCE WITH ADMINISTRATIVE RULES.</p> <p>EVENT = CLOSED / TERMINATED / DEATH</p>				
<u>00061A00.</u>	<u>INSPECTION LETTERS</u>	<u>CR+10</u>	<u>SHSW</u>	<u>Y</u>
<p>CONTENT: THIS RECORD SERIES CONTAINS REPORTS WRITTEN BY INSPECTORS TO SHERIFFS AND OTHER KEEPERS OF FACILITIES THAT SUMMARIZE FACILITY OPERATIONS.</p> <p>PURPOSE: THESE REPORTS ARE USED TO ADVISE THE ADMINISTRATORS OF FACILITY OPERATIONAL ISSUES AS DETERMINED BY THE INSPECTORS. THEY ALSO PROVIDE DOCUMENTATION OF COMPLIANCE WITH THE STATUTORY REQUIREMENT TO INSPECT PER WI STATUTE SECTIONS 301.36 AND 301.37.</p> <p>THE OFFICIAL COPY IS KEPT BY THE OFFICE OF DETENTION FACILITIES DIRECTOR.</p>				
<u>00062000.</u>	<u>LETTERS OF CORRESPONDENCE</u>	<u>CR+7</u>	<u>SHSW</u>	<u>Y</u>
<p>CONTENT: THIS RECORD SERIES CONTAINS THE OFFICIAL COPIES OF CORRESPONDENCE GENERATED BY THE OFFICE OF DETENTION FACILITIES AS WELL AS CORRESPONDENCE DIRECTED TO THE OFFICE OF DETENTION FACILITIES AND THE ASSOCIATED RESPONSES.</p> <p>PURPOSE: THESE RECORDS DOCUMENT A PORTION OF THE DEPARTMENT'S MISSION TO COMMUNICATE WITH THE PUBLIC, FAMILIES AND OTHER GOVERNMENT OFFICIALS.</p>				
<u>00064000.</u>	<u>DEATH INVESTIGATIONS</u>	<u>EVT+50</u>	<u>SHSW</u>	<u>Y</u>
<p>CONTENT: THIS RECORD SERIES CONSISTS OF REPORTS, SUMMARIES OF THE INCIDENTS AND LETTERS TO THE FACILITY ADMINISTRATION REGARDING THE REVIEW OF INMATE DEATHS WHICH OCCUR IN LOCAL PLACES OF DETENTION.</p> <p>PURPOSE: THESE RECORDS ARE KEPT PURSUANT TO THE LEAGL REQUIREMENT OF WI STATUTE SECTION 301.36(1) TO INVESTIGATE CERTAIN DEATHS WITHIN FACILITIES.</p> <p>NOTE: THESE RECORDS ARE TO BE KEPT PERMANENTLY TO BE USED FOR RESEARCH PURPOSES. THESE RECORDS ARE THE ONLY DOCUMENTATION COLLECTED AND RETAINED FOR THESE INCIDENTS.</p> <p>EVENT = CLOSED / TERMINATED / DEATH</p>				
<u>00065000.</u>	<u>JAILS POPULATION REPORTS</u>	<u>CR+7</u>	<u>SHSW</u>	<u>N</u>

CONTENT: THIS RECORD SERIES CONSISTS OF THE ANNUAL POPULATION REPORTS FOR LOCAL PLACES OF DETENTION AND MAY INCLUDE RATED CAPACITIES, MONTHLY AVERAGES OF DAILY POPULATION AND OTHER REQUESTED INFORMATION.

PURPOSES: THE DEPARTMENT AND OTHER AGENCIES USE THESE RECORDS TO MONITOR FACILITY DAILY POPULATIONS

00068000.	<u>UNIT MEETINGS</u>	<u>CR+5</u>	<u>SHSW</u>	<u>N</u>
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CONTENT: THIS RECORD SERIES CONTAINS THE OFFICIAL COPIES OF ODF UNIT MEETING MINUTES AND AGENDAS.

PURPOSE: A RECORD OF EACH MEETING IS KEPT FOR REFERENCE.

00070000.	<u>INCIDENT REPORTS</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONTAINS INTERNAL REPORTS THAT HAVE BEEN SENT TO SUPERVISORS AND/OR INSTITUTION ADMINISTRATORS THAT INCLUDE NARRATIVE DESCRIPTION OF: FIRES, ESCAPES, DEATHS, RIOTS/DISTURBANCES, CELL ENTRIES, INFORMATIONAL, DISCHARGED FIREARMS, SELF HARM, MISCONDUCT, PREA, PHYSICAL INJURY, PROPERTY DAMAGE, THREATS, ACCIDENTS, HEALTH, CUSTODY AND OTHER INCIDENTS THAT OCCURED AT A FACILITY. FORMS INCLUDED IN THIS SERIES, BUT NOT LIMITED TO ARE DOC-98, INCIDENT REPORTS; DOC-98A, ACCIDENT REPORT; DOC-98B, INCIDENT INFORMATION; AND DOC-375, INCIDENT REPORT (DCC); AND WIC FORMS 2424 AND 2424B-INCIDENT REPORT.

WITH IMPLEMENTATION OF WICS (WISCONSIN INTEGRATED CORRECTIONS SYSTEM) IN THE SUMMER OF 2008, MOST OF THESE FORMS ARE NOW ELECTRONIC.

THESE RECORDS ARE USED TO REVIEW INCIDENTS FOR POSSIBLE ADMINISTRATIVE CODE/RULE VIOLATIONS AND TO DOCUMENT COMPLIANCE WITH WISCONSIN ADMINISTRATIVE CODE FOR CHAPTER DOC 306.

TO INFORM DESIGNATED DOC STAFF IN CENTRAL OFFICE OF SERIOUS INCIDENTS, EVENTS OF SPECIAL INTEREST, MEDIA CONTACTS, CONTACTS WITH OUTSIDE AGENCIES SUCH AS LAW ENFORCEMENT, AND LEGISLATIVE INQUIRIES. DEPARTMENT AND DIVISION ADMINISTRATIVE PERSONNEL SHALL BE EXPEDITIOUSLY INFORMED OF ALL MATTERS OF SIGNIFICANT INTEREST THAT OCCUR IN ADULT INSTITUTIONS OR FACILITIES.

THIS RECORDS SERIES INCLUDES ALL FACILITIES AND FIELD OFFICES STATEWIDE WITHIN THE DEPARTMENT OF CORRECTIONS. THE RETENTION PERIOD WAS EXTENDED FROM SEVEN YEARS TO A TEN YEAR TIME FRAME TO ACCOMMODATE POSSIBLE LITIGATION.

RETENTION: EVENT (THE CONCLUSION OF INVESTIGATION, LITIGATION, DUE PROCESS OR ANY OTHER COURT RELATED ACTIVITY.) + 11 YEARS AND DESTROY CONFIDENTIAL

00072000.	<u>ADULT INSTITUTION CASE FILES</u>	<u>EVT+7</u>	<u>SHSW</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF FILES FOR EACH OFFENDER PLACED IN AN ADULT CORRECTIONAL FACILITY UNDER THE AUTHORITY OF THE DEPARTMENT OF CORRECTIONS. THE CONTENT CONSISTING OF SOCIAL SERVICE, LEGAL, VISITOR, AND EDUCATION FILES. A CASE FILE IS CREATED FOR EACH NEW ADMISSION TO AN ADULT CORRECTIONAL FACILITY UNLESS A PREV

SOCIAL SERVICE FILE: THE SOCIAL SERVICE FILE HAS A DEFINED FILING ORDER WHICH INCLUDES THE LEFT INNER FILE FOLDER AND THE RIGHT INNER FILE FOLDER.

THE LEFT SIDE OF THE SOCIAL SERVICE FILE CONTAINS RECORDS RELATED TO THE COMMITMENT & ADMISSION PROCESS, THE ASSESSMENT & EVALUATION PROCESS, PAROLE AND RELEASE

THE RIGHT SIDE OF THE SOCIAL SERVICE FILE CONSISTS OF SIX SEPARATE "SECTIONS" AND THE CONFIDENTIAL ENVELOPE.

THE 6 SECTIONS* ARE:

- SECTION 1 - CHRONOLOGICAL RECORDINGS
- SECTION 2 - INMATE VISITING INFORMATION
- SECTION 3 - CORRESPONDENCE
- SECTION 4 - MISCELLANEOUS
- SECTION 5 - ADULT CONDUCT REPORTS
- SECTION 6 - SENTENCING TRANSCRIPTS

*THESE SECTIONS ARE CONFIDENTIAL ENVELOPE MAY NOT CONTAIN DOCUMENTS DUE TO NON-EXISTENCE OF DOCUMENTS.

LEGAL FILE: THE LEGAL FILE CONTAINS VARIOUS RECORDS THAT CONSIST OF LEGAL DOCUMENTS NECESSARY FOR THE DEPARTMENT OF CORRECTIONS TO INCARCERATE AN INMATE.

THE LEFT SIDE OF THE FILE CONTAINS THE FOLLOWING:

JUDGEMENT OF CONVICTIONS, COURT ORDERS, REVOCATION ORDER AND WARRANTS, SENTENCE COMPUTATIONS, NOTICE OF SENTENCE DATA, OFFENDER CONDUCT RECORD, LEGAL CORRESPOND

THE RIGHT SIDE OF THE LEGAL FILE CONTAINS THE FOLLOWING:

FINGERPRINTS, DETAINER AND NOTIFICATION INFORMATION, ORDERS TO PRODUCE, RELEASE AND DISCHARGE DOCUMENTS.

VISITOR INFORMATION FILE: THE VISITOR INFORMATION FILE CONTAINS VARIOUS DOCUMENTS RELATED TO THE PROCESS OF APPROVING OR DENYING POTENTIAL INMATE VISITORS.

EDUCATION FILE: THIS FILE CONTAINS TESTING AND EVALUATION RECORDS FOR INMATES WHICH MAY INCLUDE TEST OF ADULT BASIC EDUCATION (TABE) TEST SCORES, STUDENT PROGRE EVALUATION RECORDS.

NOTE: THIS FILE DOES NOT INCLUE THE SPECIAL EDUCATION FILE.

FORMS INCLUDED IN THESE SECTIONS INCLUDE BUT ARE NOT LIMITED TO:

A DETAILED LIST OF THESE FORMS THAT MAY BE INCLUDED IN THESE FILES IS LISTED ON ADDENDUM A* (SOCIAL SERVICE, LEGAL FILE, AND VISITOR INFORMATION FILE).

* FOR CURRENT LISTING, PLEASE CHECK RECORDS OFFICE PROCEDURE (ROP) E-14 - INSTITUTION CASE FILE FORMAT, CONTENT, AND DOCUMENTATION.

CONFIDENTIAL:

FEDERAL LAWS: SEE HARD COPY

STATE STATUTES: SEE HARD COPY

ADMINISTRATIVE RULES: SEE HARD COPY

RETENTION: EVENT + 7 YEARS AND TRANSFER TO HISTORICAL SOCIETY(10% RANDOM SAMPLE) AND THE REST DESTROY CONFIDENTIAL.

EVENT IS TERMINATION DATE. TERMINATION IS DEFINED AS THE DATE THAT THE OFFENDER IS TERMINATED, DIRECT DISCHARGE FROM INSTITUTION, COURT ORDERED DISCHARGE, OR DE

00073000.	<u>DIVISION OF COMMUNITY CORRECTIONS (DCC) NON SEX OFFENDER CASE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: This record series consists of records for each non sex offender placed under the supervision of the Division of Community Corrections. The content of each case file may include but is not limited to the below sections.

PURPOSE: The purpose of this record is to document activity and actions regarding a non sex offender under supervision with the Division of Community Corrections.

The forms include but are not limited to forms listed on Electronic Case Records Manual (ECRM) Case File Setup.

Section 1: Case Activity Record: records related to offender's social history including face sheet, probation social investigation, rules of community supervision, intake/discharge records, prior record listing, unified case plan, and conditions/supervised release rules.

Section 2: Court Documents: court records related to probation, parole, extended supervision, intensive supervision, judgment of conviction, supervised release, and early discharge.

Section 3: Violation Investigation Documents: documents related to violations, warrants, apprehension requests, situation alerts, and absconder locator information.

Section 4: Confidential Documents and Release of Information: records related to health information, victim information, treatment information, and referral for services.

Section 5: Miscellaneous Supervision Forms: supervision documents including travel permit, Interstate Compact documents, electronic monitoring enrollment, home visit waiver, and employment services programs.

Section 6: Miscellaneous Correspondence: correspondence sent to or received from the offender.

Section 7: Institution Documents: documents related to an offender's previous incarceration in a DOC facility including parole planning information, release plan information, sentence information, visitor lists, and financial documentation.

Section 8: Revocation Documents: documents related to an offender's revocation from supervision including hearing notices, revocation order and warrant, subpoenas, and revocation summary reports.

Section 9: Offender Report Forms: DOC-8 (Offender Report) form for each office visit. Information gathered on the form includes current address, current employment, police contact, and education status. (This section of the DCC Offender Case File is retained in accordance with RDA 73A)

Section 10: Offender Financial Information: documents related to an offender's payments for supervision fees, court ordered obligations, Wage assignments, and payment ledgers.

CONFIDENTIAL:

Federal Laws:

- 42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
- 45 C.F.R. Part 160 Privacy of Health Information
- 45 C.F.R. Part 164 Protected Health Care Records

State Statutes:

- Wis. Stat. § 19.35(1)(am) Safety and Security
- Wis. Stat. § 19.36(8) Confidential Informant
- Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
- Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
- Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions
- Wis. Stat. § 118.125 Pupil Records
- Wis. Stat. § 146.82 Health Care Records
- Wis. Stat. § 146.83 Access to Patient Health Care Records
- Wis. Stat. § 165.79 DNA Analysis and Data Bank
- Wis. Stat. § 252 HIV Test Results
- Wis. Stat. § 905.03 Lawyer-Client Privilege
- Wis. Stat. § 905.09 Informant
- Wis. Stat. § 905.10 Identity of Informer
- Wis. Stat. § 938.78 Juvenile Records
- Wis. Stat. § 950.04(1v) Rights of Victims
- Wis. Stat. § 972.15 Pre-Sentence Investigation

Administrative Rules:

- Wis. Admin Code Ch. 309.39(7) Inmate Phone Calls
- Wis. Admin Code Ch. 332.17(7)(a-d) Lie Detector Disclosure of Test Information
- Wis. Admin Code PAC Ch. 1.08(4)(1) Release Due to Extraordinary Health Condition or Age

See Confidentiality of Records section above and application of the balancing Test

EVENT = termination date. Termination date is defined as the date that the offender is terminated from supervision, court ordered discharge, or death

00073A00.	<u>DIVISION OF COMMUNITY CORRECTIONS (DCC) NON SEX OFFENDER REPO</u>	<u>EVT+0</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: This record series consists of report forms for each non sex offender placed under the supervision of the Division of Community Corrections. The report form (DOC-8) form is completed by the offender at each office visit and is retained in the DCC Offender Case File.

PURPOSE: The purpose of this record is to document changes to address, employment, education status, police contact, vehicle change, income change, and payment submission.

REASON for NEW RDA: This form is utilized during supervision of offender, and information from this form is then entered into DOC electronic systems. This form was previously included in a "purge" list as part of RDA 73. During agency review it was determined that a separate RDA would provide clarification on the handling of this form.

The DOC-8 Report Form is completed and signed by offenders during each office visit. The information on the form is then entered into DOC electronic systems for long-term retention. The form is used as a means to gather this information for data entry.

This RDA authorizes destruction of these report forms when the offender is terminated from supervision as the offender can no longer be disciplined or revoked based on the signature on the form.

NOTE: Retention is Event+ 0 Years and Destroy Confidential. This does not mean this record can be destroyed the next day. This record is retained throughout the offender's supervision. For example, if an offender is court ordered to a two-year term of probation, this form(s) is/are retained during the entire time of supervision and then destroyed only when the offender is terminated (discharged) from supervision.

CONFIDENTIAL:

Federal Laws:

- 42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
- 45 C.F.R. Part 160 Privacy of Health Information
- 45 C.F.R. Part 164 Protected Health Care Records

State Statutes:

- Wis. Stat. §19.35(1)(am) Safety and Security
- Wis. Stat. §19.36(8) Confidential Informant
- Wis. Stat. § 51.30 Mental Health, Developmental Disabilities, and AODA Information
- Wis. Stat. § 51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
- Wis. Stat. § 71.78(1)(5)(6) Revenue Confidentiality Provisions

Wis. Stat. § 118.125 Pupil Records
 Wis. Stat. § 146.82 Health Care Records
 Wis. Stat. § 146.83 Access to Patient Health Care Records
 Wis. Stat. § 165.79 DNA Analysis and Data Bank
 Wis. Stat. § 252 HIV Test Results
 Wis. Stat. § 905.03 Lawyer-Client Privilege
 Wis. Stat. § 905.09 Informant
 Wis. Stat. § 905.10 Identity of Informer
 Wis. Stat. § 938.78 Juvenile Records
 Wis. Stat. § 950.04(1v) Rights of Victims
 Wis. Stat. § 972.15 Pre-Sentence Investigation

Administrative Rules:

Wis. Admin Code Ch. 309.39(7) Inmate Phone Calls
 Wis. Admin Code Ch. 332.17(7)(a-d) Lie Detector Disclosure of Test Information
 Wis. Admin Code PAC Ch. 1.08(4)(!) Release Due to Extraordinary Health Condition or Age

See Confidentiality of Records section above and application of the balancing test.

EVENT = termination date. Termination date is defined as the date that the offender is terminated from supervision, court ordered discharge, or death.

<u>00080000.</u>	<u>SECURITY SHIFT REPORTS</u>	<u>CR+11</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF DOCUMENTS RELATED TO REPORTING OF ACTIVITIES DURING SHIFTS IN WISCONSIN PRISON SYSTEM FACILITIES.

INFORMATION RECORDED IN THESE DOCUMENTS MAY INCLUDE SHIFT ACTIVITY SUCH AS DOC STAFF WORKING DURING A SPECIFIC DATE AND SHIFT, ANY ADDITIONAL STAFF ON THE UNIT, SUCH AS HSU OR MAINTENANCE PERSONNEL, THE INMATE NAME AND DOC NUMBER TO REPORT CELL MOVEMENT, INCLUDING MOVEMENTS FOR SCHOOL, WORK OR TREATMENT PROGRAMS, INCIDENTS INVOLVING DOC STAFF AND/OR INMATES. THESE DOCUMENTS ALSO RECORD DOC STAFF SICK OR VACATION FOR EACH UNIT, COUNT TIMES, CELL SEARCHES, NOTEWORTHY EVENTS SUCH AS ESCAPES, TLU PLACEMENTS, ETC.

RETENTION: EVENT (EVENT IS CREATION) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00081000.</u>	<u>AGREEMENT ON DETAINEES-CERTIFICATE AND FINAL DISPOSITION</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
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Wisconsin Statutes 976.05(1) provides for the expeditious and orderly disposition of charges and determinations and the proper status of any and all detainees based on untried indictments, information or complaints. The Department or Warden or other official having custody of the prisoner must promptly inform the prisoner of the source and content of the detainees and of the prisoner's right to make a request for final disposition.

The prisoner may request final disposition in Wisconsin Statutes 976.05(3) or the appropriate officer of the jurisdiction in which an untried indictment, information or complaint is pending, shall be entitled to have a prisoner against whom the officer had lodged a detainee and who is serving a term of imprisonment in any party state made available upon presentation of a request for temporary custody or availability to the appropriate authorities of the state in which the prisoner is incarcerated per Wisconsin Statute 976.05(4). In response to a request made under sub (3) or (4), the appropriate authority in the sending state shall offer to deliver temporary custody of the prisoner to the appropriate authority of the state where such an indictment, information or complaint is pending against such person in order that a speedy and efficient prosecution may be had.

<u>00082000.</u>	<u>FRATERNIZATION POLICY - EXCEPTIONS</u>	<u>EVT+8</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THE FRATERNIZATION POLICY OUTLINED IN EXECUTIVE DIRECTIVE 16 WAS DEVELOPED TO ADDRESS IN A CONSISTENT FASHION ANY CONFLICTS OF INTEREST THAT MAY ARISE BETWEEN EMPLOYEES AND THE OFFENDERS THEY SUPERVISE. RELATIONSHIPS BETWEEN DEPARTMENT EMPLOYEES AND PERSONS UNDER THE SUPERVISION OR CUSTODY OF THE DEPARTMENT MAY COMPROMISE THE ABILITY OF EMPLOYEES TO CARRY OUT THEIR DUTIES AND RESPONSIBILITIES. IN ADDITION, THE DEPARTMENT HAS THE RESPONSIBILITY TO PROTECT ITS CLIENTS, INMATES, AND RESIDENTS FROM IMPROPER ACTIONS ON THE PART OF THE CORRECTIONS EMPLOYEES. THE INTENT OF THE FRATERNIZATION POLICY IS TO FORBID RELATIONSHIPS THAT MAY CAUSE CONFLICTS OF INTEREST. THE POLICY OUTLINES A PROCEDURE FOR EMPLOYEES TO SEEK EXCEPTIONS.

PURPOSE: WHEN AN EMPLOYEE REPORTS A POTENTIAL CONFLICT OR VIOLATION OF THE POLICY, THE SUPERVISOR WILL FORWARD THE REQUEST ALONG WITH ANY RECOMMENDATIONS TO THE APPROPRIATE DIVISION ADMINISTRATOR FOR PRELIMINARY APPROVAL OR DENIAL. THE REQUEST IS THEN SENT TO THE SECRETARY'S OFFICE FOR A FINAL DECISION. EXCEPTIONS ARE GRANTED ONLY BY THE DEPARTMENT SECRETARY (OR DESIGNEE) AFTER REVIEW OF SPECIFIC CIRCUMSTANCES BY SUPERVISORS AND DIVISION ADMINISTRATORS.

THE FRATERNIZATION POLICY REQUIRES EMPLOYEES TO:

- INFORM SUPERVISORS OF ANY CURRENT RELATIONSHIP THAT MAY PRESENT POSSIBLE CONFLICTS OF INTEREST. BEFORE BEGINNING ANY RELATIONSHIP THAT MAY VIOLATE THE POLICY, AN EMPLOYEE MUST INFORM THE SUPERVISOR.

- REPORT UNANTICIPATED, NON-EMPLOYER-DIRECT CONTACT WITH INMATES, CLIENTS, OR RESIDENTS.
- ENSURE THAT ANY UNANTICIPATED CONTACTS ARE BRIEF AND BUSINESS LIKE.
- REQUEST EXCEPTIONS TO THE POLICY THROUGH THE SUPERVISOR.

SUPERVISORS MUST REPORT THE SPECIFICS OF ANY EMPLOYEE CONTACTS AND EXCEPTIONS REQUESTS TO THE APPROPRIATE DIVISION ADMINISTRATOR. THE SECRETARY (OR DESIGNEE) WILL REVIEW ALL REQUESTS AND EITHER GRANT OR DENY EXCEPTIONS. THE ONLY EXCEPTION TO THIS PROCEDURE IS THAT FINAL AUTHORITY TO APPROVE OR DENY REQUESTS UNDER S. 53.095, STATS, AND REMAINS WITH THE INSTITUTION WARDEN OR SUPERINTENDENT.

SUPERVISORS SHALL ENSURE THAT EACH EMPLOYEE HAS READ THE DEPARTMENT FRATERNIZATION POLICY AND THAT A SIGNED COPY OF THE ACKNOWLEDGEMENT OF DOC FRATERNIZATION POLICY (FORM DOC-1281) IS PLACED IN THE PERSONNEL FILE AND WILL BE MAINTAINED ACCORDING TO THE PERSONNEL GENERAL RECORDS SCHEDULE.

THESE RECORDS ARE TO BE MAINTAINED AT THE DIVISION LEVEL. ALL OTHER COPIES ARE DUPLICATES AND CAN BE DESTROYED WHEN NO LONGER NEEDED OR ACCORDING TO THE HUMAN RESOURCE GENERAL RECORDS SCHEDULE FOR OFFICIAL PERSONNEL FILE OR SUPERVISOR FILES.

FORMS INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING:
DOC-2270 FRATERNIZATION POLICY EXCEPTION REQUEST

CONFIDENTIAL:
WIS. STAT. 19.31 - 19.39 PUBLIC RECORDS
WIS. STAT. 19.35(1)(AM) SAFETY AND SECURITY
WIS. STAT. 19.36(8) CONFIDENTIAL INFORMANT
WIS. STAT. 48.78 CHILDREN'S CODE
WIS. STAT. 950.04(1V) RIGHTS OF VICTIMS
WIS. STAT. 938.78 JUVENILE RECORDS

SEE CONFIDENTIALITY OF RECORDS SECTION FOR FURTHER INFORMATION AND APPLICATION OF THE BALANCING TEST.

RETENTION: EVENT + 0 AND DESTROY CONFIDENTIAL
EVENT IS AFTER CLOSED. CLOSED IS EMPLOYEE LEAVES THE DEPARTMENT OF CORRECTIONS. IF EMPLOYEE TRANSFERS TO ANOTHER DIVISION, THE FRATERNIZATION EXCEPTION RECORDS SHOULD TRANSFER WITH EMPLOYEE IF APPLICABLE FOR THAT DIVISION.

<u>00083000.</u>	<u>LITIGATION FILES - ALL EXCEPT LEGAL COUNSEL FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: DOCUMENTS INCLUDED IN THIS RECORD SERIES MAY INCLUDE, BUT ARE NOT LIMITED TO, COMPLAINTS BY ANY INMATE/OFFENDER/EMPLOYEE AND DOCUMENTS (MEDICAL FILES, CONDUCT REPORTS, P-FILES, ETC.) RELATING TO EACH COMPLAINT SUBJECT AND/OR ANY STAFF LITIGATION CASE MATERIALS, STAFF LAWSUITS, GRIEVANCES, ARBITRATIONS, PERSONNEL COMMISSION HEARINGS, NOTICE OF CLAIM, WRIT OF HABEAS CORPUS, SUMMONS AND COMPLAINTS, PETITIONS AND SUBPOENAS, WRIT OF MANDAMUS, WRITS OF CERTIORARI, SECTION 1983 AND OTHER CIVIL ACTION LAWSUITS. THESE FILES MAY BE KEPT IN VARIOUS OFFICES THROUGHOUT THE DEPARTMENT AS THE CONTENT OF THE COMPLAINT CAN VARY FROM AN OFFENDER, INMATE OR STAFF PERSON. EXAMPLES OF THESE OFFICES ARE INMATE COMPLAINT EXAMINER, HUMAN RESOURCES, REGISTRAR, ETC.

PURPOSE: FILE MATERIAL INCLUDED IN THIS SERIES IS NEEDED TO DEFEND THE DEPARTMENT REGARDING THE SUBJECT OF THE CASE AND TO MAINTAIN A RECORD FOR REFERENCE OF THE DECISION OUTCOME. THESE FILES CONTAIN INFORMATION GATHERED TO SUPPORT OUR CASE IN THE MATTER.

NOTE: THE OFFICE OF LEGAL COUNSEL IS EXEMPTED AS THAT OFFICE HAS A SEPARATE RDA (RDA 9 REFERRAL AND MISCELLANEOUS LITIGATION) FOR RECORDS OF THIS NATURE.

FORMS INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING:
DOC-2316 PRISONER LITIGATION COUNTY INVOICE
DOC-0029 NOTICE OF CLAIM
DOC-0424 CLAIM FOR WITNESS FEES

RETENTION JUSTIFICATION: THE DOC LITIGATION FILES - ALL EXCEPT LEGAL COUNSEL RECORDS ARE NEEDED SEVEN (7) YEARS TO ALIGN WITH OTHER INMATE AND LEGAL RECORDS RELATED TO THIS TYPE. OUR BUSINESS AND LEGAL VALUE OF THE RECORD SERIES PROVIDES FOR A LONGER RETENTION OF THIS RECORD SERIES.

CONFIDENTIAL:
FEDERAL LAWS:
42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
45 C.F.R. PART 164 PROTECTED HEALTH CARE RECORDS

STATE STATUTES: SEE HARD COPY

ADMINISTRATIVE RULES:
WIS. ADMIN CODE CH. 309.39(7) INMATE TELEPHONE CALLS

WIS. ADMIN CODE CH. 332.17(7) (A-D) LIE DETECTOR DISCLOSURE OF TEST INFORMATION

RETENTION: EVENT + 7 YEARS AND DESTROY CONFIDENTIAL
EVENT IS THE DATE LITIGATION IS CLOSED

<u>00084000.</u>	<u>MENUS - INSTITUTION, FACILITIES, AND SCHOOLS</u>	<u>FIS+4</u>	<u>DEST</u>	<u>N</u>
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CONTENT: THIS RECORD SERIES CONTAINS MENUS FOR MEALS SERVED IN THE DEPARTMENT OF CORRECTIONS' INSTITUTIONS, FACILITIES, AND SCHOOLS. THESE MENUS ARE REVIEWED FOR NUTRITIONAL ADEQUACY BY A DIETITIAN.

PURPOSE: THIS RECORD SERIES DOCUMENTS MENUS THAT ENSURE THE DOC PROVIDES MEALS IN ACCORDANCE WITH GUIDELINES AND THE ADMINISTRATION FEDERAL CHILD NUTRITION PROGRAMS OFFERED IN WISCONSIN SCHOOLS AND CHILDREN INSTITUTIONS.

IN ADDITION TO MENU'S THAT ARE PRODUCED BY THE DIETITIAN IN CENTRAL OFFICE, THESE MAY INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING DOC FORMS:

DOC - 2486 MENU DEVIATION REPORT
DOC-2493 COMPUTRITION RECIPE AUDIT

RETENTION: EVENT IS FISCAL + 4 YEARS AND DESTROY. EVENT IS CREATION.

<u>00085000.</u>	<u>FOOD MANAGEMENT CORRESPONDENCE FILE</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES INCLUDES CORRESPONDENCE BETWEEN THE FOOD MANAGEMENT SECTION AND OTHER DOC DIVISIONS, INSTITUTIONS, FACILITIES, AND SCHOOLS, ETC. RELATIVE TO FOOD MANAGEMENT OR OTHER EXTERNAL COMMUNICATION.

PURPOSE: TO MAINTAIN DOCUMENTATION OF CORRESPONDENCE REGARDING FOOD MANAGEMENT.

FORMS: NONE

CONFIDENTIAL: (SOME OF THESE RECORDS MAY CONTAIN CONFIDENTIAL INFORMATION)

FEDERAL LAWS:

42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
45 C.F.R. PART160 PRIVACY OF HEALTH INFORMATION
45 C.F.R. PART 164 PROTECTED HEALTH CARE RECORDS
42 U.S.C CHAPTER 13 SCHOOL LUNCH PROGRAMS

STATE STATUTES:

WIS. STAT. 19.35(1) (AM) SAFETY AND SECURITY
WIS. STAT. 51.30 MENTAL HEALTH, DEVELOPMENTAL DISABILITIES, AND AODA.

INFORMATION

WIS. STAT. 51.47 ALCOHOL AND OTHER DRUG ABUSE (AODA) TREATMENT RECORDS
WIS. STAT. 71.78(1)(5)(6) REVENUE CONFIDENTIALITY PROVISIONS
WIS. STAT. 146.82 HEALTH CARE RECORDS
WIS. STAT. 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
WIS. STAT. 905.03 LAWYER-CLIENT PRIVILEGE
WIS. STAT. 938.78 JUVENILE RECORDS

RETENTION: EVENT + 3 YEARS AND DESTROY CONFIDENTIAL
EVENT IS CREATION

<u>00087000.</u>	<u>PROPRIETARY & GOVERNMENTAL FUNDS-FINANCIAL STATEMENTS & WOR</u>	<u>FIS+10</u>	<u>DEST</u>	<u>N</u>
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Purpose: Substantiation Of Proprietary And Governmental Funds.

This Records Series Consists Of Financial Statements & Supporting Documentation Substantiating Proprietary And Governmental Funds.

Records Series May Include But Is Not Limited To:

Financial Statements
Workpapers
Adjusting Entries
Total Balances
Audit Finding Sheet
Leases
Interim Audit Memos
Letter Of Representation
General Information
Fms301000, Fms30110, Fms30150, Fms30900
Interim Period Transaction

Fixed Assets

Retain: 10 Fiscal Years And Destroy.

<u>00098000.</u>	<u>WHISTLEBLOWER / COMPLAINT FILES</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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This Record Series Pertains To Department Of Corrections (Doc) Employee Complaint Case Files. These Are Cases Where An Employee Has Disclosed Information Which He/She Believes Is 1) A Violation Of Any State/Federal Law, Rule Or Regulation; 2) Mismanagement Or Abuse Of Authority In State Or Local Government; 3) A Substantial Waste Of Public Funds; Or 4) A Danger To Public Health And Safety. These Records May Contain But Are Not Limited To The Following:

- Department Of Corrections Form Doc-1324 Or Its Equivalent
- Letters, Memos, Correspondence Relating To The Complaint
- Investigators Contacts, Interviews And Reports

Evt=Closed.

2/21/00 Approved By PRB.

<u>00102000.</u>	<u>TEMPORARY RELEASE ORDER</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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WISCONSIN STATUTE 304.115 AND WISCONSIN ADMINISTRATIVE CODE 325.08 ALLOW THE DEPARTMENT TO AUTHORIZE THE TEMPORARY RELEASE OF INMATES BASED ON A NUMBER OF CRITERIA. REQUIREMENTS TO THE RELEASE ARE OUTLINED IN ADMINISTRATIVE CODE 325.09 AND INCLUDE THE FOLLOWING:

- INMATE NAME AND DOC NUMBER
- NAME OF STAFF PERSON ACCOMPANYING THE INMATE
- DATE AND TIME OF DEPARTURE AND RETURN TO THE INSTITUTION
- CRITERIA UNDER 325.08 UPON WHICH THE RELEASE WAS ORDERED AND THE UNDERLYING FACTS UPON WHICH THE ORDER WAS MADE
- CONDITIONS IMPOSED UNDER DOC 325.07
- SECURITY PRECAUTIONS AND SECURITY CLASSIFICATIONS

THE TEMPORARY RELEASE ORDER, DOC-45 AND WICS FORM IPTT016, OR ITS EQUIVALENT, IS COMPLETED EACH TIME AN INMATE IS TEMPORARILY RELEASED FROM AN INSTITUTION OR CENTER. THESE FORMS DOCUMENT INMATE MOVEMENT UNDER SPECIFIED CONDITIONS.

THERE ARE TRANSITORY DOCUMENT FROM WICS UTILIZED BY TRANSPORTATION STAFF AS DOCUMENTATION OF INMATE'S TEMPORARY RELEASE FROM AN INSTITUTION OR FACILITY CONTAIN SAME INFORMATION AS ABOVE.

NOTE: THE OFFICIAL COPY OF THE TEMPORARY RELEASE ORDER IS MAINTAINED IN THE INSTITUTION/CENTER SECURITY OFFICE. IN THE EVENT ANOTHER OFFICE GENERATES A TRO, THEY MAY RETAIN A COPY FOR THEIR CONVENIENCE UPON RETURN OF THE OFFENDER/INMATE. THE RECORDS OFFICE MAY ALSO RETAIN A COPY IN THE LEGAL FILES FOR CERTAIN CIRCUMSTANCES. ALL COPIES WILL BE KEPT FOR FOUR YEARS AND DESTROYED. ANY OTHER COPIES ARE CONVENIENCE COPIES AND CAN BE DESTROYED WHEN THEY ARE NO LONGER NEEDED.

WITH IMPLEMENTATION OF WICS (WISCONSIN INTEGRATED CORRECTIONS SYSTEM) IN THE SUMMER OF 2008, MOST OF THESE FORMS ARE NOW ELECTRONIC.

RETENTION: EVENT (DATE INMATE RETURNED TO INSTITUTION OR FACILITY) + 4 YEARS AND DESTROY CONFIDENTIAL

<u>00103000.</u>	<u>LEGAL AND WRIT CASE FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: This record series consists of complaints and/or writs which are basically lawsuits initiated by inmates who are requesting judicial review of the parole decision by the Parole Commission. These may include the Writ or complaint; transcription of parole review hearing; correspondence from the inmate and Attorney General's office; and copies from the inmate's social file (pre-sentence investigation, psychiatric evaluation, treatment progress notes, diagnostic summaries) and other documents declared confidential.

PURPOSE: The purpose of this record is to allow an inmate a judicial review of a Parole Commission decision.

Wisconsin Statutes outline provisions to inmates for a judicial review of issues. This is further defined in Wis. Stats. § 801.02, Commencement of Action (1) which states, "A civil action in which a personal judgment is sought is commenced as to any defendant when a summons and a complaint naming the person as defendant are filed with the court...". The statutes further delineate the types of actions in Wis. Stats. § 801.02(5) which states, "An action seeking a remedy available by certiorari, quo warranto, habeas corpus, mandamus or prohibition may be commenced under sub (1), by service of an appropriate original writ on the defendant named in the writ if a copy of the writ is filed forthwith, or by filing a complaint demanding and specifying the remedy..".

The forms include but are not limited to: None

CONFIDENTIAL:

Federal Laws:
 42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records
 45 C.F.R. Part 160 Privacy of Health Information
 45 C.F.R. Part 164 Protected Health Care Records
 State Statutes:
 Wis. Stat. §19.35(1)(am) Safety and Security Wis. Stat. §19.36(8) Confidential Informant
 Wis. Stat. §51.30 Mental Health, Developmental Disabilities, and AODA Information
 Wis. Stat. §51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
 Wis. Stat. §71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. §118.125 Pupil Records
 Wis. Stat. §146.82 Health Care Records
 Wis. Stat. §146.83 Access to Patient Health Care Records Wis. Stat. §165.79 DNA Analysis and Data Bank
 Wis. Stat. §252 HIV Test Results
 Wis. Stat. §905.03 Lawyer-Client Privilege Wis. Stat. §905.09 Informant
 Wis. Stat. §905.10 Identity of Informer Wis. Stat. §938.78 Juvenile Records Wis. Stat. §950.04(1v) Rights of Victims
 Wis. Stat. §972.15 Pre-Sentence Investigation

Administrative Rules:
 Wis. Admin Code Ch. 309.39(7) Inmate Phone Calls
 Wis. Admin Code Ch. 332.17(7)(a-d) Lie Detector Disclosure of Test Information
 Wis. Admin Code PAC Ch. 1.08(4)(f) Release Due to Extraordinary Health Condition or Age

See Confidentiality of Records section below and application of the balancing test

EVENT = Date decision rendered, appeal decision rendered, denied, or withdrawn.

<u>00104000.</u>	<u>INMATE PHONE CALLS-ELECTRONIC RECORDING-NO INCIDENT</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF ELECTRONICALLY RECORDED TELEPHONE CONVERSATIONS INITIATED BY INMATES CONFINED IN WISCONSIN STATE CORRECTIONAL FACILITIES. INFORMATION IS INDEXED WHICH MAY INCLUDE INMATE PIN (PERSONAL IDENTIFICATION NUMBER), DATE OF CALL, TIME, AND TELEPHONE NUMBER OF THE CALL, DURATION OF THE CALL AND TELEPHONE CONVERSATION.

PORTIONS OF THIS RECORD SERIES MAY BE CONFIDENTIAL UNDER WISCONSIN STATE STATUTES 905.03 AND 19.35(1), AND DISCLOSURE IS RESTRICTED IN ACCORDANCE WITH WISCONSIN ADMINISTRATIVE CODE-DOC 309.39(7).

RETENTION: EVENT (DATE OF CALL)+ 5 YEARS AND DESTROY(DESTRUCTION MAY BE ACCOMPLISHED BY RECORDING OVER EXISTING/SUPERSEDING DATA)

<u>00104A00.</u>	<u>INMATE PHONE CALLS-ELECTRONIC RECORDING-INCIDENT</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF ELECTRONICALLY RECORDED TELEPHONE CONVERSATIONS SELECTED INMATES CONFINED IN WISCONSIN STATE CORRECTIONAL FACILITIES.

THIS RECORDS SERIES CONSIST OF INCIDENTS CAPTURED AND DOWNLOADED ONTO ELECTRONIC MEDIA. THIS MEDIA PROVIDES DOCUMENTATION RECORDED PHONE CALLS. RECORDINGS WITH INCIDENTS ARE REVIEWED FOR PURPOSES RELATED TO, BUT LIMITED TO, DISCIPLINE, PLACEMENT OR TRANSFER, AND EVIDENCE IN ADMINISTRATIVE AND JUDICIAL PROCEEDINGS.

PORTIONS OF THIS RECORD SERIES MAY BE CONFIDENTIAL UNDER WISCONSIN STATE STATUTES 905.03 AND 19.35, AND DISCLOSURE IS RESTRICTED IN ACCORDANCE WITH WISCONSIN ADMINISTRATIVE CODE-DOC 309.39(7).

RETENTION: EVENT (ALL RELATED PROCEEDINGS, INVESTIGATIONS,DISCIPLINARY AND PLACEMENT/TRANSFER DECISIONS HAVE CLOSED AND OTHER COURT RELATED ACTIVITY.) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00104B00.</u>	<u>INMATE PHONE CALLS-ELECTRONIC RECORDING-INADVERTENT RECORDING</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF ELECTRONICALLY RECORDED TELEPHONE CONVERSATIONS BETWEEN INMATES AND THEIR ATTORNEYS WHICH HAVE INADVERTENTLY BEEN RECORDED. INMATE PHONE CALLS ARE TYPICALLY RECORDED. SEE SCHEDULES 104 AND 104A. HOWEVER, THE DOC RECOGNIZES THAT CALLS BETWEEN AN INMATE AND HIS ATTORNEY ARE PRIVELEGED AND NOT SUBJECT TO RECORDING. INMATES ARE REQUIRED TO FOLLOW A PROCEDURE TO ENSURE THAT ATTORNEY CALLS ARE NOT RECORDED. UNDER RARE CIRCUMSTANCES, A CALL MIGHT BE INADVERTENTLY RECORDED.

IN THE EVENT THAT AN INADVERTENT RECORDING IS MADE, THIS RDA PROVIDES THE MEANS TO DELETE THE RECORDING AS SOON AS DISCOVERY OF THE RECORDING.

THE RECORDINGS ARE CONFIDENTIAL UNDER WISCONSIN STATE STATUTES 905.03 AND 19.35(1). AND DISCLOSURE IS RESTRICTED IN ACCORDANCE WITH WISCONSIN ADMINISTRATIVE CODE-DOC 309.39(7).

EVENT = DISCOVERY OF RECORDING

00110000.	<u>JUVENILE FIELD CASE FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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THE COMMUNITY CORRECTIONS (FIELD) OFFICE CREATES AND MAINTAINS THE YOUTH'S STANDARDIZED CASE FILE. THE FILE IS MAINTAINED IN CHRONOLOGICAL ORDER WITHIN 6 SECTIONS PER THE FILE FORMAT GUIDELINES IN THE CASE MANAGEMENT MANUAL. THESE RECORDS CONTAIN, BUT ARE NOT LIMITED TO THE FOLLOWING:

SECTION 1 - FIELD REPORTS: VICTIM NOTIFICATION ALERT, PICTURE PAGE, FACE SHEET(S), APPREHENSION REQUEST, APPREHENSION CANCELLATION, CASE TRANSFER FORM, CHRONOLOGICAL LOGS, DISCHARGE/TERMINATION SUMMARY FROM ALTERNATE CARE FACILITY, REPORTS FROM ALTERNATE CARE FACILITIES, FAMILY & HOME ASSESSMENT (FHA), COMMUNITY SUPERVISION PLAN, DELINQUENCY FAMILY ASSESSMENT, AFTERCARE RISK ASSESSMENT, DELINQUENCY YOUTH ASSESSMENT, INDIVIDUAL CASE PLAN, PROGRESS SUMMARY, NOTICE OF RELEASE FROM SUPERVISION, COMMUNITY SUPERVISION RULES & CONDITIONS, RELEASE AUTHORIZATION, CONTACT STANDARDS AMENDMENT.

SECTION 2 - ORDERS: COURT DISPOSITIONAL ORDER, COURT ORDER FOR EXTENSION OF THE DISPOSITIONAL ORDER, DEPARTMENT ORDER (PART A), EXTENSION PETITION, EXTENSION REPORT.

SECTION 3 - DISCIPLINARY PROCEEDINGS: AFTERCARE REVOCATION NOTICE, REVOCATION HEARING REQUEST, VIOLATION INVESTIGATION REPORT, AFTERCARE ADMINISTRATIVE DETENTION, DETENTION NOTICE & APPEAL, AFTERCARE REVOCATION REPORT, DEPARTMENT REVOCATION ORDER, AWOL REPORT, TYPE 2 SANCTION/ADMINISTRATIVE DETENTION, TYPE 2 VIOLATION REPORT, TERMINATION OF TYPE 2 COMMUNITY SUPERVISION REPORT, SANCTION VIOLATION REPORT, HEALTH SCREENING, DEPARTMENT ORDER (PART B), STATEMENT, ORDER TO DETAIN, CANCELLATION OF ORDER TO DETAIN.

SECTION 4 - INSTITUTIONAL MATERIAL: SEX OFFENDER REGISTRATION FORM, INSTITUTION INVESTIGATION REPORT, INSTITUTION FACE SHEET, ASSESSMENT & EVALUATION REPORTS, CURRENT STATUS REPORT, DEPARTMENT ORDER CONTAINING YOUTH'S BROAD GOALS PER OJOR, PROGRESS SUMMARIES, INSTITUTION SCHOOL REPORTS, INDIVIDUAL CASE PLANS, LIFEWORK EDUCATION PORTFOLIO CHECKLIST

SECTION 5 - MISCELLANEOUS FORMS: TITLE IV-E FORMS (NOT USED AFTER OCTOBER 2006), SOCIAL SECURITY CARD OR COPY, INTERSTATE COMPACT FORMS (HOME EVALUATION REPORT, PROGRESS REPORT COVER SHEET, INTERSTATE COMPACT APPLICATION, PAROLE OR PROBATION INVESTIGATION REQUEST, REPORT OF SENDING STATE TO RECEIVING STATE, CONSENT FOR VOLUNTARY RETURN OF RUNWAY, ABSCONDER OR ESCAPEE, TRAVEL PERMIT), MISCELLANEOUS LETTERS, FOSTER CARE APPLICATION, DISBURSEMENT ORDERS, TELEPHONE INSTALLATION FORM, PURCHASE OF SERVICE FORM AND BILLS (COPIES), UA REPORTS, REQUEST FOR CERTIFIED COPY OF BIRTH CERTIFICATE, COPY OF BIRTH CERTIFICATE, YOUTH RESTITUTION & DEBT COLLECTION, MA CERTIFICATION, CONFIDENTIAL INFORMATION RELEASE, YOUTH REPORTS.

SECTION 6 - COUNTY MATERIALS: INFORMATION REGARDING JUVENILE AND FAMILY PRIOR TO COMMITMENT, COUNTY COURT REPORTS, SUBSTITUTE CARE STAFFING FORM, COURT ORDER WAIVING YOUTH INTO ADULT COURT, COMPUTER PRINTOUT-LOG OF YOUTH'S PREVIOUS DISPOSITIONS PRIOR TO COMMITMENT.

PURPOSE: THESE RECORDS ARE MAINTAINED PER WIS. STATS. AND ARE REQUIRED FOR DOCUMENTING OFFENDER ADJUSTMENT/PROGRESS THROUGH VARIOUS PROGRAMS INCLUDING SUPERVISION, TREATMENT AND EDUCATION, AND THE LEGAL ASPECTS AFFECTING THE DURATION OF SUPERVISION, NECESSARY FOR QUALITY ASSURANCE ACTIVITIES AND RESPONSE TO THE DEPARTMENT'S NEEDS. PER WISCONSIN STATUTES 938.34(4M), 938.357(4)(5)(E), 938.366 AND 938.505, THE DEPARTMENT HAS THE AUTHORITY AND DUTY TO PROTECT, TRAIN, DISCIPLINE, TREAT AND CONFINA A CHILD WHO IS PLACED IN A SECURED CORRECTIONAL FACILITY.

NOT ALL FORMS ARE INCLUDED IN EVERY YOUTH'S FILE.

NOTE: CLOSED IS WHEN THE "T" NUMBER IS ISSUED. ACTIVE AND INACTIVE FILES ARE ALPHABETICAL, CLOSED FILES ARE NUMERICAL BY "T" NUMBER.

EVENT = CLOSED/TERMINATED/DEATH + 7 YEARS AND DESTROY CONFIDENTIAL

00110A00.	<u>JUVENILE CASE FILES - ELECTRONIC</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENTS: THESE RECORDS CONTAIN, BUT ARE NOT LIMITED TO, THE FOLLOWING: DEPARTMENT ORDERS, FACE SHEETS, COMMUNITY SUPERVISION RULES & CONDITIONS, TERMINATION OF SUPERVISION REPORTS, VIOLATION REPORTS, DETENTION NOTICE AND APPEALS, REVOCATION HEARING REQUESTS, REVOCATION ORDERS, YOUTH RESTITUTION AND DEBT COLLECTIONS, DISPOSITIONAL ORDERS, PROGRESS SUMMARIES, ADMISSION ASSESSMENT - DIALOGUES (CONTAINS SPECIFIC QUESTIONS AND ANSWER CHOICES), RELEASE ASSESSMENT DIALOGUES (CONTAINS SPECIFIC QUESTIONS / ANSWERS), ACTION NEEDED REQUESTS, EXTENSION REPORTS, ASSESSMENT AND EVALUATION REPORTS, CHRONOLOGICAL LOGS, COMMUNITY SUPERVISION PLANS, EDUCATION EVALUATION REPORTS, FAMILY AND HOME ASSESSMENTS, INDIVIDUAL CASE PLANS, INTER-INSTITUTION TRANSFER SUMMARIES, REFERRAL REPORTS, AND RISK ASSESSMENTS. ALL ARE FORMS COMPLETED WITHIN THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS) DATABASE. PAPER COPIES OF SOME FORMS MAY BE PRINTED AND PLACED IN THE JUVENILE CASE FILES (SEE RDA-110)

PURPOSE: THESE RECORDS ARE MAINTAINED PER WIS. STATUTES AND ARE REQUIRED FOR DOCUMENTING OFFENDER ADJUSTMENTS / PROGRESS THROUGH VARIOUS PROGRAMS INCLUDING SUPERVISION, TREATMENT AND EDUCATION, AND THE LEGAL ASPECTS AFFECTING THE DURATION OF SUPERVISION, NECESSARY FOR QUALITY ASSURANCE ACTIVITIES AND RESPONSE TO THE DEPARTMENT'S NEEDS. PER WISCONSIN STATUTES 938.34(4M), 938.357(4)(5)(E),

938.366 AND 938.505, THE DEPARTMENT HAS THE AUTHORITY AND DUTY TO PROTECT, TRAIN, DISCIPLINE, TREAT AND CONFINE A CHILD WHO IS PLACED IN A SECURED CORRECTIONAL FACILITY.

NOTE: CLOSED IS WHEN THE "T" NUMBER IS ISSUED (FOR THE PAPER CASE FILE). JJIS IS NOT PROGRAMMED WITH THE ABILITY TO PURGE DATA.

RETENTION: EVENT (CLOSED / TERMINATED / DEATH) +5 YEARS AND DESTROY.

<u>00110B00.</u>	<u>JUVENILE INSTITUTION SOCIAL SERVICES CASE FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENTS: THE INSTITUTION'S INFORMATION PROCESSING CENTER (IPC) CREATES AND MAINTAINS THE YOUTH'S STANDARDIZED SOCIAL SERVICES FILE. THE FILE IS MAINTAINED IN CHRONOLOGICAL ORDER WITHIN 6 SECTIONS PER THE FILE FORMAT GUIDELINES IN THE CASE MANAGEMENT MANUAL. THESE RECORDS CONTAIN, BUT ARE NOT LIMITED TO THE FOLLOWING:

SECTION 1 - LEGAL PAPERS: VICTIM NOTIFICATION ALERT, PICTURE PAGE, YOUTH RESTITUTION AND DEBT COLLECTION FORM, FACE SHEET(S), DISPOSITIONAL ORDER, COURT PETITION, REQUEST FOR EXTENSION, DNA FORM, SEX OFFENDER REGISTRATION FORM.

SECTION 2 - REPORTS: CHRONOLOGICAL HISTORY SHEET, STATUS TABLE, INDIVIDUAL CASE PLAN (ICP), ASSESSMENT & EVALUATION REPORT (AER), ADMISSION DIALOGUE (IN JJIS), EDUCATION EVALUATION REPORT (EER), FAMILY & HOME ASSESSMENT (FHA), PROGRESS SUMMARY, AFTERCARE RISK ASSESSMENT, DELINQUENCY YOUTH ASSESSMENT, DELINQUENCY FAMILY ASSESSMENT, DEPARTMENT ORDERS, ACTION NEEDED REQUEST, AFTERCARE REVOCATION PACKETS, TERMINATION OF TYPE 2 COMMUNITY SUPERVISION PACKETS, ADMINISTRATIVE HEARING DECISIONS, RELEASE DIALOGUE (IN JJIS).

SECTION 3: CORRESPONDENCE: MEMOS AND LETTERS TO AND FROM THE INSTITUTION SUCH ASCORRESPONDENCE TO SHERIFFS, ORDER TO DETAIN, CORRESPONDENCE TO JUDGES, NOTICE OF RELEASE/TRANSFER TO COMMUNITY SUPERVISION, NOTICE OF DISCHARGE OF YOUTH FROM SECURED CORRECTIONAL FACILITY, INTER-INSTITUTION MEMOS BETWEEN STAFF, AWOL PROSECUTION LETTERS TO DISTRICT ATTORNEY.

SECTION 4 - PRE-INSTITUTION MATERIAL SUCH AS PRIOR PLACEMENT DISCHARGE SUMMARIES, POLICE REPORTS, OLD FIELD COURT REPORTS.

SECTION 5 - MISCELLANEOUS: COMMITMENTS TO INTERMEDIATE OR SHORT TERM PROGRAMS, APPREHENSION REQUESTS, CANCELLATION OF APPREHENSION REQUESTS, JUVENILE OFFGROUNDS REQUEST, FURLOUGH REQUEST, LIFEWORK EDUCATION PORTFOLIO CHECKLIST, TRIAL VISIT TO PARENTAL HOME AGREEMENT, COMMUNITY SUPERVISION RULES AND CONDITIONS, SPECIAL COMMUNITY SUPERVISION CONDITIONS, RECOMMENDATION FOR ADMINISTRATIVE ACTION (CASE TRANSFERS), INTERSTATE COMPACT APPLICATION & AGREEMENT, RECORD REQUESTS AND RESPONSES TO REQUESTS, JUVENILE RELEASE AUTHORIZATION, NOTICES OF HEARINGS, WRITS, TEMPORARY PHYSICAL CUSTODY, SUBPOENAS, ETC, REQUEST FOR CERTIFIED COPY OF BIRTH CERTIFICATE, COPY OF BIRTH CERTIFICATE, COPY OF APPLICATION FOR SOCIAL SECURITY CARD, COPY OF SOCIAL SECURITY CARD, ALL REFERRALS EXCEPT CLINICAL SERVICES.

SECTION 6 - DISCIPLINARY PAPERS: NOTICE OF DISCIPLINARY HEARING RIGHTS AND WAIVER, MAJOR DISCIPLINARY HEARING REASONS & EVIDENCE FORMS, NOTICE OF PLACEMENT IN PRE-HEARING SECURITY, CONDUCT REPORT-DJC,.

PURPOSE: THESE RECORDS ARE MAINTAINED PER WIS. STATS. AND ARE REQUIRED FOR DOCUMENTING OFFENDER ADJUSTMENT/PROGRESS THROUGH VARIOUS PROGRAMS INCLUDING SUPERVISION, TREATMENT AND EDUCATION, AND THE LEGAL ASPECTS AFFECTING THE DURATION OF SUPERVISION, NECESSARY FOR QUALITY ASSURANCE ACTIVITIES AND RESPONSE TO THE DEPARTMENT'S NEEDS. PER WISCONSIN STATUTES 938.34(4M), 938.357(4) (5)(E), 938.366 AND 938.505, THE DEPARTMENT HAS THE AUTHORITY AND DUTY TO PROTECT, TRAIN, DISCIPLINE, TREAT AND CONFINE A CHILD WHO IS PLACED IN A SECURED CORRECTIONAL FACILITY.

NOT ALL FORMS ARE INCLUDED IN EVERY YOUTH'S FILE.

NOTE: CLOSED IS WHEN THE "T" NUMBER IS ISSUED. ACTIVE AND INACTIVE FILES ARE ALPHABETICAL, CLOSED FILES ARE NUMERICAL BY "T" NUMBER.

EVENT = CLOSED/TERMINATED/DEATH

<u>00110C00.</u>	<u>OJOR CASE FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENTS: THESE RECORDS CONTAIN, BUT ARE NOT LIMITED TO, FACE SHEETS, DEPARTMENT ORDERS, CORRESPONDENCE, VICTIM/WITNESS NOTIFICATION, COURT DISPOSITIONAL ORDERS, NOTICE OF RELEASE/TRANSFER, JUVENILE RELEASE AUTHORIZATION, OJOR PROGRESS REVIEW REPORTS, TERMINATION OF TYPE 2 COMMUNITY SUPERVISION (INCLUDING SUPPORTING DOCUMENTATION SUCH AS COPIES OF POLICE REPORTS), TRANSFER NOTICES, SEXUAL PREDATOR NOTICES, INFORMATION TRANSMITTALS AND/OR REQUEST FOR ACTION.

PURPOSE: THE JOINT PLANNING & REVIEW COMMITTEE (JPRC) MEETS AFTER THE INSTITUTIONALIZED YOUTH HAS COMPLETED THE ASSESSMENT & EVALUATION PROCESS TO ESTABLISH THE YOUTH'S INITIAL BROAD GOALS AND TO DISCUSS IDEAS REGARDING THE YOUTH'S COMMUNITY SUPERVISION PLAN. AT SUBSEQUENT MEETINGS, THE JPRC REVIEWS THE YOUTH'S INDIVIDUAL CASE PLAN, PROGRESS SUMMARIES AND LIFEWORK EDUCATION PORTFOLIO CHECKLIST TO DETERMINE IF THE YOUTH'S GOALS NEED MODIFICATION. OJOR ISSUES THE FORMAL DEPARTMENT

ORDER VIA JJIS REGARDING THE DECISION ABOUT THE YOUTH. THESE RECORDS ARE MAINTAINED PER WIS. STATS. AND ARE REQUIRED FOR DOCUMENTING OFFENDER ADJUSTMENT/PROGRESS THROUGH VARIOUS PROGRAMS INCLUDING SUPERVISION, TREATMENT AND EDUCATION, AND THE LEGAL ASPECTS AFFECTING THE DURATION OF SUPERVISION, NECESSARY FOR QUALITY ASSURANCE ACTIVITIES AND RESPONSE TO THE DEPARTMENT'S NEEDS. PER WISCONSIN STATUTES 938.34(4M), 938.357(4) (5)(E), 938.366 AND 938.366 AND 938.505, THE DEPARTMENT HAS THE AUTHORITY AND DUTY TO PROTECT, TRAIN, DISCIPLINE, TREAT AND CONFINA A CHILD WHO IS PLACED IN A SECURED CORRECTIONAL FACILITY.

NOT ALL FORMS ARE INCLUDED IN EVERY YOUTH'S FILE.

NOTE: CLOSED IS WHEN THE "T" NUMBER IS ISSUED. ACTIVE FILES, INACTIVE FILES, AND CLOSED FILES ARE ALPHABETICAL.

EVENT = CLOSED/TERMINATED/DEATH

<u>00113000.</u>	<u>INMATE/OFFENDER PROPERTY RECORDS/FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES IS FOR USE WITH, BUT NOT LIMITED TO DOC-236, DOC-237, DOC-1080, DOC-1303, DOC-1416 OR EQUIVALENT.

THESE FILES CONTAIN A COMPLETE INVENTORY AND DISPOSITION OF AN OFFENDER'S PERSONAL PROPERTY WHILE HE/SHE IS INCARCERATED IN A WISCONSIN CORRECTIONAL FACILITY. THE PROPERTY INVENTORY FORM INCLUDES OFFENDER'S NAME, DOC #, DATE AND A PROPERTY CHECKLIST. THESE FORMS ARE USED BY THE ADMITTING INSTITUTION AND WHEN THE OFFENDERS ARE TRANSFERRED OR RELEASED. WHENEVER AN INMATE RECEIVES OR DISPOSES OR PROPERTY, HE/SHE RECEIVES A PROPERTY RECEIPT/DISPOSITION FORM WITH A DETAILED DESCRIPTION OF EACH ITEM. ALL FORMS ARE DATED AND SIGNED BY THE INMATE AND A STAFF MEMBER. FILES MAY ALSO CONTAIN COPIES OF CORRESPONDENCE RELATED TO PROPERTY ISSUES.

TO MAINTAIN AN ACCURATE ACCOUNTING FOR THE RECEIPT, DISPOSAL OR DESTRUCTION OF INMATE PROPERTY WHILE HE/SHE IS INCARCERATED IN THE WISCONSIN ADULT INSTITUTION SYSTEM. THESE FILES CAN BE USED BY UNIT OFFICERS TO DETERMINE PROPERTY OWNERSHIP WHEN AN INMATE IS PLACED IN TEMPORARY LOCK UP AND DURING RANDOM ROOM SEARCHES OF DOUBLE OCCUPANCY ROOMS/CELLS.

REFERE TO ADMINISTRATIVE CODE 309

RETENTION: EVENT(THE DATE OFFENDER IS RELEASED FROM AN INSTITUTION OR FACILITY) + 5 YEARS AND DESTROY CONFIDENTIAL

<u>00114000.</u>	<u>WORK TRAINING RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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RECORD SERIES CONSISTS OF REPORTS RELATING TO THE INMATE'S EMPLOYMENT AND TRAINING PROGRAMS IN THE BUREAU OF CORRECTIONAL INDUSTRIES. FILES MAY INCLUDE, BUT ARE NOT LIMITED TO: EMPLOYMENT APPLICATIONS, INTERVIEW REPORT, EMPLOYMENT PERFORMANCE EVALUATIONS, SIGNED RECEIPT OF WORK RULES AND DISCIPLINE POLICY, COPIES OF PAYROLL INFORMATION AND UPDATES, EMPLOYMENT TERMINATION/COMPLETION PAPERS, CLASSIFICATION SPECIALIST REPORT DETAILING WORK HISTORY, JOB DESCRIPTIONS.

RETENTION = EVT + 5 YEARS AND DESTROY
EVENT IS LAST DAY OF WORK OF RELEASE FROM DOC

<u>00115000.</u>	<u>INMATE ACCOUNT FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Contents: This Record Series Contains Information Pertaining To A Specific Inmate Trust Fund Account. The Files May Contain But Are Not Limited To The Following Information:

- Disbursement Requests (Doc-184 Or Its Equivalent)
- Trust Account Transactions
- Account Balances
- Canteen Purchases And Order Slips
- Court Orders Pertaining To Trust Account Transactions
- Misc. Inmate Correspondence
- Outside Saving Account Statements And Transaction Data
- Final Close Out Statements

These Files Are Maintained For Auditing Purposes, Account Transaction Verification And Problem Resolution. The Files Are Considered Closed When The Final Close Out Statement Is Issued.

Supersedes RDA 481.

Event=Final Close Out Statement Is Issued.

2/21/00 Approved By PRB.

<u>00118000.</u>	<u>INMATE COMPLAINT REVIEW SYSTEM - APPEAL CASE FILE</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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PURPOSE: The Inmate Complaint Review System (ICRS) Affords Inmates Of Adult Correctional Institutions The Opportunity To Raise

Significant Issues Regarding The Rules, Living Conditions, And Staff Actions Affecting Institution Environment. The ICRS Benefits The Department By The Following Objectives: To Provide The Department An Early Opportunity To Correct Errors Or Deficiencies In Correctional Policy And To Decide The Issue Prior To An Inmate Commencing A Legal Action Against The Department Its Employees Or Officers; To Encourage Communication Between Inmates And Staff; To Afford Both Inmates And Staff The Opportunity To Review Correctional Policy And Gain Insight Into And A Sense Of Involvement In And Respect For The Correctional Process; And To Allow Inmates To Raise Civil Rights Grievances.

Inmate Complaints Are Resolved Locally At Each Adult Correctional Institution And Directed To An Appropriate Reviewing Authority (I.E., Warden Or Bureau Director Of Health Services Or Correctional Enterprises).

CONTENT: The Appeal Case File Normally Includes, But Is Not Limited To, The Inmate Complaint (Doc-400), The Institution Complaint Examiner's Report (Doc-401), The Rejection Of Complaint (Doc-402), The Warden's Decision On Complaint (Doc-403), The Request For Corrections Complaint Examiner Review (Doc-405), The Acknowledgment Of Request For Review, The Report Of The Corrections Complaint Examiner, The Secretary's Decision On Inmate Complaint (Doc-408), And Relevant Documentary Evidence And Administrative Notes And Documentation.

Supersedes RDA 495.

RETENTION: RETAIN 11 YEARS AND DESTROY CONFIDENTIAL

00119000.	<u>INMATE COMPLAINT REVIEW SYSTEM - INSTITUTION COMPLAINT EXAMINE</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: The Ice Case File Normally Includes, But Is Not Limited To, The Inmate Complaint (Doc-400), The Institution Complaint Examiner's Report (Doc-401), The Rejection Of Complaint (Doc-402), The Warden's Decision On Complaint (Doc-403), And Relevant Documentary Evidence And Administrative Notes And Documentation.

Chapter DOC 310 Wis. Admin. Code establishes the purpose, applicability, organization and scope of the ICRS. Chapter 310 Wis. Admin. Code interprets ss. 301.02 and 301.03(2), Stats.

RETENTION: Retain 11 Years Due To The Need For Defense From Inmate Initiated Litigation Which May Be Commenced Up To 11 Years After The Action.

Cha Doc 310 Wis. Admin. Code Establishes The Purpose, Applicability, Organization And Scope Of The ICRS. Chapter 310 Wis. Admin. Code Interprets Ss. 301.02 And 301.03(2), Stats.

00121000.	<u>INMATE COMPLAINT REVIEW SYSTEM - INMATE COMPLAINT TRACKING SY</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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The Inmate Complaint Review System (ICRS) Affords Inmates Of Adult Correctional Institutions The Opportunity To Raise Significant Issues Regarding The Rules, Living Conditions, And Staff Actions Affecting Institution Environment. The ICRS Benefits The Department By The Following Objectives: To Provide The Department An Early Opportunity To Correct Errors Or Deficiencies In Correctional Policy And To Decide The Issue Prior To An Inmate Commencing A Legal Action Against The Department Its Employees Or Officers; To Encourage Communication Between Inmates And Staff; To Afford Both Inmates And Staff The Opportunity To Review Correctional Policy And Gain Insight Into And A Sense Of Involvement In And Respect For The Correctional Process; And To Allow Inmates To Raise Civil Rights Grievances.

Inmate Complaints Are Resolved Locally At Each Adult Correctional Institution And Directed To An Appropriate Reviewing Authority (I.E., Warden Or Bureau Director Of Health Services Or Correctional Enterprises). Inmates Dissatisfied With The Decision Of The Appropriate Reviewing Authority May Appeal To The Corrections Complaint Examiner (CCE).

The ICTS Is An Automated System (Still Under Development) That Will Replace The Paper Based Systems Used By The Institution Complaint Examiners (ICE) The CCE And The Office Of The Secretary In Processing And Disposing Of Inmate Complaints. It Consists Of Electronic Data And Text Information And Is Capable Of Generating Required Reports, Forms And Documents As Well As Maintaining Scanned Copies Of Documentary Evidence Required In The Decision Making Process.

Doc 310.18 Wis. Admin. Code Establishes The Three Year Retention Period For All Records Related To An Inmate Complaint And Current Case Files Are Maintained For 11 Years Due To The Need For Defense From Inmate Initiated Litigation Which May Be Commenced Up To 11 Years After The Action. Records Will Be Compressed And Archived After Three Years And Maintained For 11 Years To Comply With Ongoing Legal Need.

Cha Doc 310 Wis. Admin. Code Establishes The Purpose, Applicability, Organization, And Scope Of The ICRS. Chapter 310 Wis. Admin. Code Interprets Ss. 301.02 And 301.03(2), Stats.

00124000.	<u>VINEWATCH</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: Victim registration and notification history database records are stored off-site for the Wisconsin Department of Corrections (DOC) by Appriss, Inc. a company specializing in victim information services. Three computerized application have been developed by Appriss, Inc. for Wisconsin's Office of Victim Services and Programs (OVSP). All three applications use the victim registration data and are also supported by DOC offender data, which is extracted from DOC offender-based systems on a daily basis and transferred to Appriss, Inc. A description of the three applications is provided, below:

VINE - a phone-based service where victims, Victim/Witness Coordinators, and OVSP staff may receive current information on an offender's status and location. VINE also provides information to the general public regarding offenders required to register with the Sex Offender Registry. VINE stands for Victims Information and Notification Everyday.

VOICE - a customized web-based system where victims, victim/witness coordinators, OVSP staff, and others (e.g., DOJ, district attorneys, DOC Monitoring Center, Parole Commission, DOC Sex Offender Registry Program, and DOC Cashier's Unit) may receive current information on an offender's status and location. Victims also have access to their personal contact information and notification preferences. VOICE stands for Visual Offender Information Center.

VINEWatch - a web-based system for OVSP staff use. VINEWatch is the administrative application that replaced PENS (Parole Eligibility Notification System, noted in RDA #124A), a computer application hosted at DOC from 1989 through the rollout of VINEWatch in Phase 2 of the Victim Web site project in December 2003). VINEWatch allows OVSP staff to enter and store victim registration information and to generate notification letters regarding specific offender events, and to retain a history of victim notification letters.

PURPOSE - The victim web site and database allows victims to receive notification letters, or to inquire, either by phone or via the internet, about the current status of an offender under WI DOC supervision and to register for notification upon a change in status.

NOTE - Existing victim registration and notice history data was converted to this system from the PENS system, in addition to copying the data to tape for storage at the Department of Administration (DOA) DET Tap library.

Records will be deleted when a request is made by the victim to remove their information from the system, or if the OVSP verifies that the enrolled victim is deceased.

<u>00125000.</u>	<u>HIGH RISK PROFILE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD IS RELATED TO INMATES INCARCERATED IN THE WISCONSIN STATE PRISON SYSTEM WHO ARE CONSIDERED TO POSE A THREAT/RISK TO THE SAFETY AND SECURITY OF DOC STAFF, FACILITIES, OTHER INMATES AND THE PUBLIC.

FOR USE WITH, BUT NOT LIMITED TO DOC 2117-HIGH RISK PROFILE.

THIS RECORD CONTAINS HISTORY OF INMATE CONDUCT WHILE INCARCERATED, IN THE COMMUNITY, OTHER CORRECTIONAL FACILITIES (OTHER STATES/JAILS), AND PAST AND PRESENT OFFENSE HISTORY.

RETENTION: EVENT (THE DATE INMATE REACHES MAXIMUM DISCHARGE DATE) + 5 YEARS AND DESTROY CONFIDENTIAL

<u>00130000.</u>	<u>SOCIAL SECURITY RECORDS: INSTITUTION FACESHEETS-ELIGIBLE</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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CONTENTS: Includes, but may not be limited to, institutional facesheets (DOC-1701) or its equivalent(s). Information on the facesheets and list includes, but may not be limited to, the following information: name, social security number, juvenile number and date of birth. DJC institutions send one copy of the facesheet to the DJC Special Benefits Coordinator.

PURPOSE: The facesheets are used to assist in the process of applying for social security benefits received by juvenile offenders. These benefits are used by DJC as partial payment to pay for the juvenile's cost of care. A list is developed from the facesheets and sent to the Social Security Administration (SSA). The SSA returns the list indicating which juveniles receive social security. DJC then applies for the social security benefits using an SSA-11-BK application form; a copy of this application is not kept.

NOTE: Closed is defined as released from custody.

<u>00130A00.</u>	<u>SOCIAL SECURITY RECORDS: INSTITUTION FACESHEETS-INELIGIBLE</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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CONTENTS: Includes, but may not be limited to, institutional facesheets (DOC-1701) or its equivalent(s). Information on the facesheets and list includes, but may not be limited to, the following information: name, social security number, juvenile number and date of birth. DJC institutions send one copy of the facesheet to the DJC Special Benefits Coordinator, which is retained by DJC.

PURPOSE: The facesheets are used to assist in the process of applying for social security benefits received by juvenile offenders. These benefits are used by DJC as partial payment to apply against the juvenile's cost of care. A list is developed from the facesheets and sent to the Social Security Administration (SSA). The SSA is asked to advise whether any of the juveniles listed are receiving social security benefits.

NOTE: Closed is defined as an application filed with SSA for juveniles eligible for social security benefits.

<u>00133000.</u>	<u>COMMUNITY CORRECTIONS EMPLOYMENT PROGRAM (CCEP) PAYROLL</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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COMMUNITY CORRECTIONS EMPLOYMENT PROGRAM (CCEP) PAYROLL, IS A STATE PROGRAM WHICH PROVIDES UP TO TWELVE WEEKS OF EMPLOYMENT FOR PRISON INMATES OR PAROLEES. PARTICIPATION IN THE PROGRAM HELPS INMATES/PAROLEES TO ACQUIRE MEANINGFUL JOBS UPON RELEASE. THIS PROGRAM WAS CALLED TRANSITIONAL EMPLOYMENT PROGRAM (TEP) IN THE PAST. THESE RECORDS MAY INCLUDE, BUT ARE NOT LIMITED TO:

- NOTICE OF PLACEMENT
- COPIES OF SS# AND/OR DRIVERS LICENSE
- NOTICE OF REMOVAL
- DOA JUDGEMENTS, CHILD SUPPORT DOCUMENTS
- TAX WITHHOLDING CERTIFICATES
- PERSONNEL TURNAROUND DOCUMENTS;
- EMPLOYER'S EVALUATIONS

NOTE: RETAIN FOR FIVE FISCAL YEARS AND DESTROY CONFIDENTIAL. THIS RETENTION IS BASED ON THE PAYROLL GENERAL RECORDS SCHEDULE. HOWEVER, THIS RECORD SERIES CONTAINS ADDITIONAL INFORMATION ON WORK

PERFORMANCE AND REQUIREMENTS FOR PARTICIPATION IN THE PROGRAM. THESE RECORDS CONTAIN VARIOUS ITEMS THAT ARE CONFIDENTIAL THAT MAY INCLUDE SOCIAL SECURITY AND/OR DRIVERS LICENSE NUMBERS, MINOR CHILDREN'S NAMES AND DATES OF BIRTH. RECORDS MAY BE COVERED BY THE FEDERAL PRIVACY ACT, DPPA, WIS. STAT 343, TITLE 18 USC SEC. 27.21 (27 & 25.)

EVENT = CLOSED/TERMINATED/DEATH + 5 YEARS AND DESTROY CONFIDENTIAL

<u>00144000.</u>	<u>OFFICER SCHEDULES</u>	<u>CR+11</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORDS SERIES MAY INCLUDE, BUT IS NOT LIMITED TO DOC 2632-ADDITIONAL HOURS OF WORK OTS HIRING SHEET, DOC 629-ABSENT LIST, DOC 647-REPORT OF ABSENCE, DOC 723-SCHEDULE EXCHANGE REQUEST, AND DOC 798-OVERTIME CALL-IN SHEET AND REPORTS GENERATED FROM SCHEDULESOFT.

THIS RECORD SERIES CONSISTS OF DOCUMENTS RELATED TO SCHEDULING OF SECURITY STAFF. THESE DOCUMENTS ARE USED TO RECORD SECURITY STAFFS SHIFT SCHEDULES, SICK CALLS/ABSENCES, HIRING FOR OVERTIME, REQUESTS FOR TIME OFF, LEAVE SELECTION REQUESTS, LEAVE REQUESTS, AND SHIFT EXCHANGES.

NOTE: SCHEDULESOFT IS THE ELECTRONIC DATA PROGRAM THAT DOC NOW USES FOR SCHEDULING OF OFFICERS AT CORRECTIONAL FACILITIES.

RETENTION: EVENT (EVENT IS CREATION) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00145000.</u>	<u>KEY CONTROL RECORDS</u>	<u>CR+11</u>	<u>DEST</u>	<u>Y</u>
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THESE RECORDS CONTAIN VARIOUS DOC FORMS USED FOR TRACKING AND CONTROL OF KEYS WITHIN THE INSTITUTIONS AND CENTERS. THESE FORMS INCLUDE, BUT ARE NOT LIMITED TO DOC-876-KEY REPLACEMENT REQUEST, DOC-671-KEY CONTROL CARD, DOC-672-KEY DISTRIBUTION, DOC-1593-KEY REQUEST (DJC), DOC 1593A-KEY REQUEST MULTIPLE (DAI), DOC-2207-OFFENDER KEY CONTROL, DOC-2064-KEY REQUEST/TRANSFER/REMOVAL, DOC-1978-KEY RING MODIFICATION REQUEST, DOC 2082-KEY REQUEST (DAI). ADDITIONAL INFORMATION CONTAINED IN THESE RECORDS INCLUDE EMPLOYEE NAMES, LOCATION OF KEY STORAGE, KEY NUMBERS, SERIAL NUMBERS, BRAND OF KEYS, PURPOSE OF KEY, AND INMATE ROOM NUMBERS.

THESE RECORDS REFLECT A COMPLETE AND ACCURATE LISTING OF ALL INSTITUTION KEYS, INCLUDING THE LOCKS THEY OPERATE. SUPERVISORY STAFF USES THESE RECORDS TO IDENTIFY AND MONITOR KEY INVENTORIES AND USAGE. THESE RECORDS DOCUMENT ALL KEY RECORDS/KEY INVENTORY FOR A GIVEN INSTITUTION, INCLUDING SPARE KEYS, GRANDMASTER KEYS, PARACENTRIC KEYS, AND PADLOCK KEYS, AS WELL AS WHAT LOCATIONS THE KEYS ARE STORED WITHIN THE INSTITUTIONS.

THE CHIT SYSTEM IS ALSO UTILIZED TO TRACK WHICH EMPLOYEE HAS HAD WHICH KEY(S) IN THEIR POSSESSION FOR THEIR JOB DUTIES. THESE RECORDS ALSO MAINTAIN RECORDS OF WHAT KEYS ARE REQUESTED AND IF THAT REQUEST WAS GRANTED OR DENIED.

KEY RECORDS MAY ALSO BE RETAINED ON COMPUTER FILES, AS WELL AS HARD COPY FILES. BOTH MEDIUMS HAVE THE SAME RETENTION PERIOD.

RETENTION: EVENT (EVENT IS CREATION) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00146000.</u>	<u>TOOL REPORTS</u>	<u>CR+11</u>	<u>DEST</u>	<u>Y</u>
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THESE RECORDS INCLUDE, BUT ARE NOT LIMITED TO VARIOUS DOC FORMS USED FOR THE TRACKING AND CONTROL OF TOOLS WITHIN THE INSTITUTIONS AND CENTERS. FORMS THAT MAY BE INCLUDED IN THIS SERIES ARE DOC 1110-TOOL RECEIVIGN REPORT, DOC 1112-TOOL TURN-IN RECEIPT, DOC 1113-LOST TOOL REPORT, DOC 1108-CLASS A TOOLS, DOC 1109-CLASS B TOOLS, AND DOC 1111-MONTHLY TOOL REPORT.

THE DEPARTMENT IS REQUIRED TO DOCUMENT THE USE OF ALL TOOLS FOR INVENTORY CONTROL COMPLIANCE PER THE DEPARTMENT OF CORRECTIONS ADMINISTRATIVE CODE 306 AND DAI POLICY. RECORDS IN THIS SERIES DOCUMENT A RUNNING INVENTORY OF TOOLS USED BY VARIOUS DEPARTMENTS THROUGHOUT THE INSTITUTION. THESE RECORDS ASSIST TO ESTABLISH AN EFFECTIVE CONTROL PLAN TO ENSURE THAT ALL TOOLS WITHIN THE INSTITUTION ARE USED AND STORED IN A SAFE AND SECURE MANNER, AND TO INFORM ALL STAFF OF THE REQUIREMENTS AND METHODS OF SUPERVISING TOOL USE AND ACCOUNTABILITY.

RETENTION: EVENT (EVENT IS CREATION) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00147000.</u>	<u>LOG BOOKS (SECURITY)</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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TYPICALLY, THESE RECORDS CONSIST OF ANY BOUND GENERIC BOOKS. INFORMATION RECORDED IN THESE LOG BOOKS MAY INCLUDE, BUT IS NOT LIMITED TO, THE SHIFT ACTIVITY SUCH AS DOC STAFF WORKING DURING A SPECIFIC DATE AND SHIFT, ANY ADDITIONAL STAFF ON THE UNIT, SUCH AS HSU OR MAINTENANCE PERSONNEL, THE INMATE NAME AND DOC NUMBER TO REPORT CELL MOVEMENT, INCLUDING MOVEMENTS FOR SCHOOL, WORK OR TREATMENT PROGRAMS, INCIDENTS INVOLVING DOC STAFF AND/OR INMATES. THESE LOG BOOKS MAY ALSO RECORD DOC STAFF SICK FOR EACH UNIT, COUNT TIMES, CELL SEARCHES, NOTEWORTHY EVENTS SUCH AS ESCAPES, TLU PLACEMENTS, ETC.

THESE LOG BOOKS ARE USED TO CREATE A WRITTEN RECORD OF EVENTS OR SHIFT ACTIVITY OCCURRING IN A UNIT

DURING EVERY SHIFT. ENTRIES ARE MADE AT VARIOUS TIMES THROUGHOUT THE DAY. INFORMATION RECORDED IN THE LOG BOOKS ARE USED BY STAFF WORKING THE SUBSEQUENT SHIFT TO REVIEW OCCURRENCES FROM THE PREVIOUS SHIFT, AS WELL AS OTHER INSTITUTION STAFF FOR VARIOUS REASONS, SUCH AS FOR LITIGATION PURPOSES.

RETENTION: EVENT (THE LAST ENTRY IN LOGBOOK) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00148000.</u>	<u>CORRESPONDENCE - SECURITY</u>	<u>CR+11</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES INCLUDES BUT IS NOT LIMITED TO DOC 761 - INFORMATION/INTERVIEW REQUEST; GENERAL CORRESPONDENCE/MEMOS GENERATED BY THE SECURITY OFFICE ADDRESSED TO STAFF AND/OR INMATES.

THIS RECORD SERIES DOCUMENTS INFORMATION THAT IS SHARED BETWEEN STAFF AND OTHER OFFICES WITHIN THE INSTITUTION OR FACILITY AND THE RESPONSES PROVIDED TO THEM BY THE SECURITY OFFICE.

RETENTION: EVENT (EVENT IS CREATION) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00149000.</u>	<u>CONFIDENTIAL INFORMANT STATEMENTS</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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FOR USE WITH DOC 78-CONFIDENTIAL INFORMANT STATEMENT.

THIS FORM DOCUMENTS STATEMENTS AND INFORMATION USED BY SECURITY STAFF FOR INVESTIGATORY PURPOSES IN DETERMINING VIOLATIONS OF INSTITUTION POLICIES AND PROCEDURES. THESE STATEMENTS ARE USEFUL TO HELP ENSURE THE SECURITY OF THE INSTITUTION, AS WELL AS THE PROTECTION OF INSTITUTION STAFF AND THE INMATES HOUSES THERE. THIS RECORD MAY BE USED IN SUMMARY REPORTS, WHICH PROVIDE FURTHER INFORMATION REGARDING CRIMINAL BEHAVIOR CONDUCTED WITHIN THE INSTITUTION (I.E. GANG ACTIVITY, RIOT ATTEMPTS, ETC.)

AT NO TIME SHOULD THESE RECORDS OR COPIES OF THESE RECORDS BE FILED OUTSIDE OF THE SECURITY OFFICE, OR IN THE SOCIAL SERVICES OR LEGAL FILES. THE IDENTIFICATION OF THE INFORMANTS REMAINS CONFIDENTIAL TO PROTECT THE INDIVIDUALS FROM ANY RETALIATION.

ADMINISTRATIVE CODE DOC 303 AND 310, PROVIDES DIRECTIVE TO THE PROCEDURES REGARDING DUE PROCESS, INMATE COMPLAINTS, AND CONFIDENTIAL INFORMANT STATEMENTS.

RETENTION: EVENT (THE CONCLUSION OF INVESTIGATION, LITIGATION, DUE PROCESS OR ANY OTHER COURT RELATED ACTIVITY.) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00150000.</u>	<u>TLU RECORDS</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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FOR USE WITH, BUT NOT LIMITED TO DOC 153- TLU/UNASSIGNED STATUS LOG, DOC 67-TLU PLACEMENT AND DOC 68-TLU REVIEW.

THESE RECORDS LIST INMATES IN TEMPORARY LOCK UP FOR GIVEN MONTH LISTING INMATE NAME, DOC NUMBER, REASON FOR PLACEMENT, FACILITY, DATE PLACED IN AND REMOVED FROM LOCK UP, SIT OF TRANSFER, DUE PROCESS DATE, PROGRAM REVIEW DATE AND DISPOSITION. THESE RECORDS ARE USED FOR BUDGET PURPOSES TO HELP PLAN FOR ADDITIONAL SPACE WHILE MONITORING THE NUMBER OF LOCK UPS THAT OCCUR DURING ANY GIVEN MONTH.

RETENTION: EVENT (DATE RELEASED FROM TLU) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00151000.</u>	<u>SEARCH OF OFFENDER / INMATE RECORDS</u>	<u>CR+11</u>	<u>DEST</u>	<u>Y</u>
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FOR USE WITH, BUT NOT LIMITED TO DOC-1523, DOC-1523A, DOC-152B. DOC-141, AND DOC-142 AND DATABASES.

THIS RECORDS SERIES IS USED TO DOCUMENT DATE, TIME, TYPE OF SEARCH, RESULTS AND STAFF PERFORMING THE SEARCH. THESE RECORDS ARE USEFUL TO DETERMINE STAFF PERFORMANCE, RECORD CONTRABAND AND FOR USE AS A MATTER OF RECORD FOR INMATE COMPLAINT RESOLUTION AND/OR FURTHER LITIGATION.

ADMINISTRATIVE CODE 303, 306 AND DAI POLICY DICTATE THAT SEARCH DOCUMENTATION BE COMPLETED AND MAINTAINED.

RETENTION : EVENT (EVENT IS CREATION) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00152000.</u>	<u>VISITOR NOTIFICATIONS</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>Y</u>
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ENTRANCE MEMORANDUM INDICATING NAME OF VISITOR, AFFILIATION, DATE OF ENTRANCE, PERSON TO CONTACT, AREA TO VISIT, PURPOSE AND SPECIAL INSTRUCTIONS OR ITEMS TO BE ALLOWED INTO THE INSTITUTIONS/CENTER.

FOR USE WITH, BUT NOT LIMITED TO SECURITY FORMS SUCH AS DOC 1267/1267A-VISITOR NOTIFICATION.

THESE DOCUMENTS ARE USED TO RECORD VISITORS TO THE INSTITUTIONS AND TO NOTIFY SECURITY AND LOBBY STAFF OF A VISITOR'S SCHEDULED ARRIVAL OR AUTHORIZATION TO VISIT THE INSTITUTIONS/CENTER, WHO TO NOTIFY UPON THEIR ARRIVAL AND WHO AUTHORIZED THE VISITOR'S ACCESS.

RETENTION: EVENT (EVENT IS DATE OF VISIT) + 30 DAYS AND DESTROY CONFIDENTIAL

<u>00153000.</u>	<u>UA CHAIN OF CUSTODY - POSITIVES AND CONFIRMATIONS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENTS: POSITIVE URINALYSIS RESULTS FOR URINE SAMPLES RECEIVED FROM DEPARTMENT OF CORRECTIONS AGENCIES AND TESTED BY THE DRUG ABUSE CORRECTIONAL CENTER UA LAB. TESTING IS CONDUCTED BY RANDOM PER THE UA DRAW RANDOM BATCH PROCESS OR FOR SPECIFIC INMATES/OFFENDERS WHERE THERE MAY BE CONCERNS FOR CAUSE, SATURATION, TARGETED OR TREATMENT ISSUES.

PURPOSE: POSITIVE RESULTS AND CONFIRMATIONS ARE RETAINED FOR SEVEN YEARS AFTER TESTING IS COMPLETE IN THE EVENT OF ANY DISCREPANCIES, HISTORY OF PREVIOUS DRUG LEVELS, LITIGATION, ETC.

EVENT = CLOSED/TERMINATED/DEATH + 7 YEARS AND DESTROY CONFIDENTIAL

<u>00153B00.</u>	<u>UA CHAIN OF CUSTODY - NEGATIVES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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CONTENTS: NEGATIVE URINALYSIS RESULTS FOR URINE SAMPLES RECEIVED FROM DEPARTMENT OF CORRECTIONS AGENCIES AND TESTED BY THE DRUG ABUSE CORRECTIONAL CENTER UA LAB. TESTING IS CONDUCTED BY RANDOM PER THE UA DRAW RANDOM BATCH PROCESS OR FOR SPECIFIC INMATES/OFFENDERS WHERE THERE MAY BE CONCERNS FOR CAUSE, SATURATION, TARGETED OR TREATMENT ISSUES.

PURPOSE: NEGATIVE RESULTS ARE RETAINED FOR TWO YEARS AFTER TESTING IS COMPLETE IN THE EVENT OF ANY DISCREPANCIES, HISTORY OF PREVIOUS DRUG LEVELS, LITIGATION, ETC.

EVENT = CLOSED/TERMINATED/DEATH + 2 YEARS AND DESTROY CONFIDENTIAL

<u>00154000.</u>	<u>UA TESTING LOGS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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CONTENTS: LOGS INCLUDE, BUT ARE NOT LIMITED TO MAIL, UA LAB ENTRY, CLEANING, CONFIRMATION, NUMBER OF UAS RECEIVED, AREA RECEIVED FROM, POSTAGE, DATE RECEIVED, ETC.

PURPOSE: THESE LOGS RECORD HOW THE URINE SAMPLES WERE RECEIVED, THE NUMBER OF SAMPLES RECEIVED, THE DATE THE SAMPLES WERE RECEIVED AND FROM WHICH DEPARTMENT OF CORRECTIONS OFFICE, LAB STAFF PRESENT FOR VARIOUS PROCESSES TO INCLUDE DATE, TIME AND STAFF NAME, ETC.

EVENT = CLOSED/TERMINATED/DEATH + 7 YEARS AND DESTROY

<u>00155000.</u>	<u>UA DRAW DATABASE</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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THE UA DRAW IS A WEB-BASED APPLICATION USED FOR TRACKING URINALYSIS TESTING DONE ON INMATES AND OFFENDERS SUPERVISED BY THE DEPARTMENT OF CORRECTIONS. URINE SAMPLES MAY BE DRAWN FOR VARIOUS REASONS, RANDOM TESTING, FOR CAUSE, SATURATION, TARGETED OR TREATMENT.

THIS IS A INTRANET WEB-BASED SITE FOR DOC USE ONLY.

NOTE: THESE RECORDS ARE BEING HELD PERMANENTLY. THEY WILL BE ARCHIVED AND RETAINED WITHIN THE DATABASE, BUT THEY WILL NOT BE DESTROYED.

EVENT = PERMANENT

<u>00157000.</u>	<u>NON-DELIVERY OF MAIL</u>	<u>CR+11</u>	<u>DEST</u>	<u>Y</u>
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THIS DOCUMENT LISTS THE MAIL OR ITEMS(S) RECEIVED, REASON(S) FOR DENIAL, THE SENDER, AND THE INTENDED RECIPIENT OF THE MAIL/ITEM. FOR USE WITH, BUT NOT LIMITED TO DOC-243, NOTICE OF NON-DELIVERY OF MAIL.

TO PROVIDE NOTIFICATION TO THE INMATE OF THE MAIL OR ITEM(S) RECEIVED THROUGH THE MAIL, INDICATING THE REASONS FOR NON-DELIVERY. THE FORM PROVIDES THE INMATE AN OPPORTUNITY TO EXPRESS THEIR WISHES IN DISPOSAL OF THE MAIL OR ITEM(S) AND INFORMS THE INMATE THEIR RIGHT FOR APPEAL TO THE DECISION FOR THE NON-DELIVERY.

DEPARTMENT OF CORRECTIONS ADMINISTRATIVE CODE 309.05 LENDS DIRECTIVE TO THE PROCEDURES REGARDING INMATE MAIL.

RETENTION: EVENT (EVENT IS CREATION) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00158000.</u>	<u>OFFENDER ACTIVITY RECORDS</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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FOR USE WITH, BUT NOT LIMITED TO DOC-1587-SEGREGATION OFFENDER ACTIVITY SHEET, DOC-802 SEGREGATION UNIT REPORT, DOC 1008-AREA PASS LOG, DOC 689-PASS AREA (OFFENDER), ETC. THIS RECORD SERIES DOCUMENTS DOC STAFF CONTACT AND COMMENTS REGARDING ACTIVITY OF INMATES.

THIS RECORD SERIES DOCUMENT AN INMATE ACTIVITIES, MOVEMENT AND/OR STATUS INCLUDED IN THESE RECORDS IS DATE AND TIME OF ACTIVITY/MOVEMENT, INMATE/OFFENDER NAME, DOC NUMBER, AND UNIT ASSIGNMENT/STATUS.

INMATE ACTIVITY REFERS TO MOVEMENT IN THE INSTITUTION, MOVEMENT OFF THE UNIT AND DIFFERENT ACTIVITIES OFFERED WHILE HOUSED IN SEGREGATION, INCLUDING SHOWERS, MEDICATION DELIVERY, TREATMENT, RECREATION, RELIGION, EDUCATION, ETC.

THIS RECORD SERIES DOCUMENTATION OF INMATE MOVEMENT AND ACTIVITY TO ENSURE SAFETY THROUGH WRITTEN AND VERBAL COMMUNICATION BETWEEN STAFF FOR EACH SHIFT ON A DAILY BASIS.

RETENTION: EVENT (EVENT IS DATE OF MOVEMENT, OR LAST ENTRY ON LOG) + 11 YEARS AND DESTROY CONFIDENTIAL

00159000.	<u>OFFENDER / INMATE / JUVENILE DIET RECORDS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES COVERS RECORDS MAINTAINED REGARDING OFFENDER DIETITIAN CONSULT, MODIFIED OR RELIGIOUS DIETS AND MAY INCLUDE NOTICE OF SPECIAL DIET ORDERS OR REQUESTS, ACKNOWLEDGMENTS, CONSENT/REFUSAL, ALLERGY, INTOLERANCE AND OTHER SPECIAL DIET RECORDS.

PURPOSE: THE RECORDS PROVIDE THE INFORMATION AND DOCUMENTATION THAT SUPPORTS SPECIAL DIET ORDERS PROVIDED TO OFFENDERS, INMATES OR JUVENILES WITHIN THE INSTITUTIONS, FACILITIES AND SCHOOLS.

THESE INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING FORMS:

- DOC-1836 DIET ORDER ACKNOWLEDGEMENT - MALE
- DOC-1836A DIET ORDER ACKNOWLEDGMENT - FEMALE
- DOC-2167 RELIGIOUS DIET REQUEST
- DOC - 2671 DIETITIAN CONSULT REPORT
- DOC-3334 MODIFIED DIET ORDER
- DOC-3341 MODIFIED DIET CONSENT/REFUSAL
- DOC-3341S MODIFIED DIET CONSENT/ REFUSAL - SPANISH
- DOC-3518 FOOD ALLERGY/INTOLERANCE DIET INTERVIEW

CONFIDENTIAL:

FEDERAL LAWS:

- 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
- 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
- 45 C.F.R. PART 164 SECURITY AND PRIVACY

STATE STATUTES:

INFORMATION

- WIS. STAT. 51.47 ALCOHOL AND OTHER DRUG ABUSE (AODA) TREATMENT RECORDS
- WIS. STAT. 146.82 HEALTH CARE RECORDS

RETENTION: EVENT + 7 YEARS AND DESTROY CONFIDENTIAL

EVENT IS DATE DIET IS CANCELLED, TERMINATED, CHANGED OR THE DATE THAT THE INMATE/JUVENILE IS DISCHARGED OR TERMINATED FROM THE INSTITUTION, FACILITY, OR SCHOOL

00160000.	<u>DIVISION OF ADULT INSTITUTIONS (DAI) AND DIVISION OF JUVENILE CORRECTIONS</u>	<u>EVT+60</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES CONSISTS OF INDIVIDUALLY IDENTIFYING CONFIDENTIAL DOCUMENTS FILED IN THE PSYCHOLOGICAL SERVICES UNIT RECORD, CREATED BY DIVISION OF ADULT INSTITUTIONS AND DIVISION OF JUVENILE CORRECTIONS FOR OFFENDERS RESIDING IN DAI OR DJC FACILITIES WHO ARE IDENTIFIED BY THE DOC AS SEX OFFENDERS. IT ALSO INCLUDES THE PSYCHOLOGICAL SERVICES UNIT RECORD – AODA ENVELOPE FOR DAI INMATES WHO PARTICIPATE IN AODA TREATMENT. THE RECORDS INCLUDE INDIVIDUALLY IDENTIFIABLE INFORMATION PROTECTED BY WISCONSIN AND FEDERAL CONFIDENTIALITY LAWS.

PURPOSE: THE RECORDS DOCUMENT THE IDENTIFIED MENTAL HEALTH NEEDS OF OFFENDERS, AND THE SERVICES PROVIDED TO THOSE OFFENDERS BY MENTAL HEALTH PROVIDERS. THE RECORDS ASSIST IN THE APPROPRIATE DELIVERY OF MENTAL HEALTH CARE TO OFFENDERS.

JUSTIFICATION: THE RECORDS PERTAINING TO SEX OFFENDERS MUST BE RETAINED LONGER THAN THE RECORDS FOR NON-SEX OFFENDERS DUE TO THE RELEVANCE FOR A CH. 980 PROCEEDING IF AN OFFENDER RETURNS TO THE CORRECTIONAL SYSTEM.

EVENT = DATE OF RELEASE FROM DAI INCARCERATION OR DJC COMMITMENT OR TERMINATION OF DCC SUPERVISION.

THE FORMS INCLUDE BUT ARE NOT LIMITED TO: SEE DAI POLICY 500.50.02, ATTACHMENTS 1 AND 1A DESCRIBING THE CONTENTS OF THE PSU RECORD

CONFIDENTIAL:

FEDERAL LAWS:

- 21 C.F.R. PART 1304 RECORDS AND REPORTS OF REGISTRANTS
- 21 C.F.R. PART 1305 ORDERS FOR SCHEDULE I AND II CONTROLLED SUBSTANCES
- 21 C.F.R. PART 1317 DISPOSAL OF CONTROLLED SUBSTANCES
- 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
- 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
- 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:
 WIS. STAT. § 51.30 RECORDS
 WIS. STAT. § 51.47 ALCOHOL AND OTHER DRUG ABUSE TREATMENT RECORDS
 WIS. STAT. § 146.38 HEALTH CARE SERVICES REVIEW, CONFIDENTIALITY OF INFORMATION
 WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
 WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
 WIS. STAT. § 252.15 RESTRICTIONS OF USE OF AN HIV TEST
 WIS. STAT. § 303.388 PRISONER MEDICAL RECORDS
 WIS. STAT. §938.78 CONFIDENTIALITY OF RECORDS
 WIS. STAT. §950.04(1V) RIGHTS OF VICTIMS
 WIS. STAT. CH. 961 UNIFORM CONTROLLED SUBSTANCES ACT
 WIS. STAT. §972.15 PRESENTENCE INVESTIGATION

WISCONSIN ADMINISTRATIVE CODE:
 WIS. ADMIN CODE § DHS 92.08 CRIMINAL COMMITMENTS
 WIS. ADMIN. CODE CH. MED 17 STANDARDS FOR DISPENSING AND PRESCRIBING DRUGS
 WIS. ADMIN CODE CH. PHAR 7 PHARMACY PRACTICE
 WIS. ADMIN CODE CH. PHAR 8 REQUIREMENTS FOR CONTROLLED SUBSTANCES

00164000.	BUREAU OF HEALTH SERVICES (BHS), DIVISION OF ADULT INSTITUTIONS (I	EVT+7	DEST	Y
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CONTENT: THIS RECORD SERIES CONSISTS OF AGENDAS, MINUTES, AND REPORTS OF BHS, DAI AND DJC COMMITTEES THAT RELATE TO THE DELIVERY OF HEALTH CARE OF OFFENDERS, INCLUDING BUT NOT LIMITED TO BHS POLICY AND PROCEDURE COMMITTEE, BHS PHARMACY AND THERAPEUTICS COMMITTEE, AND BHS CONTINUOUS QUALITY IMPROVEMENT COMMITTEE, AND DAI AND DJC FACILITY COMMITTEES THAT MEET TO DISCUSS VARIOUS HEALTH-CARE DELIVERY ISSUES.

PURPOSE: THE AGENDA, MINUTES, AND REPORTS DOCUMENT ISSUES DISCUSSED AND DECISIONS MADE BY COMMITTEES THAT ADDRESS VARIOUS MATTERS RELATED TO THE DELIVERY OF HEALTH CARE.

JUSTIFICATION: THE DOC HAS REVIEWED ADM00026 AND FOUND THAT THE RETENTION OF EVENT + 5 YEARS IS NOT LONG ENOUGH FOR THE LEGAL AND BUSINESS PURPOSES OF THE DOC.

EVENT = DATE OF DOCUMENT

THE FORMS INCLUDE BUT ARE NOT LIMITED TO: NONE

CONFIDENTIAL: THESE RECORDS DO NOT ROUTINELY INCLUDE INDIVIDUALLY IDENTIFYING PROTECT HEALTH INFORMATION REGARDING OFFENDERS. HOWEVER, IF MINUTES OR REPORTS INCLUDE SUCH INFORMATION, THE DOCUMENT WOULD BE CONFIDENTIAL.

CONFIDENTIAL:

FEDERAL LAWS:
 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:
 WIS. STAT. § 51.30 RECORDS
 WIS. STAT. § 51.47 ALCOHOL AND OTHER DRUG ABUSE TREATMENT RECORDS
 WIS. STAT. § 146.38 HEALTH CARE SERVICES REVIEW, CONFIDENTIALITY OF INFORMATION
 WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
 WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
 WIS. STAT. § 252.15 RESTRICTIONS OF USE OF AN HIV TEST
 WIS. STAT. § 303.388 PRISONER MEDICAL RECORDS
 WIS. STAT. §938.78 CONFIDENTIALITY OF RECORDS
 WIS. STAT. §950.04(1V) RIGHTS OF VICTIMS
 WIS. STAT. §972.15 PRESENTENCE INVESTIGATION

WISCONSIN ADMINISTRATIVE CODE:
 WIS. ADMIN CODE § DHS 92.08 CRIMINAL COMMITMENTS

00169000.	MEDICATION OCCURRENCE REPORTS	EVT+10	DEST	Y
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CONTENT: THIS RECORD SERIES CONSISTS OF OFFICIAL DOC FORMS COMPLETED PURSUANT TO DAI POLICY 500.80.16, MEDICATION OCCURRENCE REPORTING, USED TO REPORT AND INVESTIGATE A PREVENTABLE EVENT THAT MAY CAUSE OR LEAD TO INAPPROPRIATE MEDICATION USE OR POTENTIAL PATIENT HARM. CENTRAL PHARMACY SERVICES, HEALTH SERVICE UNIT MANAGERS AND BUREAU OF HEALTH SERVICE CENTRAL OFFICE MANAGEMENT, AND DOC SECURITY STAFF ALL MAY BE INVOLVED, DEPENDING ON THE NATURE OF THE OCCURRENCE. THE OFFICIAL FORMS ARE MAINTAINED IN A MEDICATION OCCURRENCE REPORT FILE AT CENTRAL PHARMACY SERVICES.

PURPOSE: THE PURPOSE OF THE RECORD SERIES IS TO TRACK AND INVESTIGATE MEDICATION OCCURRENCES THAT OCCUR AT ANY POINT IN THE PROCESS OF PRESCRIBING MEDICATION, FILLING PRESCRIPTIONS AND DISPENSING MEDICATION.

EVENT = DATE OF DOCUMENT

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:
 DOC-3340 MEDICATION OCCURRENCE REPORT
 DOC-3340A CENTRAL PHARMACY OCCURRENCE REPORT

CONFIDENTIAL:
 FEDERAL LAWS:
 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
 STATE STATUTES:
 WIS. STAT. §51.30 MENTAL HEALTH, DEVELOPMENTAL DISABILITIES, AND AODA INFORMATION
 WIS. STAT. §51.47 ALCOHOL AND OTHER DRUG ABUSE (AODA) TREATMENT RECORDS
 WIS. STAT. §146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
 ADMINISTRATIVE RULES:
 WIS. ADMIN CODE PAC CH. 1.08(4)(F) RELEASE DUE TO EXTRAORDINARY HEALTH CONDITION OR AGE

<u>00175000.</u>	<u>INMATE PAYROLL</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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INTERNAL STATISTICAL AND NARRATIVE REPORTS CREATED BY AN AGENCY ON THE ROUTINE OPERATIONS AND FUNCTIONS OF A FISCAL OFFICE. INCLUDES WEEKLY, MONTHLY AND QUARTERLY REPORTS FOR OPERATIONS, MANAGEMENT ANALYSIS AND PLANNING

RETENTION = EVT + 5 YEARS AND DESTROY
 EVENT IS WHEN INMATE NO LONGER EMPLOYED OR NO LONGER INCARCERATED

<u>00183000.</u>	<u>FOOD SERVICE STAFFING RECORDS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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CONTENT: THIS RECORD SERIES COVERS RECORDS THAT DETAIL THE OFFENDERS, INMATES, OR JUVENILES THAT ARE ASSIGNED TO WORK IN THE FOOD SERVICE AREA.

PURPOSE: THESE LISTS, ROSTERS, DETAIL AND SIGN IN/SIGN OUT RECORDS ARE USED TO ACCOUNT FOR POPULATION MOVEMENT, WORK ASSIGNMENTS, AND ACCOUNTABILITY OF FOOD SERVICE STAFFING NEEDS.

THESE INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING FORMS:
 DOC - 766A KITCHEN OUT COUNT
 DOC-767A FOOD SERVICE WORK DETAIL
 DOC-1486A WSPF-SWGP FOOD SERVICE SIGN IN/SIGN OUT LOG

CONFIDENTIAL: NO

RETENTION: EVENT + 7 YEARS AND DESTROY CONFIDENTIAL. EVENT IS CREATION

<u>00185000.</u>	<u>CHAPTER 980, SEXUALLY VIOLENT PERSON COMMITMENTS, FORENSIC EV.</u>	<u>EVT+60</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THESE PAPER AND ELECTRONIC FILES ARE CREATED AND MAINTAINED IN THE CHAPTER 980 FORENSIC EVALUATION UNIT FOR DIVISION OF ADULT INSTITUTIONS OR DIVISION OF JUVENILE CORRECTIONS OFFENDERS INVOLVED IN THE CH. 980, SEXUALLY VIOLENT PERSON COMMITMENT, PROCESS AFTER THE COMPLETION OF AN END OF CONFINEMENT REVIEW BOARD (ECRB) REPORT OR DJC SEXUALLY VIOLENT PERSONS ACT COMMITTEE REPORT THAT REFERS THE OFFENDER FOR A SPECIAL PURPOSE EVALUATION (SPE) BY A CH. 980 UNIT PSYCHOLOGIST.

DOCUMENTS MAY INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING: ECRB REPORT, SPE REPORT, NOTES OF THE EVALUATING PSYCHOLOGIST, PRE-SENTENCE INVESTIGATION REPORTS, JUDGMENTS OF CONVICTION, CRIMINAL COMPLAINTS, DISTRICT ATTORNEY AND LAW ENFORCEMENT RECORDS, AND OTHER RECORDS OBTAINED FROM THE DIVISION OF ADULT INSTITUTIONS, DIVISION OF COMMUNITY CORRECTION AND/OR THE DIVISION OF JUVENILE CORRECTIONS.

ONLY THE SPECIAL PURPOSE EVALUATION REPORT INCLUDING ATTACHMENTS TO THAT REPORT, AND THE NOTES OF THE EVALUATING PSYCHOLOGIST ARE RETAINED FOR AN OFFENDER WHO IS NOT REFERRED TO THE DEPARTMENT OF JUSTICE FOR POSSIBLE COMMITMENT UNDER CHAPTER 980.

PURPOSE: THE PURPOSE OF THESE FILES IS TO ASSIST THE ASSIGNED CHAPTER 980 UNIT PSYCHOLOGIST TO COMPLETE THE SPECIAL PURPOSE EVALUATION THAT DETERMINES WHETHER TO REFER THE OFFENDER TO THE DEPARTMENT OF JUSTICE FOR POSSIBLE COMMITMENT. THE FILES ARE RETAINED AFTER THE REFERRAL DECISION TO DOCUMENT THE RATIONALE FOR THE DECISION AND FOR SUBSEQUENT EVALUATION(S).

JUSTIFICATION: THESE RECORDS REQUIRE A LENGTHY RETENTION DUE TO THEIR RELEVANCE FOR A CH. 980 PROCEEDING IF AN OFFENDER RETURNS TO THE CORRECTIONAL SYSTEM.

EVENT = DATE OF COMPLETION OF END OF CONFINEMENT REVIEW BOARD (ECRB) REVIEW

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:

- DOC-1490 END OF CONFINEMENT REVIEW BOARD CASE REVIEW SUMMARY AND DISPOSITION
- DOC-2364 STATIC 99/RAPID RISK ASSESSMENT FOR SEXUAL OFFENSE RECIDIVISM SCORING SHEET
- DOC-2296 MINNESOTA SEX OFFENDER SCREENING TOOL
- DOC-2295 SPECIAL PURPOSE EVALUATION REPORT
- DOC-3497 SPE NOTICE OF EXAMINATION
- DOC-1163K CHAPTER 980 AUTHORIZATION FOR DISCLOSURE OF AODA INFORMATION

CONFIDENTIAL:

FEDERAL LAWS:

- 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
- 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
- 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:

- WIS. STAT. § 51.30 RECORDS
- WIS. STAT. § 51.47 ALCOHOL AND OTHER DRUG ABUSE TREATMENT RECORDS
- WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 252.15 RESTRICTIONS OF USE OF AN HIV TEST
- WIS. STAT. § 303.388 PRISONER MEDICAL RECORDS
- WIS. STAT. §938.78 CONFIDENTIALITY OF RECORDS
- WIS. STAT CH. 961 UNIFORM CONTROLLED SUBSTANCES ACT
- WIS. STAT. §972.15 PRESENTENCE INVESTIGATION

WISCONSIN ADMINISTRATIVE CODE:

- WIS. ADMIN CODE § DHS 92.08 CRIMINAL COMMITMENTS

00185A00.	CHAPTER 980, SEXUALLY VIOLENT PERSON COMMITMENTS, BUREAU OF H	EVT+60	DEST	Y
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CONTENT: THIS PAPER AND ELECTRONIC RECORDS SERIES CONSISTS OF DOCUMENTS THAT TRACK A DAI OFFENDER'S PROGRESS THROUGH THE CH. 980 LEGAL PROCESS. PRIOR TO THE RELEASE FROM INCARCERATION, DOC DETERMINES WHETHER AN OFFENDER, DESIGNATED AS A SEX OFFENDER, MEETS THE CRITERIA FOR REFERRAL FOR CIVIL COMMITMENT. A MEMBER OF THE END OF CONFINEMENT REVIEW BOARD (ECRB) REVIEWS EXISTING RELEVANT RECORDS, AND CREATES RECORDS RELATED TO THE CH. 980 PROCESS TO RECOMMEND WHETHER THE OFFENDER SHOULD BE REFERRED FOR AN EVALUATION BY A FORENSIC PSYCHOLOGIST, REFERRED TO AS A SPECIAL PURPOSE EVALUATION. RESULTS OF THE SPE DETERMINE WHETHER THE DOC REFERS THE INMATE TO THE DEPARTMENT OF JUSTICE FOR POSSIBLE COMMITMENT UNDER CH. 980.

PURPOSE: THIS RECORD SERIES DOCUMENTS THE DOC'S COMPLIANCE WITH THE REQUIREMENTS OF CH. 980, FOR INMATES IDENTIFIED AS SEX OFFENDERS.

JUSTIFICATION: THESE RECORDS REQUIRE A LENGTHY RETENTION DUE TO THEIR RELEVANCE FOR A CH. 980 PROCEEDING IF AN OFFENDER RETURNS TO THE CORRECTIONAL SYSTEM.

EVENT = DATE THAT END OF CONFINEMENT REVIEW BOARD (ECRB) DETERMINES THAT INMATE FOUND NOT TO MEET CRITERIA FOR CIVIL COMMITMENT

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:

- DOC-1490 END OF CONFINEMENT REVIEW BOARD CASE REVIEW SUMMARY AND DISPOSITION
- DOC-2364 STATIC 99/RAPID RISK ASSESSMENT FOR SEXUAL OFFENSE RECIDIVISM SCORING SHEET
- DOC-2296 MINNESOTA SEX OFFENDER SCREENING TOOL
- DOC-2295 SPECIAL PURPOSE EVALUATION REPORT
- DOC-3497 NOTICE OF EXAMINATION
- DOC-1163K CH. 980 AUTHORIZATION FOR DISCLOSURE OF AODA INFORMATION

CONFIDENTIAL:

FEDERAL LAWS:

- 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
- 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
- 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:

- WIS. STAT. § 51.30 RECORDS
- WIS. STAT. § 51.47 ALCOHOL AND OTHER DRUG ABUSE TREATMENT RECORDS
- WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 252.15 RESTRICTIONS OF USE OF AN HIV TEST

WIS. STAT. § 303.388 PRISONER MEDICAL RECORDS
WIS. STAT. §938.78 CONFIDENTIALITY OF RECORDS
WIS. STAT CH. 961 UNIFORM CONTROLLED SUBSTANCES ACT
WIS. STAT. §972.15 PRESENTENCE INVESTIGATION

WISCONSIN ADMINISTRATIVE CODE:
WIS. ADMIN CODE § DHS 92.08 CRIMINAL COMMITMENTS

<u>00187000.</u>	<u>CALL-IN CHECK RECORDS</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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FOR USE WITH, BUT NOT LIMITED TO DOC 2225-CALL-IN-CHECK SHEET, DOC-2226A AND DOC-1559.

THIS RECORDS SERIES IS USED TO MAINTAIN A RECORD WELLNESS CHECKS AND SAFETY FOR THIRD SHIFT STAFF. STAFF IS REQUIRED TO CALL IN EVERY HOUR BEGINNING AT 10:30 P.M. THROUGH 5:30 A.M. TO REPORT THEIR STATUS.

RETENTION: EVENT (EVENT IS CREATION) + 1 YEAR AND DESTROY CONFIDENTIAL

<u>00188000.</u>	<u>USE OF FORCE RECORDS</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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THE DEPARTMENT OF CORRECTIONS HAS A POLICY THAT DICTATES THE RECORDING OF USE OF FORCE SITUATIONS. (DAI POLICY 306.07.01 (USE OF FORCE) FOR USE WITH, BUT NOT LIMITED TO INCIDENTS CAPTURED AND DOWNLOADED ONTO ELECTRONIC MEDIA, DOC 1960-USE OF FORCE REVIEW, DOC 110-INVESTIGATION OF FIREARM DISCHARGE, REVIEW CHECKLISTS, AFTER ACTION REVIEWS AND CORRECTIVE ACTION PLANS, WORKING COPIES OF INCIDENT.

THIS RECORDS SERIES CONSIST OF DOCUMENTS AND ELECTRONIC RECORDINGS REGARDING PLANNED AND UNPLANNED USE OF FORCE INCIDENTS. THESE RECORDS ARE REVIEWED BY SECURITY SUPERVISORS FOR, BUT NOT LIMITED TO, TRAINING PURPOSES, LITIGATION, AND DUE PROCESS HEARINGS.

RETENTION: EVEN(DEFINED AS REVIEW OF TAPE AFTER USE OF FORCE TO DETERMINE IF OTHER ACTION NEEDS TO BE TAKEN, TRAINING, LITIGATION, DUE PROCESS HEARING, OR DATE OF RECORDING, WHICH EVER IS LATER) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00189000.</u>	<u>SAFETY, SANITATION, AND SECURITY INSPECTIONS, CHECKLISTS OR LOGS</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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CONTENT: THESE CHECKLISTS OR LOGS MONITOR AND REPORT THE SAFETY, SECURITY, AND SANITATION IN THE CAFETERIAS, SERVERY, AND KITCHEN FOR INSTITUTIONS, FACILITIES AND SCHOOLS. THEY DOCUMENT THE SANITARY CONDITIONS IN FOOD PREPARATION, STORAGE, AND/OR SERVING AREAS. IN ADDITION, THE CHECKLISTS ARE REMINDERS FOR SECURITY AND DAILY ROUTINE ACTIVITIES. THIS INCLUDES BUT IS NOT LIMITED TO SANITATION, TEMPERATURES, FOOD QUALITY, PORTIONS, PERSONNEL APPEARANCE, AND FOOD STORAGE.

PURPOSE: THESE RECORDS SERVE AS A REFERENCE, AND ARE USED FOR DOCUMENTATION PURPOSE IN THE EVENT OF AN AUDIT, LAWSUIT, OR INMATE COMPLAINTS.

THESE INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING FORMS:
DOC-830 MEAL INSPECTION REPORT-UNIT
DOC-1838 COTTAGE TEMP
DOC-2146 COTTAGE GOOD HANDLING/SAFETY AUDIT
DOC-2147 FOOD HANDLING/SAFETY AUDIT
DOC-2171 DAILY FOOD & EQUIPMENT TEMP LOG
DOC-2171A DE-CENTRALIZED DAILY FOOD & EQUIPMENT TEMPERATURE LOG
DOC-2172 DAILY FOOD TEMPERATURE LOG
DOC-2173 MONTHLY DISH MACHINE TEMPERATURE LOG
DOC-2174 MONTHLY COOLER FREEZER TEMP LOG
DOC-2174A FOOD SERVICE COOLER/FREEZER/DRY STORAGE TEMPERATURE LOG
DOC-2175 MONTHLY MILK DISPENSER TEMPERATURE LOG
DOC-2222 FOOD SERVICE AUDIT (FSM 205)
DOC-2332 THERMOMETER CALIBRATION RECORD

RETENTION: EVENT + 3 YEARS AND DESTROY CONFIDENTIAL
EVENT IS CREATION

<u>00190000.</u>	<u>FOOD MANAGEMENT COST, MENU, NUTRITION, AND MEAL PATTERNS INPUT</u>	<u>CR+7</u>	<u>DEST</u>	<u>N</u>
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CONTENT: THIS RECORD SERIES COVERS INPUTS AND OUTPUTS USED TO MAKE MEAL COST PROJECTIONS, MENUS, NUTRITION, AND MEAL PATTERNS FOR DOC INSTITUTIONS, FACILITIES AND SCHOOLS. BUDGET INFORMATION IS SUBMITTED TO THE OFFICE OF BUDGET AND FACILITIES MANAGEMENT TO COMBINE WITH EXPECTED INSTITUTION POPULATION FIGURES TO PRODUCE THE TOTAL DOLLARS TO BUDGET FOR FOOD. THESE RECORDS INCLUDE DOA INFLATION FACTOR MEMOS AS WELL AS OTHER FOOD SERVICE REPORTS AND DATA. IN ADDITION THESE RECORDS INCLUDE MENUS, NUTRITION, MEAL PATTERNS AND OTHER VARIOUS DATA RELATED TO FOOD MANAGEMENT.

PURPOSE: THESE RECORDS SERVE TO TRACK PROJECT AND TRACK MEAL COSTS AND FOR INPUT TO THE BUDGET.

FORMS: NONE

CONFIDENTIAL: NO

RETENTION: EVENT + 7 YEARS AND DESTROY. EVENT IS CREATION.

<u>00191000.</u>	<u>FEDERAL AND STATE FOOD PROGRAM RECORDS</u>	<u>CR+7</u>	<u>DEST</u>	<u>N</u>
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CONTENT: THESE RECORDS SERIES ARE REQUIRED FOR PARTICIPATION IN THE NATIONAL SCHOOL LUNCH PROGRAM, USDA COMMODITY PROGRAM, AND ANY OTHER FOOD PARTICIPATION PROGRAMS PROVIDED BY THE FEDERAL, STATE OR LOCAL GOVERNMENT AGENCIES. THE SCHOOLS IN THE DIVISION OF JUVENILE CORRECTIONS ARE ELIGIBLE TO PARTICIPATE IN SPECIFIC FOOD PROGRAMS TO RECEIVE COMMODITIES FOR RESIDENTS UNDER THE AGE OF 21. THE USDA COMMODITY PROGRAM WITHIN WISCONSIN IS ADMINISTERED BY THE DEPARTMENT OF PUBLIC INSTRUCTION. THE SCHOOL LUNCH PROGRAM IS ADMINISTERED BY THE DEPARTMENT OF PUBLIC INSTRUCTION (DPI) ON BEHALF OF THE FEDERAL GOVERNMENT. THESE INCLUDE THE AFTER SCHOOL SNACK PROGRAM, SCHOOL BREAKFAST PROGRAM, AND CHILD NUTRITION PROGRAMS.

PURPOSE: THESE RECORDS ARE REQUIRED FOR PARTICIPATION IN ANY FEDERAL OR STATE FOOD PROGRAM AND DOCUMENT THE PROGRAM PARTICIPATION.

THESE RECORDS INCLUDE BUT ARE NOT LIMITED TO:

- CORRESPONDENCE WITH PROGRAM STAFF
- APPLICATION AND APPLICATION AGREEMENTS
- MEAL COUNTS
- COMPLIANCE REPORTS
- INVENTORIES OF COMMODITIES RECEIVED, UTILIZED AND ON HAND
- NOTICE OF ALLOCATION AND RECEIPT OR EQUIVALENT
- AUDITS
- PROGRAM REVIEW STATUS REPORTS
- REIMBURSEMENT CLAIMS
- CASH REVENUE REPORTS
- CASH EXPENDITURES REPORT

CONFIDENTIAL: NO

<u>00191A00.</u>	<u>FEDERAL AND STATE FOOD PROGRAM INPUTS AND OUTPUTS</u>	<u>CR+7</u>	<u>DEST</u>	<u>N</u>
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CONTENT: THIS RECORD SERIES CONSISTS OF THE INPUTS AND OUTPUTS FOR ANY AND ALL FEDERAL OR STATE FOOD PROGRAM UTILIZED TO TRACK FOOD COMMODITIES RECEIVED BY THE USDA (UNITED STATE DEPARTMENT OF AGRICULTURE), DONATED COMMODITIES VALUE DISTRIBUTED TO INSTITUTIONAL SCHOOL LUNCH PROGRAMS AND CHARITABLE CORRECTIONAL COMMODITIES PROGRAM,

PURPOSE: DATA IS ENTERED TO THESE RECORDS IN ORDER FOR THE DEPARTMENT OF CORRECTIONS TO BE ABLE TO PRODUCE OUTPUTS USED IN REPORTING TO THE PROGRAMS.

FORMS: NONE

CONFIDENTIAL: NO

RETENTION: EVENT + 7 YEARS AND DESTROY. EVENT IS THE DATE OF CREATION.

<u>00195000.</u>	<u>LOGS BOOKS - FOOD SERVICES</u>	<u>CR+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THESE ARE THE DAILY LOGS OR LOG BOOKS MAINTAINED IN FOOD MANAGEMENT THAT DOCUMENT CAFETERIA AND PRODUCTION ACTIVITIES THAT ARE COMPLETED EACH DAY WITHIN THE INSTITUTION, FACILITIES AND SCHOOLS. THESE LOGS INCLUDE BUT ARE NOT LIMITED TO ENTRIES THAT INCLUDE MEALS SERVED, HEAD COUNT, NOTICES, REPAIRS, ACTIVITIES, INCIDENTS MESSAGES, AND MAJOR EVENTS.

PURPOSE: THESE RECORDS SERVE AS A REFERENCE, AND ARE USED FOR DOCUMENTATION PURPOSE IN THE EVENT OF AN AUDIT, LAWSUIT, OR INMATE COMPLAINTS.

FORMS: NONE

CONFIDENTIAL: (SOME OF THESE RECORDS MAY CONTAIN CONFIDENTIAL INFORMATION)

FEDERAL LAWS:

- 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
- 45 C.F.R. PART 160 PRIVACY OF HEALTH INFORMATION
- 45 C.F.R. PART 164 PROTECTED HEALTH CARE RECORDS
- 42 U.S.C. CHAPTER 13 SCHOOL LUNCH PROGRAMS

STATE STATUTES:

- WIS. STAT. 19.35(1)(AM) SAFETY AND SECURITY
- WIS. STAT. 51.30 MENTAL HEALTH, DEVELOPMENTAL DISABILITIES, AND AODA INFORMATION
- WIS. STAT. 51.47 ALCOHOL AND OTHER DRUG ABUSE (AODA) TREATMENT RECORDS
- WIS. STAT. 71.78(1)(5)(6) REVENUE CONFIDENTIALITY PROVISIONS
- WIS. STAT. 146.82 HEALTH CARE RECORDS

WIS. STAT. 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
WIS. STAT. 905.03 LAWYER-CLIENT PRIVILEGE
WIS. STAT. 938.78 JUVENILE RECORDS

RETENTION: EVENT + 7 YEARS AND DESTROY CONFIDENTIAL. EVENT IS CREATION

00196000.	<u>INVENTORY - SHARPS, DISHWARE AND UTENSILS</u>	<u>CR+0/6</u>	<u>DEST</u>	<u>N</u>
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CONTENT: THIS SERIES IS AN INVENTORY OF ALL SHARPS (KNIVES AND OTHER ITEMS POTENTIALLY DANGEROUS ITEMS) DISHWARE, AND UTENSILS CURRENTLY IN THE STOREROOM AND IN USE IN THE FOOD SERVICE AREAS IN THE INSTITUTION, FACILITIES AND SCHOOLS.

PURPOSE: THESE INVENTORIES ARE UTILIZED FOR REORDERING AND CAN BE USED AS A SECURITY CHECK.

THESE INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING FORMS:

- DOC-1461 DAILY SHARP COUNT - FOOD SERVICE
- DOC-1461A DAILY SHARP - FOOD SERVICE TCI
- DOC-1461B DAILY SHARP COUNT - FOOD SERVICE WSPF
- DOC-1461C DAILY SHARP COUNT - FOOD SERVICE - DACC

CONFIDENTIAL: NO

RETENTION: EVENT + 6 MONTHS AND DESTROY. EVENT IS DATE OF CREATION

00197000.	<u>FOOD SERVICES REPORTS AND WORKSHEETS</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THESE RECORDS CONSIST OF VARIOUS REPORTS THAT DIFFER AMONG INSTITUTIONS PRIMARILY AS AN AID TO THE FOOD SERVICE MANAGER. THESE INCLUDE BUT ARE NOT LIMITED TO SUCH ITEMS AS ORDER SHEETS, REQUISITIONS, REGISTERS, DELIVERY REPORTS, ESTIMATES ON SPOILAGE, GARDEN PRODUCE RECORDS, PRODUCE BID CHECKS, SERVERY CHECKS, DAILY HOSPITAL FOOD ORDERS, DAILY COUNTS, LUNCH REQUESTS, SIGN-UPS, AND HEADCOUNTS.

PURPOSE: THESE RECORDS SERVE AS A REFERENCE, AND ARE USED FOR DOCUMENTATION PURPOSES IN THE EVENT OF AN AUDIT, LAWSUIT, OR INMATE COMPLAINTS.

THESE INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING FORMS:

- DOC-634 COTTAGE KITCHEN SUPPLY ORDER SHEET
- DOC-691 TREATMENT CENTER MEAL REQUISITION
- DOC-715 MEAL REGISTER
- DOC-754 CELL HALL MEAL REQUISITION
- DOC-807 DAILY MEAL REPORT
- DOC-906A SECURITY POPULATION BREAKDOWN REPORT
- DOC-953 FOOD SERVICE REQUEST
- DOC-953A FOOD SERVICE/UNIT KITCHEN DAILY REQUEST
- DOC-953B FOOD SERVICE REQUEST
- DOC-958 NOON/EVENING MEAL REQUEST
- DOC-1246 FOOD SERVICE WEEKLY TOTAL SHEET
- DOC-1247 FOOD SERVICE SUPPLY ORDER
- DOC-1332 MEALS SERVED REPORT
- DOC-1332A MEALS SERVED REPORT (SCHOOL)
- DOC-1421 MEAL SIGN-UP
- DOC-1487 MEAL AUTHORIZATION FOR OFFICERS & OFFENDERS
- DOC-1571 BAG LUNCH COUNT SHEET
- DOC-1572 DAILY BAG LUNCH SIGN-IN SHEET - UWH&C
- DOC-1655 KITCHEN SUPPLY ORDER
- DOC-2214 MEAL HEADCOUNT LOG
- DOC-2531 CONTRACT PURCHASE WAIVER REQUEST
- DOC-2712 MENU/MEAL QUALITY ASSURANCE

CONFIDENTIAL:

FEDERAL LAWS:

- 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
- 45 C.F.R. PART 160 PRIVACY OF HEALTH INFORMATION
- 45 C.F.R. PART 164 PROTECTED HEALTH CARE RECORDS
- 42 U.S.C. CHAPTER 13 SCHOOL LUNCH PROGRAMS

STATE STATUTES:

- WIS. STAT. 19.35(1)(AM) SAFETY AND SECURITY
- WIS. STAT. 51.30 MENTAL HEALTH, DEVELOPMENTAL DISABILITIES, AND AODA INFORMATION
- WIS. STAT. 51.47 ALCOHOL AND OTHER DRUG ABUSE (AODA) TREATMENT RECORDS
- WIS. STAT. 71.78(1)(5)(6) REVENUE CONFIDENTIALITY PROVISIONS
- WIS. STAT. 146.82 HEALTH CARE RECORDS
- WIS. STAT. 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
- WIS. STAT. 905.03 LAWYER-CLIENT PRIVILEGE

WIS. STAT. 938.78 JUVENILE RECORDS

RETENTION: EVENT + 3 YEARS AND DESTROY. EVENT IS CREATION

<u>00198000.</u>	<u>SAFETY, SANITATION, AND SECURITY INSPECTIONS, CHECKLISTS OR LOG:</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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CONTENTS: These checklists monitor and report the safety, security and sanitation in the cafeterias and kitchens. In addition, the checklists are reminders for security and daily routine activities. This includes, but is not limited to sanitation, temperatures, food quality, portions, special diets, personnel appearance, and food storage.

PURPOSE: Serves as a reference and is used for documentation purposes in the event of an audit, lawsuit, or inmate complaint and to correct deficiencies.

<u>00200000.</u>	<u>COUNT SLIPS</u>	<u>CR+1</u>	<u>DEST</u>	<u>N</u>
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TO INCLUDE ANY AND ALL APPROVED OFFICIAL COUNT FORMS, TO INCLUDED DOC-648, MASTER COUNT; DOC-898, COUNT SLIP; DOC-959, DAILY POPULATION COUNT; AND ALL OTHER FORMS UTILIZED BY DEPARTMENT OF CORRECTIONS FACILITIES TO DOCUMENT INSTITUTION AND UNIT COUNT. COUNT IS HELD AT VARIOUS TIMES THROUGHOUT THE DAY/24 HOUR PERIOD.

THESE RECORDS PROVIDE AN ACTUAL BODY COUNT OF INMATES ON EACH UNIT OF AN INSTITUTION. COUNT SLIPS ARE USED FOR FORMAL COUNT WHICH IS FORWARDED TO CENTRAL OFFICE.

RETENTION: EVENT (EVENT IS CREATION) + 1 YEAR AND DESTROY

<u>00201000.</u>	<u>SECURITY HEARING RECORDS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORDS SERIES CONSIST OF WORKING FILES FOR EACH INMATE THAT IS USED FOR REFERENCE DURING THE TIME THE INMATE IS INCARCERATED IN THE WISCONSIN STATE PRISON SYSTEM. THESE FILES CAN CONTAIN SECURITY COPIES OF RECORDS RELATED TO CONDUCT REPORTS, ADMINISTRATIVE CONFINEMENT HEARINGS AND OTHER RELATED DOCUMENTS. ADDITIONAL RECORDS MAY ALSO BE RETAINED IN THESE FILES DEPENDING UPON THE NEEDS OF THE INSTITUTION OR FACILITY.

THESE RECORDS ARE ACCESSED BY THE SECURITY OFFICE STAFF, SUPERVISORS, UNIT MANAGERS, PRC AND ICE. THESE RECORDS ARE USED TO PRESERVE AND TRACK ON INMATE COMPLIANCE, NON-COMPLIANCE, AND DISPOSITIONS WHEN THE RULES OF THE INSTITUTIONS ARE VIOLATED. THESE RECORDS ALSO ENSURE THE SAFETY OF DOC STAFF, FACILITIES, AND INMATES THROUGH ENFORCEMENT OF THE ESTABLISHED POLICIES AND PROCEDURES OF THE WISCONSIN STATE PRISON SYSTEM.

RETENTION: EVENT (EVENT IS MAXIMUM DISCHARGE DATE OF INMATE) + 1 YEAR AND DESTROY CONFIDENTIAL

<u>00202000.</u>	<u>RESTRICTED RECORDS / FILES - SECURITY</u>	<u>CR+11</u>	<u>DEST</u>	<u>Y</u>
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THESE RECORDS CONSIST OF A CONFIDENTIAL FILE FOR INMATES INCARCERATED IN THE WISCONSIN STATE PRISON SYSTEM. THESE FILES CONTAIN CONFIDENTIAL SECURITY RECORDS SUCH AS EVIDENCE, CONTRABAND, OR OTHER RESTRICTED GANG RELATED MATERIAL. THESE RECORDS WILL BE FORWARDED TO THE SECURITY OFFICE BY THE ADJUSTMENT COMMITTEE WHEN THERE IS A FINDING OF GUILT.

THESE RECORDS ARE USED FOR REFERENCE AND AS EVIDENCE TO ENSURE THE SAFETY OF DOC STAFF, FACILITIES, AND INMATES THROUGH ENFORCEMENT OF THE ESTABLISHMENT POLICIES AND PROCEDURES OF THE WISCONSIN STATE PRISON SYSTEM. THESE RECORDS ARE ALSO USED TO RESPOND TO LAWSUITS, APPEALS, WRITS, COMPLAINTS, AND/OR REQUESTS FROM OTHER INSTITUTIONS, FACILITIES AND/OR AGENCIES.

RETENTION: EVENT (THE CONCLUSION OF INVESTIGATION, LITIGATION, DUE PROCESS OR ANY OTHER COURT RELATED ACTIVITY) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00204000.</u>	<u>BUREAU OF HEALTH SERVICES (BHS) CENTRAL OFFICE INMATE PATIENT I</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES CONSISTS OF FOLDERS FOR INDIVIDUAL INMATE PATIENTS THAT ARE MAINTAINED IN THE BHS CENTRAL OFFICE THAT CONTAINS LETTERS FROM INMATE PATIENTS AND OTHER INDIVIDUALS ABOUT INMATE PATIENTS, AND RESPONSES BY CENTRAL OFFICE STAFF TO THOSE LETTERS. THE FOLDERS ALSO INCLUDE FORMS RELATING TO DECISIONS MADE BY CENTRAL OFFICE HEALTH CARE PROVIDERS SUCH AS THE MENTAL HEALTH SCREEN FOR WISCONSIN SECURE DETENTION FACILITY, NON-FORMULARY DRUG REQUESTS, AND PRIOR AUTHORIZATION FOR THERAPEUTIC LEVEL OF CARE.

PURPOSE: THE PURPOSE OF THE RECORD SERIES IS TO DOCUMENT DECISIONS OF CENTRAL OFFICE HEALTH PROVIDERS REGARDING CERTAIN TYPES OF PATIENT CARE, AND TO TRACK CORRESPONDENCE RECEIVED BY AND RESPONDED TO BY CENTRAL OFFICE STAFF.

EVENT = DATE ISSUE IS RESOLVED OR SERVICE PROVIDED

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:
DOC-2056 MENTAL HEALTH SCREEN FOR WISCONSIN SECURE PROGRAM FACILITY

DOC-3447 NON-FORMULARY DRUG REQUEST
 DOC-3436 PRIOR AUTHORIZATION FOR NON-URGENT CARE
 DOC-3436A PRIOR AUTHORIZATION FOR THERAPEUTIC LEVEL OF CARE

CONFIDENTIAL:

FEDERAL LAWS:

- 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
- 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
- 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:

- WIS. STAT. § 51.30 RECORDS
- WIS. STAT. § 51.47 ALCOHOL AND OTHER DRUG ABUSE TREATMENT RECORDS
- WIS. STAT. § 146.38 HEALTH CARE SERVICES REVIEW, CONFIDENTIALITY OF INFORMATION
- WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 252.15 RESTRICTIONS OF USE OF AN HIV TEST
- WIS. STAT. § 303.388 PRISONER MEDICAL RECORDS
- WIS. STAT. § 938.78 CONFIDENTIALITY OF RECORDS

WISCONSIN ADMINISTRATIVE CODE:

- WIS. ADMIN CODE § DHS 92.08 CRIMINAL COMMITMENTS

00205000.	<u>BUREAU OF HEALTH SERVICES (BHS) STAFF TRAINING MATERIALS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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CONTENT: THIS RECORD SERIES CONSISTS OF TRAINING-RELATED MATERIALS, SUCH AS POWER POINT PRESENTATIONS AND OTHER TRAINING MODULES, PRODUCED AND APPROVED BY BHS FOR REGULARLY SCHEDULED TRAINING OF HEALTH CARE AND NON-HEALTH CARE STAFF TO EDUCATE THEM ABOUT DOC HEALTH CARE OPERATIONS. TRAINING MODULES ADDRESS RELEVANT LAWS, POLICIES AND PROCEDURES, PROTOCOLS, TREATMENT GUIDELINES, AND OTHER HEALTH RELATED CONCERNS. THE TRAINING MATERIALS ARE UPDATED, AS NEEDED, WHEN BUSINESS PRACTICES CHANGE FOR LEGAL AND HEALTH CARE REASONS.

PURPOSE: BHS USES THE TRAINING MATERIALS TO EDUCATE DOC STAFF ABOUT THEIR LEGAL RESPONSIBILITIES AND BUSINESS PRACTICES RELATED TO CARING FOR OFFENDERS, AND TO FULFILL DOC TRAINING REQUIREMENTS SUCH AS PRE-SERVICE FOR CORRECTIONAL OFFICERS, ORIENTATION FOR BHS EMPLOYEES, AGENT BASIC TRAINING, AND DEPARTMENT-WIDE CONFIDENTIALITY TRAINING.

JUSTIFICATION: THE DOC CONSIDERED ADMINISTRATIVE GRS RDA ADM00012 TRAINING/COURSE MATERIALS AND DETERMINED THAT THE RETENTION OF THIS ONE (EVENT AND DESTROY – EVENT IS SUPERSEDED OR NO LONGER NEEDED) IS NOT LONG ENOUGH FOR THE DOC BHS BUSINESS NEED. THESE BHS TRAINING RECORDS ARE NEEDED TO DOCUMENT CHANGES IN PROCEDURES, PROTOCOLS, TREATMENT GUIDELINES AND OTHER HEALTH RELATED CONCERNS DUE TO THE NATURE OF OUR BUSINESS NEEDS AND POTENTIAL LITIGATION RISK.

EVENT = DATE SUPERSEDED

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:

- NO SPECIFIC TRAINING FORMS ARE USED, BUT BLANK EXAMPLES OF VARIOUS DOC FORMS RELATED TO THE TRAINING TOPICS MAY BE INCLUDED IN THE TRAINING MODULES IN ORDER TO INSTRUCT ATTENDEES ON HOW TO COMPLETE THE FORMS.

00207000.	<u>BUREAU OF HEALTH SERVICES (BHS) AND DIVISION OF JUVENILE CORREC</u>	<u>CR+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES CONSISTS OF PAPER AND ELECTRONIC DOCUMENTS THAT TRACK THE PERFORMANCE BY DAI AND DJC HEALTH CARE STAFF OF REQUIRED ROUTINE WORK DUTIES. EXAMPLES INCLUDE: HEALTH SERVICES UNIT APPOINTMENT BOOKS; FORMS THAT TRACK MEDICATION INVENTORIES; WEEKLY LISTS OF CH. 980 (SEXUALLY VIOLENT PERSON COMMITMENT) ELIGIBLE INMATES AND NOTIFICATION LETTERS; AUDITS OF THE QUALITY OF HEALTH CARE RECORDS AND IMPLEMENTATION OF HEALTH CARE RELATED POLICIES AND PROCEDURES, PROTOCOLS AND TREATMENT GUIDELINES; COLLECTION OF DATA SUCH AS MONTHLY DENTAL PROCEDURES; AND SICK CALL LOGS.

THE DOCUMENTS MAY INCLUDE INFORMATION ABOUT ONE OR MORE OFFENDERS, WHICH ARE NOT FILED IN THE OFFENDER'S HEALTH CARE RECORD. SOME DOCUMENTS MAY INCLUDE INDIVIDUALLY IDENTIFIABLE HEALTH INFORMATION PROTECTED BY WISCONSIN AND FEDERAL CONFIDENTIALITY LAWS.

PURPOSE: COMPLETION OF THE WORK PROCESS RELATED DOCUMENTS ASSISTS EMPLOYEES TO TRACK PERFORMANCE OF THEIR JOB DUTIES. REVIEW OF THE DOCUMENTS ASSISTS THE BHS TO ASSESS COMPLIANCE OF EMPLOYEES WITH REQUIRED BUSINESS PRACTICES, AND DECIDE WHETHER TO MAKE CHANGES IN BUSINESS PRACTICES TO ENHANCE COMPLIANCE.

EVENT = CREATION

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:

- DEA CONTROLLED SUBSTANCE PERPETUAL INVENTORY-HSU MEDICATION ROOM (DOC-3246A)

DEA CONTROLLED SUBSTANCE PERPETUAL INVENTORY- POINT OF DELIVERY (DOC-3246B)
 OPTOMETRY CLINIC LOG (DOC-3117)
 APPOINTMENT LIST (DOC-3123)
 HEALTH CARE RECORD MANAGEMENT TOOL (DOC-3253)
 DCI HEMODIALYSIS MONTHLY SUMMARY (DOC-3486)
 DAILY DENTAL HYGIENIST PROCEDURES (DOC-3477)

CONFIDENTIAL:

FEDERAL LAWS:

21 C.F.R. PART 1304 RECORDS AND REPORTS OF REGISTRANTS
 21 C.F.R. PART 1305 ORDERS FOR SCHEDULE I AND II CONTROLLED SUBSTANCES
 21 C.F.R. PART 1317 DISPOSAL OF CONTROLLED SUBSTANCES
 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:

WIS. STAT. § 51.30 RECORDS
 WIS. STAT. § 51.47 ALCOHOL AND OTHER DRUG ABUSE TREATMENT RECORDS
 WIS. STAT. § 146.38 HEALTH CARE SERVICES REVIEW, CONFIDENTIALITY OF INFORMATION
 WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
 WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
 WIS. STAT. § 252.15 RESTRICTIONS OF USE OF AN HIV TEST
 WIS. STAT. § 303.388 PRISONER MEDICAL RECORDS
 WIS. STAT. §938.78 CONFIDENTIALITY OF RECORDS
 WIS. STAT CH. 961 UNIFORM CONTROLLED SUBSTANCES ACT
 WISCONSIN ADMINISTRATIVE CODE:
 WIS. ADMIN. CODE CH. MED 17 STANDARDS FOR DISPENSING AND PRESCRIBING DRUGS
 WIS. ADMIN CODE CH. PHAR 7 PHARMACY PRACTICE
 WIS. ADMIN CODE CH. PHAR 8 REQUIREMENTS FOR CONTROLLED SUBSTANCES

<u>00209000.</u>	<u>ADULT INSTITUTION CASE FILES - SEX OFFENDER</u>	<u>EVT+60</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF FILES FOR EACH OFFENDER PLACED IN AN ADULT CORRECTIONAL FACILITY UNDER THE AUTHORITY OF THE DEPARTMENT OF CORRECTIONS. THE CONTENT CONSISTING OF SOCIAL SERVICE, LEGAL, VISITOR, AND EDUCATION FILES. A CASE FILE IS CREATED FOR EACH NEW ADMISSION TO AN ADULT CORRECTIONAL FACILITY UNLESS A PREV

NOTE: AN OFFENDER IN THIS RECORDS SERIES HAS BEEN FLAGGED AS A "SEX OFFENDER" BY SEX OFFENDER PROGRAM STAFF BASED ON VARIOUS FACTORS, TO INCLUDE THE OFFENSE STA MOTIVATED, CONVICTION OF SEX CRIME IN ANOTHER STATE OR JURISDICTION, ETC. IT HAS BEEN REQUESTED BY WISCONSIN DOJ TO RETAIN THESE RECORDS AN EXTENDED TIME IN ORD

SOCIAL SERVICE FILE: THE SOCIAL SERVICE FILE HAS A DEFINED FILING ORDER WHICH INCLUDES THE LEFT INNER FILE FOLDER AND HTE RIGHT INNER FILE FOLDER.

THE LEFT SIDE OF THE SOCIAL SERVICE FILE CONTAINS RECORDS RELATED TO THE COMMITMENT & ADMISSION PROCESS, THE ASSESSMENT & EVALUATION PROCESS, PAROLE AND RELEASE

THE RIGHT SIDE OF THE SOCIAL SERVICE FILE CONSISTS OF SIX SEPARATE "SECTIONS" AND THE CONFIDENTIAL ENVELOPE.

THE 6 SECTIONS* ARE:

- SECTION 1 - CHRONOLOGICAL RECORDINGS
- SECTION 2 - INMATE VISITING INFORMATION
- SECTION 3 - CORRESPONDENCE
- SECTION 4 - MISCELLANEOUS
- SECTION 5 - ADULT CONDUCT REPORTS
- SECTION 6 - SENTENCING TRANSCRIPTS

* THE SECTIONS AND CONFIDENTIAL ENVELOPE MAY NOT CONTAIN DOCUMENTS DUE TO NON-EXISTENCE OF DOCUMENTS.

LEGAL FILE: THE LEGAL FILE CONTAINS VARIOUS RECORDS THAT CONSIST OF LEGAL DOCUMENTS NECESSARY FOR THE DEPARTMENT OF CORRECTIONS TO INCARCERATE AN INMATE.

THE LEFT SIDE OF THE FILE CONTAINS THE FOLLOWING:

JUDGMENT OF CONVICTIONS, COURT ORDERS, REVOCATION ORDER AND WARRANTS, SENTENCE COMPUTATIONS, NOTICE OF SENTENCE DATA, OFFENDER CONDUCT RECORD, LEGAL CORRESPONDE

THE RIGHT SIDE OF THE LEGAL FILE CONTAINS THE FOLLOWING:

FINGERPRINTS, DETAINER AND NOTIFICATION INFORMATION, ORDERS TO PRODUCE, RELEASE AND DISCHARGE DOCUMENTS.

VISITOR INFORMATION FILE: THE VISITOR INFORMATION FILE CONTAINS VARIOUS DOCUMENTS RELATED TO THE PROCESS OR APPROVING OR DENYING POTENTIAL INMATE VISITORS. THE REGARDING POTENTIAL INMATE VISITORS.

EDUCATION FILE: THIS FILE CONTAINS TESTING AND EVALUATION RECORDS FOR INMATES WHICH MAY INCLUDE TEST OF ADULT BASIC EDUCATION (TABE) TEST SCORES, STUDENT PROGRE EVALUATION RECORDS.

NOTE: THIS FILE DOES NOT INCLUDE THE SPECIAL FILE

FORMS INCLUDED IN THESE SECTIONS INCLUDE BUT ARE NOT LIMITED TO:

A DETAILED LIST OF THESE FORMS THAT MAY BE INCLUDED IN THESE FILES IS LISTED ON ADDENDUM A* (SOCIAL SERVICE, LEGAL FILE, AND VISITOR INFORMATION FILE).

* FOR CURRENT LISTING, PLEASE CHECK ROP E-14 - INSTITUTION CASE FILE FORMAT, CONTENT, AND DOCUMENTATION.

JUSTIFICATION: THESE RECORDS DOCUMENT AN INMATE'S ACTIVITY, MOVEMENT, CONDUCT, EDUCATION, AND MANY MORE ITEMS LISTED ABOVE. THESE FILES ARE NEEDED IN THE EVENT PROCEEDINGS. THE WISCONSIN DEPARTMENT OF JUSTICE AND DOC STAFF NEEDS FILES FROM PREVIOUS INCARCERATIONS TO DETERMINE IF THERE IS A NEED FOR CHAPTER 980 PROCEEDI

CONFIDENTIAL:

FEDERAL LAWS: SEE HARD COPY

STATE STATUTES: SEE HARD COPY

ADMINISTRATIVE RULES: SEE HARD COPY

RETENTION: EVENT + 60 YEARS AND DESTROY CONFIDENTIAL

EVENT IS TERMINATION DATE. TERMINATION IS DEFINED AS THE DATE THAT THE OFFENDER IS TERMINATED, DIRECT DISCHARGE FROM INSTITUTION OR COURT ORDERED DISCHARGE.

<u>00210000.</u>	<u>ADULT INSTITUTION CASE FILES - SEX OFFENDER (DECEASED)</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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NOTE: THIS IS SIMILAR TO RDA 209, EXCEPT THAT THE OFFENDER HAS BEEN IDENTIFIED AS DECEASED AND THIS FILE WILL NOT BE NEEDED FOR THE EXTENDED RETENTION OF RDA 209 AS THE OFFENDER WILL NOT BE CONSIDERED FOR CHAPTER 980 STATUS.

THIS RECORD SERIES CONSISTS OF FILES FOR EACH OFFENDER PLACED IN AN ADULT CORRECTIONAL FACILITY UNDER THE AUTHORITY OF THE DEPARTMENT OF CORRECTIONS. THE CONTENTS OF EACH OFFENDER CASE FILE INCLUDE FOUR SEPARATE FOLDERS CONSISTING OF SOCIAL SERVICE, LEGAL, VISITOR, AND EDUCATION FILES. A CASE FILE IS CREATED FOR EACH NEW ADMISSION TO AN ADULT CORRECTIONAL FACILITY UNLESS A PREVIOUSLY CREATED CASE FILE HAS YET TO REACH DISCHARGE/TERMINATION.

NOTE: AN OFFENDER IN THIS RECORD SERIES HAS BEEN FLAGGED AS A "SEX OFFENDER" BY SEX OFFENDER PROGRAM STAFF BASED ON VARIOUS FACTORS, TO INCLUDE THE OFFENSE STATUE OF HIS/HER CONVICTION, UNDERLYING CONDUCT WAS SEXUALLY MOTIVATED, CONVICTION OF SEX CRIME IN ANOTHER STATE OR JURISDICTION, ETC.

SOCIAL SERVICE FILE: THE SOCIAL SERVICE FILE HAS A DEFINED FILING ORDER WHICH INCLUDES THE LEFT INNER FILE FOLDER AND THE RIGHT INNER FILE FOLDER.

THE LEFT SIDE OF THE SOCIAL SERVICE FILE CONTAINS RECORDS RELATED TO THE COMMITMENT & ADMISSION PROCESS, THE ASSESSMENT & EVALUATION PROCESS, PAROLE AND RELEASE INFORMATION.

THE RIGHT SIDE OF THE SOCIAL SERVICE FILE CONSISTS OF SIX SEPARATE "SECTIONS" AND THE CONFIDENTIAL ENVELOPE.

THE 6 SECTIONS ARE:

SECTION 1 - CHRONOLOGICAL RECORDINGS

SECTION 2 - INMATE VISITING INFORMATION

SECTION 3 - CORRESPONDENCE

SECTION 4 - MISCELLANEOUS

SECTION 5 - ADULT CONDUCT REPORTS

SECTION 6 - SENTENCING TRANSCRIPTS

* THE SECTIONS ARE CONFIDENTIAL ENVELOPE MAY NOT CONTAIN DOCUMENTS DUE TO NON-EXISTENCE OF DOCUMENTS.

LEGAL FILE: THE LEGAL FILE CONTAINS VARIOUS RECORDS THAT CONSISTS OF LEGAL DOCUMENTS NECESSARY FOR THE DEPARTMENT OF CORRECTIONS TO INCARCERATE AN INMATE.

THE LEFT SIDE OF THE FILE CONTAINS THE FOLLOWING:

JUDGMENT OF CONVICTIONS, COURT ORDERS, REVOCATION ORDER AND WARRANTS, SENTENCE COMPUTATIONS, NOTICE OF SENTENCE DATA, OFFENDER CONDCUT RECORD, LEGAL CORRESPONDENCE, AND OFFENDER DATA.

THE RIGHT SIDE OF THE LEGAL FILE CONTAINS THE FOLLOWING:

FINGERPRINTS, DETAINER AND NOTIFICATION INFORMATION, ORDERS TO PRODUCE, RELEASE AND DISCHARGE DOCUMENTS.

VISITOR INFORMATION FILE: THE VISITOR INFORMATION FILE CONTAINS VARIOUS DOCUMENTS RELATED TO THE PROCESS OF APPROVING OF DENYING POTENTIAL INMATE VISITORS. THE DOCUMENTS IN THIS WILL CONTAIN PII AND CONFIDENTIAL INFORMATION REGARDING POTENTIAL INMATE VISITORS.

EDUCATION FILE: THIS FILE CONTAINS TESTING AND EVALUATION RECORDS FOR INMATE WHICH MAY INCLUDE TEST OF ADULT BASIC EDUCATION (TABE) TEST SCORES, STUDENT PROGRESS REPORTS, HSED/GED TEST RESULTS, CERTIFICATES OF COMPLETION, AND EVALUATION RECORDS.

NOTE: THIS FILE DOES NOT INCLUDE THE SPECIAL EDUCATION FILE.

FORMS INCLUDED IN THESE SECTIONS INCLUDE BUT ARE NOT LIMITED TO:

A DETAILED LIST OF THESE FORMS THAT MAY BE INCLUDED IN THESE FILES IS LISTED IN ADDENDUM A* (SOCIAL SERVICE, LEGAL FILE, AND VISITOR INFORMATION FILE).

* FOR CURRENT LISTING, PLEASE CHECK ROP E-14 - INSTITUTION CASE FILE FORMAT, CONTENT, AND DOCUMENTATION.

CONFIDENTIAL:

FEDERAL LAWS: SEE HARD COPY

STATE STATUTES: SEE HARD COPY

ADMINISTRATIVE RULES: SEE HARD COPY

RETENTION: EVENT + 7 YEARS AND DESTROY CONFIDENTIAL

EVENT IS TERMINATION DATE. TERMINATION IS DEFINED AS THE DATE THAT THE OFFENDER IS TERMINATED, DIRECT DISCHARGE FROM INSTITUTION, COURT ORDERED DISCHARGE, OR DEATH.

<u>00211000.</u>	<u>PAROLE COMMISSION REVIEW LISTS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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CONTENT: THIS IS A MONTHLY SCHEDULE FOR EACH INSTITUTION / CENTER LISTING EACH INMATE SCHEDULED TO BE REVIEWED BY THE PAROLE COMMISSION DURING A SPECIFIC MONTH. THE LIST ALSON CONTAINS BUT NOT LIMITED TO: INMATE DOC NUMBER, PMR/TIS STATUS, PAROLE ELIGIBILITY DATE (PED) AND PREVIOUS PAROLE ACTION.

PURPOSE: THE LIST IS A TRACKING TOOL FOR THE PAROLE COMMISSION TO ENSURE THAT ALL INMATES SCHEDULED FOR THAT SPECIFIC MONTH WERE REVIEWED FOR PAROLE CONSIDERATION. THE COMMISSIONER LOGS THE RESULTS OF EACH INMATE'S REVIEW ON THE LIST AND ALSO NOTES IF AN INMATE WAS NOT AVAILABLE FOR HIS/HER PAROLE REVIEW; E.G. SEG/TLU STATUS, MEDICAL, OUT TO COURT, TRANSFERRED, ETC.

AFTER COMPLETION OF ALL REVIEWS THE PAROLE REVIEW LISTS ARE SENT TO THE PAROLE COMMISSION OFFICE AND FILED IN CHRONOLOGICAL ORDER PER INSTITUTION. THESES LISTS ASSIST IN COMPILING DATA AS TO NUMBER OF INMATES REVIEWED IN A GIVEN MONTH, NUMBER OF FILE REVIEWS AND GRANT RECOMMENDATIONS.

RETAIN 1 YEAR FROM DATE OF CREATION AND DESTROY.

<u>00212000.</u>	<u>BUREAU OF HEALTH SERVICES (BHS) CENTRAL OFFICE MORTALITY REVIE</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES MAINTAINED IN THE BUREAU OF HEALTH SERVICES CENTRAL OFFICE CONSISTS OF INDIVIDUAL IDENTIFYING CONFIDENTIAL DOCUMENTS RELATED TO THE INVESTIGATION OF THE DEATH OF AN OFFENDER WHILE IN A DIVISION OF ADULT INSTITUTIONS OR DIVISION OF JUVENILE CORRECTIONS FACILITY, AS REQUIRED BY EXECUTIVE DIRECTIVE 58, DOC COMMITTEE ON INMATE AND YOUTH DEATHS (COYD). THE RECORDS INCLUDE COPIES OF DOCUMENTS FROM THE DECEDENT'S HEALTH CARE RECORD, SUMMARIES OF RELEVANT DOCUMENTS IN THE HEALTH CARE RECORD, OFFICIAL FORMS COMPLETED BY DOC EMPLOYEES FOR THE INVESTIGATION AT THE FACILITY AT WHICH THE OFFENDER WAS RESIDING AT THE TIME OF DEATH, AND FORMS AND REPORTS COMPLETED BY THE COYD. DEATH CERTIFICATES AND COPIES OF REPORTS BY MEDICAL EXAMINERS AND CORONERS MAY ALSO BE INCLUDED.

PURPOSE: THIS RECORD SERIES DOCUMENTS THE COMPLIANCE BY THE DOC WITH EXECUTIVE DIRECTIVE 58 REGARDING THE DEATH OF AN OFFENDER, AND PROVIDES A VEHICLE FOR DEVELOPING RECOMMENDATIONS TO IMPROVE THE QUALITY OF HEALTH CARE PROVIDED BY THE DOC.

EVENT = DATE THAT REVIEW IS COMPLETED, CLOSED, OR REVISED

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:

DOC-3356 INMATE/YOUTH DEATH REVIEW – INSTITUTION/FACILITY
 DOC-3356A INMATE/YOUTH DEATH REVIEW – MEDICAL DIRECTOR

DOC-3356B INMATE/YOUTH DEATH REVIEW – NURSING COORDINATOR
 DOC-3356C INMATE/YOUTH DEATH REVIEW – MENTAL HEALTH DIRECTOR
 DOC-3356D INMATE/YOUTH DEATH REVIEW – COMMITTEE
 DOC-3356E INMATE/YOUTH DEATH REVIEW – PALLIATIVE CARE PROGRAM

CONFIDENTIAL:

FEDERAL LAWS:

42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:

WIS. STAT. § 51.30 RECORDS
 WIS. STAT. § 51.47 ALCOHOL AND OTHER DRUG ABUSE TREATMENT RECORDS
 WIS. STAT. § 146.38 HEALTH CARE SERVICES REVIEW, CONFIDENTIALITY OF INFORMATION
 WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
 WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
 WIS. STAT. § 252.15 RESTRICTIONS OF USE OF AN HIV TEST
 WIS. STAT. § 303.388 PRISONER MEDICAL RECORDS
 WIS. STAT. §938.78 CONFIDENTIALITY OF RECORDS
 WIS. STAT CH. 961 UNIFORM CONTROLLED SUBSTANCES ACT
 WIS. STAT. §972.15 PRESENTENCE INVESTIGATION

WISCONSIN ADMINISTRATIVE CODE:

WIS. ADMIN CODE § DHS 92.08 CRIMINAL COMMITMENTS
 WIS. ADMIN. CODE CH. MED 17 STANDARDS FOR DISPENSING AND PRESCRIBING DRUGS
 WIS. ADMIN CODE CH. PHAR 7 PHARMACY PRACTICE
 WIS. ADMIN CODE CH. PHAR 8 REQUIREMENTS FOR CONTROLLED SUBSTANCES

<u>00214000.</u>	<u>COSTS AND ESTIMATES</u>	<u>FIS+3</u>	<u>DEST</u>	<u>N</u>
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REPORTS OF VARIOUS OPERATIONS THROUGHOUT THE INDUSTRIES. USED TO ESTABLISH AN ESTIMATED COST OF PRODUCTION AND TO ESTABLISH SELLING PRICE.

RETENTION = FIS + 3 YEARS AND DESTROY

<u>00215000.</u>	<u>CAD DRAWINGS</u>	<u>CR+25</u>	<u>DEST</u>	<u>N</u>
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COMPUTER ASSISTED DRAWINGS WITH SPECIFIC PRODUCTS REFERENCED BY PROJECT NUMBER.

RETENTION = CR + 25 YEARS AND DESTROY CONFIDENTIAL

<u>00216000.</u>	<u>SALES ORDERS - PAPER</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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ITEMIZED LIST OF PRODUCTS AND SERVICES PROVIDED TO CUSTOMERS. THIS INCLUDES DESCRIPTIONS, QUANTITY SOLD, AMOUNTS, CUSTOMER NAME AND NUMBERS, ETC. THESE RECORDS ARRANGED NUMERICALLY.

RETENTION = CR + 3 YEARS AND DESTROY CONFIDENTIAL

<u>00217000.</u>	<u>SALES ORDERS - ELECTRONIC SCANNED</u>	<u>CR+25</u>	<u>DEST</u>	<u>N</u>
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SOFTWARE PROGRAM GENERATES SALES ORDER NUMBER. THIS BECOMES THE OFFICIAL RECORD ONCE THE PAPER RECORD HAS BEEN SCANNED AND DESTROYED.

RETENTION = CR + 25 YEARS AND DESTROY

<u>00218000.</u>	<u>SALES COMMISSION</u>	<u>FIS+3</u>	<u>DEST</u>	<u>N</u>
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QUARTERLY EMPLOYEE COMPENSATION OF SALES DOCUMENTS.

RETENTION = FIS+3 YEARS AND DESTROY

<u>00219000.</u>	<u>SHIPPING ORDERS</u>	<u>FIS+3</u>	<u>DEST</u>	<u>N</u>
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ACKNOWLEDGEMENT ON AN ORDER FOR EACH SHIPMENT LEAVING THE INDUSTRY. USED TO SUPPORT INVOICES AND CONTAINS INFORMATION CONCERNING QUANTITY, DESCRIPTION, SHIPMENT, ETC.

RETENTION = FIS + 3 YEARS AND DESTROY

<u>00220000.</u>	<u>DAIRY CATTLE REGISTRY CERTIFICATES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
	OFFICE CERTIFICATES FROM HOLSTEIN-FRIESIAN ASSOCIATION OF AMERICA SHOWING REGISTRY NUMBER, BIRTH DATE, AND ANCESTRY. RETENTION = EVT+20 YEARS EVENT IS DATE SOLD/DEATH AND DESTROY			
<u>00221000.</u>	<u>INDIVIDUAL LIFETIME COW PERFORMANCE RECORDS</u>	<u>EVT+12</u>	<u>DEST</u>	<u>N</u>
	SHOW THE PERFORMANCE OF EACH COW SUCH AS MILK AND OFFSPRING PRODUCTION AND AN ACCUMULATIVE RECORD OF MILK, TEST, BUTTERFAT, AND CALVES PRODUCED BY EACH COW IN STATE HERDS. RETENTION = EVT+12 YEARS EVENT IS DATE SOLD/DEATH AND DESTROY			
<u>00222000.</u>	<u>HIR PRODUCTION UPDATES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
	RECORDS FOR HERD SHOWING MONTHLY MILK, TEST, AND FAT FOR EACH MILKING COW. RETENTION = EVT+20 YEARS AND DESTROY EVENT IS DATE SOLD/DEATH AND DESTROY			
<u>00223000.</u>	<u>DAIRY AND CREAMERY MONTHLY REPORTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
	MONTHLY DAIRY AND CREAMERY REPORTS INDICATING MILK COST, COMMODITIES ON HAND, ISSUED AND RECEIVED, ETC. RETENTION = EVT+3 YEARS AND DESTROY			
<u>00224000.</u>	<u>LAUNDRY LOAD SHEETS</u>	<u>CR+1</u>	<u>DEST</u>	<u>N</u>
	LISTS WITH BASKET NUMBERS THAT INCLUDE THE TOTAL WEIGHT, TON AND NET OF EACH BASKET OF LAUNDRY SHIPPED TO EACH CUSTOMER. RETENTION = CR + 1 YEARS AND DESTROY			
<u>00225000.</u>	<u>PRINTING JOB JACKETS</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
	ENVELOPES CONTAINING SAMPLES OF WORK TO BE COMPLETED, COPY OF WORK AND JOB CARD INDICATING MATERIAL, TIME IN PRODUCTION AND COST RECORD. RETENTION = CR + 3 YEARS AND DESTROY			
<u>00226000.</u>	<u>LICENSE PLATE SUMMARY</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
	SUMMARY OF SINGLE LICENSE PLATES SHIPPED. ACCUMULATED FROM DAILY PRODUCTION REPORT AND USED FOR FUTURE PRODUCTION. RETENTION = CR + 3 YEARS AND DESTROY			
<u>00227000.</u>	<u>PAROLE HEARING RECORDINGS</u>	<u>EVT+0/6</u>	<u>DEST</u>	<u>Y</u>
	CONTENT: This record series consists of recordings of inmate parole/earned release hearing. These recordings include an introduction by the commissioner; commissioner's name; date and place of hearing; tape number; materials located in the Institution Case File that have been reviewed prior to hearing; inmate name and DOC#. PURPOSE: The purpose of this record is to record the proceedings of an inmate's parole/earned release hearing. Each recording has a pre-assigned number and may contain more than one (1) inmate's hearing. The commissioner conducting the hearing is responsible for recording the hearing. The forms include but are not limited to: None CONFIDENTIAL: Federal Laws: 42 C.F.R. Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records 45 C.F.R. Part 160 Privacy of Health Information 45 C.F.R. Part 164 Protected Health Care Records State Statutes: Wis. Stat. §19.35(1)(am) Safety and Security Wis. Stat. § 19.36(8) Confidential Informant Wis. Stat. §51.30 Mental Health, Developmental Disabilities, and AODA Information			

Wis. Stat. §51.47 Alcohol and Other Drug Abuse (AODA) Treatment Records
 Wis. Stat. §71.78(1)(5)(6) Revenue Confidentiality Provisions Wis. Stat. § 118.125 Pupil Records
 Wis. Stat. §146.82 Health Care Records

Wis. Stat. §146.83 Access to Patient Health Care Records
 Wis. Stat. §165.79 DNA Analysis and Data Bank Wis. Stat. §252 HIV Test Results
 Wis. Stat. §905.03 Lawyer-Client Privilege Wis. Stat. §905.09 Informant
 Wis. Stat. §905.10 Identity of Informer Wis. Stat. §938.78 Juvenile Records Wis. Stat. §950.04(1v) Rights of Victims
 Wis. Stat. §972.15 Pre-Sentence Investigation

Administrative Rules:
 Wis. Admin Code Ch. 309.39(7) Inmate Phone Calls
 Wis. Admin Code Ch. 332.17(7)(a-d) Lie Detector Disclosure of Test Information
 Wis. Admin Code PAC Ch. 1.08(4)(f) Release Due to Extraordinary Health Condition or Age
 See Confidentiality of Records section below and application of the balancing test

EVENT = Date of hearing

<u>00228000.</u>	<u>DCC MENTAL HEALTH RECORDS FOR SEX OFFENDERS</u>	<u>EVT+60</u>	<u>DEST</u>	<u>Y</u>
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CONTENTS: THIS RECORD SERIES CONSISTS OF ALL DOCUMENTS APPROPRIATELY FILED IN THE DCC MENTAL HEALTH RECORD FOR A SEX OFFENDER UNDER SUPERVISION OF THE DIVISION OF COMMUNITY CORRECTIONS.

PURPOSE: THIS RECORD SERIES DOCUMENTS DELIVERY OF MENTAL HEALTH CARE AND ASSISTS IN ENSURING THE DELIVERY OF PROPER CARE TO OFFENDERS UNDER DCC SUPERVISION.

NOTE: DCC MENTAL HEALTH RECORDS FOR OTHER THAN SEX OFFENDERS SHALL BE GOVERNED UNDER SEPARATE RDA.

FEDERAL AND WISCONSIN LAWS PROTECT THE CONFIDENTIALITY OF THIS RECORD SERIES INCLUDING 42 C.F.R. PART 2, 45 C.F.R. PARTS 160, 162, AND 164, AND WISCONSIN STATUTES SS. 146.81-84, S. 51.30(4) AND S. 252.15.

RETENTION = EVENT (TERMINATION FROM DCC SUPERVISION) + 60 YEARS AND DESTROY CONFIDENTIAL

<u>00229000.</u>	<u>DCC MENTAL HEALTH RECORDS</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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CONTENTS: THIS RECORD SERIES CONSISTS OF INDIVIDUALLY IDENTIFIABLE CONFIDENTIAL DOCUMENTS RELATING TO AN OFFENDER PATIENT COMPLETED BY A DCC MENTAL HEALTH PROVIDER (PSYCHOLOGIST OR PSYCHIATRIST), OR BY A PERSON UNDER THE DIRECTION OF A MENTAL HEALTH CARE PROVIDER, AND FILED IN THE OFFICIAL DCC MENTAL HEALTH RECORD MAINTAINED FOR EACH OFFENDER PATIENT.

PURPOSE: THIS RECORD SERIES DOCUMENTS REQUESTS FOR MENTAL HEALTH CARE SERVICES BY OFFENDER PATIENTS OF DCC AGENTS SUPERVISING OFFENDER PATIENTS AND DELIVERY OF MENTAL HEALTH SERVICES WITH THE GOAL OF ENSURING DELIVERY OF APPROPRIATE MENTAL HEALTH CARE TO OFFENDER PATIENTS.

NOTE: DCC MENTAL HEALTH RECORDS FOR SEX OFFENDERS WILL BE GOVERNED UNDER SEPARATE RDA.

FEDERAL AND WISCONSIN LAWS PROTECT THE CONFIDENTIALITY OF THIS RECORD SERIES INCLUDING 42 C.F.R. PART 2, 45 C.F.R. PARTS 160, 162, AND 164, AND WISCONSIN STATUTES SS. 146.81, S.51.30(4) AND S.252.15.

RETENTION = EVENT (TERMINATION OF DCC SUPERVISION) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00230000.</u>	<u>OBSERVATION, CONTROL SEGREGATION, AND RESTRAINT PLACEMENT DOCUMENTS</u>	<u>EVT+11</u>	<u>DEST</u>	<u>Y</u>
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DOC-112 OBSERVATION OF OFFENDER, DOC-112A OBSERVATION OF OFFENDER - CONTINUED, DOC-111 REVIEW OF PLACEMENT OF OFFENDER IN RESTRAINTS; THIS RECORD SERIES DOCUMENTS PLACEMENT DETAILS WHEN AN OFFENDER IS PLACED IN CLINICAL OBSERVATION, MEDICAL OBSERVATION, CONTROL SEGREGATION AND WHEN MECHANICAL RESTRAINTS ARE USED TO CONFINE AN OFFENDER TO HIS/HER BED.

THESE RECORDS ARE USED TO RECORD DETAILS OF PLACEMENT AND CHECKS ON OFFENDERS AS MANDATED BY ADMINISTRATIVE CODE DOC 306 AND DOC 311. THE DOCUMENTS SHOW THE TIME OF THE CHECK, THE STAFF MEMBER COMPLETING THE CHECK AND THE ACTIVITY OR BEHAVIOR OF THE OFFENDER AT THE TIME OF THE CHECK. THIS PROVIDES INFORMATION FOR MEDICAL, CLINICAL AND/OR SECURITY STAFF CONDUCTING REVIEW OF THE PLACEMENT WHEN DETERMINING IF THE PLACEMENT REMAINS NECESSARY.

RETENTION: EVENT(AFTER THE DATE THESE DOCUMENTS HAVE BEEN REVIEWED OR THE DATE THE OFFENDER HAS BEEN REMOVED FROM OBSERVATION, CONTROL SEGREGATION, OR RESTRAINTS) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00231000.</u>	<u>EMPLOYEE HEALTH - ANNUAL TUBERCULOSIS SCREENING AND TESTING</u>	<u>EVT+8</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES CONSISTS OF DOCUMENTS RELATING TO EMPLOYER PROVIDED TB SKIN TESTING AND SCREENING, CONSENTS/REFUSALS BY EMPLOYEES, TEST RESULTS, AND AUTHORIZATIONS FOR DISCLOSURE OF

RESULTS.

PURPOSE: THIS RECORD SERIES ENABLES THE DOC TO KEEP TRACK OF THE ANNUAL TB TESTING AND SCREENING PROVIDED TO EMPLOYEES WHO HAVE BEEN DETERMINED TO WORK IN ENVIRONMENTS THAT PRESENT A RISK OF EXPOSURE TO TB, AND RESULTS OF THE TB TESTS.

EVENT = DATE OF TEST OR TEST READING

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:

- DOC-3190 EMPLOYEE TB SKIN TESTING CONSENT & RECORD
- DOC-3455 EMPLOYEE TB TEST RESULTS
- DOC-1163A AUTHORIZATION FOR USE AND DISCLOSURE OF PROTECTED HEALTH INFORMATION

CONFIDENTIAL:

FEDERAL LAWS:

- 29 C.F.R. § 1904.11 REPORTING CRITERIA FOR WORK/RELATED TUBERCULOSIS
- 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:

- WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS

<u>00232000.</u>	<u>EMPLOYEE HEALTH - HEPATITIS B VACCINATIONS</u>	<u>EVT+30</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES CONSIST OF DOCUMENTS THAT TRACK THE OFFER BY THE EMPLOYER TO PROVIDE HEPATITIS B VACCINATIONS TO EMPLOYEES, CONSENT OR REFUSAL BY EMPLOYEES AND DOCUMENTATION OF THE ADMINISTRATION OF THE HEPATITIS B VACCINATIONS.

PURPOSE: THIS RECORD SERIES ENABLES THE DOC TO KEEP TRACK OF THE OFFER TO ADMINISTER HEPATITIS B VACCINATIONS TO EMPLOYEES, WHETHER THE EMPLOYEE CONSENTED OR REFUSED THE VACCINATIONS, AND THE RECORD OF ADMINISTRATION OF THE VACCINATIONS.

EVENT = DATE OF TERMINATION OF EMPLOYMENT

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:

- DOC-3458 EMPLOYEE HEPATITIS B VACCINE STATUS
- DOC-3368 EMPLOYEE HEPATITIS B VACCINE CONSENT
- DOC-3369 EMPLOYEE MEDICAL HISTORY – HEPATITIS VACCINE
- DOC-1163A AUTHORIZATION FOR USE AND DISCLOSURE OF PROTECTED HEALTH INFORMATION

CONFIDENTIAL:

FEDERAL LAWS:

- 29 C.F.R. § 1910.1030 APP A., BLOOD BORNE PATHOGENS
- 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
- 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:

- WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS

<u>00233000.</u>	<u>OFFENDER RESTRICTION / PRECAUTION RECORDS</u>	<u>CR+11</u>	<u>DEST</u>	<u>Y</u>
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THESE RECORDS CONSIST OF RESTRICTIONS/PRECAUTIONS ON INMATES WHEN PLACED IN SEGREGATION. THESE RECORDS CONTAIN OFFENDER NAME, DOC NUMBER, DATE, SUPERVISOR NAME MAKING PLACEMENT, CONDUCT OF INCIDENT REPORT NUMBER, RESTRICTION PLACEMENT DURATION, REASON FOR PLACEMENT, SPECIFIC RESTRICTIONS AND SECURITY PRECAUTIONS, AND PREVIOUS/CURRENT RESTRICTIONS.

THESE RECORDS ARE USED TO GIVE NOTICE TO THE INMATE AND STAFF WORKING IN THE SEGREGATION UNITS OF RESTRICTIONS AND/OR SECURITY PRECAUTIONS PUT IN PLACE AND THE DURATION.

FOR USE WITH, BUT NOT LIMITED TO DOC -2297, OFFENDER RESTRICTION/PRECAUTION NOTICE.

RETENTION: EVENT(EVENT IS CREATION) + 11 YEARS AND DESTROY CONFIDENTIAL

<u>00234000.</u>	<u>MAIL READ LOGS</u>	<u>CR+11</u>	<u>DEST</u>	<u>Y</u>
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THESE RECORDS LISTS THE MAIL OR ITEM(S) BEING REVIEWED, REASON(S) FOR READING MAIL OR ITEM(S), TYPE OF ITEM, THE SENDER AND THE INTENDED RECIPIENT OF THE MAIL/ITEM AND WHETHER ITEM IS BEING ALLOWED. FOR USE WITH, BUT NOT LIMITED TO DOC-240, MAIL READ LOG.

TO DOCUMENT MAIL OR ITEM(S) RECEIVED THROUGH THE MAIL AND THE REASONS FOR BEING REVIEWED. THE FORM

PROVIDES INSTITUTION WARDENS AND CENTER SUPERINTENDENTS A SUMMARY OF MAIL/ITEMS BEING REVIEWED IN MAILROOMS.

DEPARTMENT OF CORRECTIONS ADMINISTRATIVE CODE 309.05 LENDS DIRECTIVE TO THE PROCEDURES REGARDING INMATE MAIL.

RETENTION: EVENT(EVENT IS CREATION) + 11 YEARS AND DESTROY CONFIDENTIAL

00235000.	<u>OSO INVESTIGATION FILE</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THE OFFICE OF SPECIAL OPERATIONS (OSO) CONDUCTS INVESTIGATIONS OF ALLEGED PRISON RAPE/SEXUAL ASSAULTS AND HARASSMENT. IN ADDITION THEY PERFORM INVESTIGATIONS INTO EMPLOYEE CRIMINAL OR ADMINISTRATIVE ALLEGATIONS RELATED TO THE PRISON RAPE ELIMINATION ACT (PREA).

THIS RECORD SERIES CONTAINS RAPE/SEXUAL ASSAULT AND HARASSEMENT INVESTIGATION FILES THAT ARE REQUIRED TO FOLLOW A UNIFORM EVIDENCE PROTOCOL CONSISTENT WITH OTHER INTERNAL INVESTIGATIONS WITHIN THE DEPARTMENT OF CORRECTIONS.

THE PURPOSE OF THIS RECORDS SERIES IS TO ENSURE THE DEPARTMENT DOES AN INVESTIGATION INTO ALLEGATIONS OF PRISON RAPE AND SEXUAL HARASSMENT UNDER THE NATIONAL PRISON RAPE ELIMINATION ACT (PREA).

ALTHOUGH THE INVESTIGATION IS COMPLETED AND CLOSED THE RETENTION OF PREA RECORDS MANDATE RETENTION UNTIL DISCHARGE PLUS 10 YEARS.

THESE RECORDS MAY BE INVESTIGATIONS OF INMATES, OFFENDER EMPLOYEES, OR DOC EMPLOYEES.

NOTE THAT THESE FILES ARE TO BE RETAINED AFTER THE INVESTIGATION MAY BE CLOSED AFTER THIS IS COMPLETED; THESE RECORDS ARE REQUIRED TO BE RETAINED UNTIL AFTER THE INMATE IS RELEASED FROM DIRECT DISCHARGE, DEATH, OR FINAL TERMINATION. THIS DOES NOT INCLUDE EXTENDED SUPERVISION OR ES STATUS.

THE INVESTIGATION FILE MAY INCLUDE THE FOLLOWING DOCUMENTS BUT ARE NOT LIMITED TO THESE:

- DOC-9 ADULT CONDUCT REPORT
- DOC-9A ADULT CONDUCT REPORT
- DOC-67 NOTICE OF OFFENDER PLACED IN TEMPORARY LOCKUP
- DOC-78 CONFIDENTIAL INFORMANT STATEMENT
- DOC-78A SUMMARY OF CONFIDENTIAL INFORMANT STATEMENT(S)
- DOC-82A OFFENDER ON OFFENDER ASSAULTS
- DOC-239 ORDER TO FORWARD MAIL
- DOC-1163A AUTHORIZATION FOR USE AND DISCLOSURE OF PROTECTED HEALTH INFORMATION (PHI)
- DOC-1271 EMPLOYEE DISCIPLINARY INVESTIGATION
- DOC-1445 EVIDENCE/PROPERTY CHAIN OF CUSTODY
- DJC-1843 CONDUCT REPORT - DJC
- DOC-2135 DAI INVESTIGATIONS - CONFIDENTIAL
- DOC-2416 PREA INVESTIGATION TIME RECORD
- DOC-2666 OSO PREA INVESTIGATION TRACKING AND NUMBER REQUEST
- DOC-2666A OSO PREA INVESTIGATION DISPOSITION MEDICAL EXAM RECORDS FROM LOCAL HOSPITAL PHOTOGRAPHS.

RETENTION: EVENT + 10 YEARS AND DESTROY CONFIDENTIAL
 EVENT = THE DATE INMATE IS TERMINATED/DISCHARGED/DEATH/OR OTHER COURT ORDERED RELEASE FROM PRISON THAT CONCLUDES HIS/HER INCARCERATION, OFFENDER EMPLOYMENT.

00237000.	<u>DEPARTMENTAL INTERNAL POLICIES AND PROCEDURES</u>	<u>EVT+60</u>	<u>DEST</u>	<u>N</u>
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CONTENT: INTERNAL POLICIES AND PROCEDURES INCLUDE A VARIETY OF ORDERS, INSTRUCTIONS, POLICIES, PROCEDURES AND THE HOW TO EXECUTE BUSINESS WITHIN THE DEPARTMENT OF CORRECTIONS. THESE CAN BE ISSUED BY PROGRAM AREAS OR BY A CENTRAL AUTHORITY. THIS RECORD SERIES CONSISTS OF OFFICIAL RECORD FOR INTERNAL DIRECTIVES OR ORDERS DESIGNED TO ADVISE STAFF OF POLICY AND PROCEDURE WHICH MUST BE FOLLOWED AND REQUIRE SPECIFIC ACTION. THESE RECORDS INCLUDE EDUCATIONAL INFORMATIONAL, ADDRESS CHANGES, CHANGES IN OPERATING PROCEDURES, STAFFING CHANGES AND ASSIGNMENTS, CORRESPONDENCE, ETC.

PURPOSE: USED TO DOCUMENT DEPARTMENT OF CORRECTION'S POLICY FOR THE STATE OF WISCONSIN. THESE POLICIES PROVIDE CLEAR, CONCISE DIRECTION TO STAFF AND INDICATE DIRECTION AND INSTRUCTION WHICH IS ESSENTIAL FOR CONSISTENT AND PREDICTABLE DEPARTMENT OPERATIONS. THESE ALSO INCLUDE REQUIRED AND PROHIBITED ACTIONS, NOTIFY STAFF OF NEW ADDRESSES AND PHONE NUMBERS OF CONTACTS, AND KEEP THEM UP-TO-DATE ON OTHER ACTIONS AFFECTING THE DIVISION. THESE PROVIDE DETAILS ABOUT WHAT TO DO, WHAT NOT TO DO, AND WHO DOES IT.
 THEY ALSO AFFECT OVERALL DIRECTION FOR THE DEPARTMENT, ESTABLISH A GOVERNING PRINCIPLE THAT MANDATES OR CONSTRAINS ACTIONS, HAS DEPARTMENT WIDE APPLICATION, CHANGE INFREQUENTLY AND SET THE COURSE FOR THE FORESEEABLE FUTURE AND ENSURE COMPLIANCE OR HELP ENHANCE THE DEPARTMENT'S MISSION.

EXECUTIVE DIRECTIVES ARE APPROVED THROUGH THE OFFICE OF THE SECRETARY. POLICIES AND PROCEDURES ARE WRITTEN BY PROGRAM AREAS.

NOTE THESE MAY BE CALLED BUT NOT LIMITED TO:
 ADMINISTRATIVE DIRECTIVES, EXECUTIVE DIRECTIVES, DAI POLICIES, AND/OR INSTITUTION OR FACILITIES PROCEDURES.

THIS DOES NOT INCLUDE ITEMS INCLUDED IN THE FOLLOWING:
 RDA FAC00001
 RDA ADM00008
 RDA REC0002
 DAI SECURITY INTERNAL MANAGEMENT PROCEDURES(SIMPS)

THE DOC HAS CONSIDERED THE ADMINISTRATIVE GENERAL RECORDS SCHEDULED - RDA - ADM00023 INTERNAL POLICY AND PROCEDURES AND FOUND THAT THIS RECORD SERIES IS NOT LONG ENOUGH FOR OUR BUSINESS AND LEGAL NEEDS.

JUSTIFICATION FOR RETENTION: THE DOC HAS A FEW RECORDS SERIES IT RETAINS SURROUNDING OFFENDER/INMATE RECORDS WHICH HAVE 60 TO 75 YEAR RETENTIONS. THESE INTERNAL POLICIES AND PROCEDURES MAY HAVE AN EFFECT ON PROGRAMS, POLICIES, AND PROCEDURES THAT WERE FOLLOWED DURING A SPECIFIC TIMEFRAME, THEREFORE WE REQUEST TO RETAIN THE POLICIES IN PLACE AT THE TIME, TO ENSURE REFERENCE IF NEEDED. THE 75 YEAR RETENTION WAS DERIVED AT THE LENGTH OF TIME OF THE LONGEST RECORD SERIES RELATED TO OFFENDER/INMATE PROGRAM, TREATMENT AND OTHER ITEMS.

RETENTION: EVENT(EVENT IS DATE APPROVED OR EFFECTIVE DATE) + 75 YEARS AND DESTROY CONFIDENTIAL

<u>00238000.</u>	<u>SUBJECT FILE - USED FOR POSITIONS EXCEPT APPOINTED STAFF OR EQU</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THESE SUBJECT FILES CONTAIN SPECIFIC SUBJECT AREAS RELATING TO DEPARTMENTAL ISSUES.

PURPOSE: SUBJECT FILES ARE USED AS A GUIDELINE OR REFERENCE BY STAFF.

NOTE: MANY ITEMS IN A SUBJECT FILE ARE COPIES AND ARE NOT CONSIDERED A RECORD, HOWEVER IF THE ORIGINAL RECORD IS DESTROYED IN ACCORDANCE WITH THE RDA, THIS COPY MAY THEN BECOME THE AGENCY RECORD. DO NOT RETAIN COPIES LONGER THAN NECESSARY.

FORMS: NO FORMS FOR THIS RDA

THE DOC CONSIDERED ADM00030, HOWEVER THIS RECORD SERIES IS FOR "APPOINTED STAFF OR EQUIVALENT POSITIONS" WITH THE RECORDS TRANSFERRED TO THE WISCONSIN HISTORICAL SOCIETY. AS THERE IS NO GENERAL RECORDS SCHEDULE FOR A SUBJECT FILE RECORD SERIES FOR THOSE OFFICES, BUREAUS, AND PROGRAM, IT HAS BEEN DETERMINED THAT THE DOC IS IN NEED OF A RECORD SERIES FOR THIS TYPE OF RECORD. THERE ARE MANY OFFICES, PROGRAM AREAS, BUREAUS, AND STAFF WHO MAINTAIN SUBJECT FILES.

RETENTION: EVENT(SUPERSEDED OR NO LONGER NEEDED FOR REFERENCE) + 0 AND DESTROY CONFIDENTIAL

<u>00239000.</u>	<u>ADULT INSTITUTION CASE FILES - ICC AND IGA</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF FILES FOR EACH OFFENDER PLACED IN AN ADULT CORRECTIONAL FACILITY UNDER THE AUTHORITY OF THE DEPARTMENT OF CORRECTIONS UNDER THE INTERSTATE CORRECTIONS COMPACT (ICC) OR INTERGOVERNMENTAL AGREEMENT (IGA). THE CONTENTS OF EACH OFFENDER CASE FILE INCLUDE FOUR SEPARATE FOLDERS CONSISTING OF SOCIAL SERVICE, LEGAL, VISITOR, AND EDUCATION FILES. AS CASE FILE IS CREATED FOR EACH NEW ADMISSION TO AN ADULT CORRECTIONAL FACILITY UNDER IGA OR ICC.

SOCIAL SERVICE FILE: THE SOCIAL SERVICE FILE HAS A DEFINED FILING ORDER WHICH INCLUDES THE LEFT INNER FILE FOLDER AND THE RIGHT INNER FILE FOLDER.

THE LEFT SIDE OF SOCIAL SERVICE FILE CONTAINS RECORDS RELATED TO THE COMMITMENT & ADMISSION PROCESS, THE ASSESSMENT & EVALUATION PROCESS, PAROLE AND RELEASE INFORMATION.

THE RIGHT SIDE OF THE SOCIAL SERVICE FILE CONSISTS OF SIX SEPARATE "SECTIONS" AND THE CONFIDENTIAL ENVELOPE.

THE 6 SECTIONS* ARE:

- SECTION 1 - CHRONOLOGICAL RECORDINGS
- SECTION 2 - INMATE VISITING INFORMATION
- SECTION 3 - CORRESPONDENCE
- SECTION 4 - MISCELLANEOUS
- SECTION 5 - ADULT CONDUCT REPORTS
- SECTION 6 - SENTENCING TRANSCRIPTS

*THE SECTIONS AND CONFIDENTIAL ENVELOPE MAY NOT CONTAIN DOCUMENTS DUE TO NON-EXISTENCE OF DOCUMENTS.

LEGAL FILE: THE LEGAL FILE CONTAINS VARIOUS RECORDS THAT CONSIST OF LEGAL DOCUMENTS NECESSARY FOR

THE DEPARTMENT OF CORRECTIONS TO INCARCERATE AN INMATE.

THE LEFT SIDE OF THE FILE CONTAINS THE FOLLOWING:

JUDGMENT OF CONVICTIONS, COURT ORDERS, REVOCATION ORDER AND WARRANTS, SENTENCE COMPUTATIONS, NOTICE OF SENTENCE DATA, OFFENDER CONDUCT RECORD, LEGAL CORRESPONDENCE, AND OFFENDER DATA.

THE RIGHT SIDE OF THE LEGAL FILE CONTAINS THE FOLLOWING:

FINGERPRINTS, DETAINER AND NOTIFICATION INFORMATION, ORDERS TO PRODUCE, RELEASE AND DISCHARGE DOCUMENTS.

VISITOR INFORMATION FILE: THE VISITOR INFORMATION FILE CONTAINS VARIOUS DOCUMENTS RELATED TO THE PROCESS OF APPROVING OR DENYING POTENTIAL INMATE VISITORS. THE DOCUMENTS IN THIS WILL CONTAIN PII AND CONFIDENTIAL INFORMATION REGARDING POTENTIAL INMATE VISITORS.

EDUCATION FILE: THIS FILE CONTAINS TESTING AND EVALUATION RECORDS FOR INMATES WHICH MAY INCLUDE TEST OF ADULT BASIC EDUCATION (TABE) TEST SCORES, STUDENT PROGRESS REPORTS, HSED/GED TEST RESULTS, CERTIFICATES OF COMPLETION, AND EVALUATION RECORDS.

NOTE: THIS FILE DOES NOT INCLUDE THE SPECIAL EDUCATION FILE.

FORMS INCLUDED IN THESE SECTIONS INCLUDE BUT ARE NOT LIMITED TO:

A DETAILED LIST OF THESE FORMS THAT MAY BE INCLUDED IN THESE FILES IS LISTED ON ADDENDUM A* (SOCIAL SERVICE, LEGAL FILE, AND VISITOR INFORMATION FILE)

* FOR CURRENT LISTING, PLEASE CHECK ROP E-14 - INSTITUTION CASE FILE FORMAT, CONTENT, AND DOCUMENTATION.

CONFIDENTIAL:
 FEDERAL LAWS: SEE HARD COPY
 STATE STATUTES: SEE HARD COPY
 ADMINISTRATIVE RULES: SEE HARD COPY

RETENTION: EVENT + 7 YEARS AND DESTROY CONFIDENTIAL
 EVENT IS DATE OF RETURN TO SENDING STATE OR DEATH
 RETURN TO SENDING STATE IS DEFINED AS THE DATE THAT HTE OFFENDER IS RETURNED TO THE SENDING STATE'S CUSTODY WITHOUT PLAN TO RETURN

<u>00240000.</u>	<u>MOVEMENT OF POPULATION</u>	<u>EVT+100</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF LOGS OF ALL OFFENDERS ADMITTED AND RELEASED AT EACH FACILITY. THESE DOCUMENTS CAN BE EITHER HANDWRITTEN OR TYPED ON PAPER FORMS, OF COMPUTERIZED FORMS.

THE FORMS INCLUDE BUT ARE NOT LIMITED TO: DOC-733 MOVEMENT OF POPULATION, DOC-910 MOVEMENT OF POPULATION, AND IPTR154 MOVEMENT OF POPULATION.

THESE LOGS CONTAIN OFFENDER NAMES, DOC NUMBERS, DATE OF MOVEMENT, TIME OF MOVEMENT, SENDING LOCATION, RECEIVING LOCATION, REASON FOR MOVEMENT (COURT, MEDICAL, TRANSFER TO AND FROM ANOTHER FACILITY).

THESE RECORDS ARE UTILIZED TO DOCUMENT AND IDENTIFY TRENDS IN INMATE POPULATION. INFORMATION IDENTIFIED WOULD INCLUDE INCREASES AND DECREASES IN INMATE POPULATION, INMATE DEMOGRAPHICS AND COMMITTING OFFENSES.

JUSTIFICATION:
 THE LIFE SPAN OF A PERSON CAN BE UP TO 100 YEARS AND THE DEPARTMENT HAS OFFENDER'S THAT RECEIVE SENTENCES OF THAT LENGTH SO IN ORDER TO ALLOW VERIFICATION OF CUSTODY IN A PRISON, THE MOVEMENT OF POPULATION IS NEEDED AS A BACKUP TO OUR DATA SYSTEMS. OUR DATA SYSTEMS ONLY DATE BACK TO 1983 AND THE EXTENDED RETENTION PERIOD ENSURES THE RETENTION OF PRISON CUSTODY RECORDS RELATED TO ANY PERSON WHO FALLS WITHIN THE 100-YEAR LIFE SPAN.

CONFIDENTIAL:
 FEDERAL LAWS:
 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
 45 C.F.R. PART 160 PRIVACY OF HEALTH INFORMATION
 45 C.F.R. PART 164 PROTECTED HEALTH CARE RECORDS

STATE STATUTES:
 WIS. STAT. 51.30 MENTAL HEALTH, DEVELOPMENTAL DISABILITIES, AND AODA INFORMATION
 WIS. STAT. 51.47 ALCOHOL AND OTHER DRUG ABUSE (AODA) TREATMENT RECORDS
 WIS. STAT. 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS

ADMINISTRATIVE RULES:

WIS. ADMIN CODE PAC CH. 1.08(4)(F) RELEASE DUE TO EXTRAORDINARY HEALTH CONDITION OR AGE

SEE CONFIDENTIALITY OF RECORDS SECTION BELOW AND APPLICATION OF BALANCING TEST

RETENTION: EVENT + 100 YEARS AND DESTROY CONFIDENTIAL
EVENT = DATE OF MOVEMENT

<u>00241000.</u>	<u>TRANSFER FILE CHECK-IN LOGS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF LOGS OF ALL OFFENDER FILES RECEIVED FOR OFFENDERS THAT HAVE TRANSFERRED IN TO A FACILITY. THESE LOGS ARE USED TO DOCUMENT THE RECEIPT OF FILES AND TRACK FOLLOW UP UPON NON-RECEIPT.

THESE LOGS CONTAIN OFFENDER NAMES, DOC NUMBERS, DATE OF MOVEMENT, SENDING LOCATION, FILES RECEIVED.

CONFIDENTIAL:

FEDERAL LAWS: 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS

STATE STATUTES: WIS. STAT. 51.30 MENTAL HEALTH, DEVELOPMENTAL DISABILITIES, AND AODA INFORMATION
WIS. STAT. 51.47 ALCOHOL AND OTHER DRUG ABUSE (AODA) TREATMENT RECORDS
WIS. STAT. 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS

ADMINISTRATIVE RULES: WIS. ADMIN CODE PAC CH. 1.08(4)(F) RELEASE DUE TO EXTRAORDINARY HEALTH CONDITION OR AGE

SEE CONFIDENTIALITY OF RECORDS SECTION BELOW AND APPLICATION OF THE BALANCING TEST.

RETENTION: EVENT + 2 YEARS AND DESTROY CONFIDENTIAL
EVENT IS DATE OFFENDER TRANSFERS INTO THE FACILITY

<u>00242000.</u>	<u>OFFENDER FILE TRANSFER LISTS</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES CONSISTS OF LISTS OF ALL OFFENDER FILES SENT FROM ONE FACILITY TO ANOTHER.

THE FORMS INCLUDE BUT ARE NOT LIMITED TO: DOC-2329 OFFENDER FILE TRANSFER LIST

CONFIDENTIAL:

FEDERAL LAWS: 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS

STATE STATUTES: WIS. STAT. 51.30 MENTAL HEALTH, DEVELOPMENTAL DISABILITIES, AND AODA INFORMATION
WIS. STAT. 51.47 ALCOHOL AND OTHER DRUG ABUSE (AODA) TREATMENT RECORDS
WIS. STAT. 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS

ADMINISTRATIVE RULES:
WIS. ADMIN CODE PAC CH.1.08(4)(F) RELEASE DUE TO EXTRAORDINARY HEALTH CONDITION OR AGE

SEE CONFIDENTIALITY OF RECORDS SECTION BELOW AND APPLICATION OF THE BALANCING TEST

RETENTION: EVENT + 1 MONTH AND DESTROY CONFIDENTIAL. EVENT IS DATE FILE TRANSFERS OUT OF FACILITY.

<u>00243000.</u>	<u>PHARMACY OPERATIONS RECORDS - GENERAL</u>	<u>CR+1</u>	<u>DEST</u>	<u>N</u>
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CONTENT: THIS RECORD SERIES CONSISTS OF ALL DOCUMENTS RELATING TO GENERAL PHARMACY OPERATIONS THAT ARE NOT RELATED TO THE PURCHASE, DISPENSING, OR DESTRUCTION OF FEDERALLY CONTROLLED SUBSTANCES.

THIS INCLUDES DOCUMENTS SUCH AS BUT NOT LIMITED TO WHOLESALER/SUPPLIER INVOICES (NON-CONTROLLED SUBSTANCES) DISPENSING SYSTEM QUARTERLY REPORTS, CLINICAL UPDATES AND COMMUNICATION, GENERAL DRUG INVENTORIES, PHARMACY RECLAMATION REPORTS, OR ANY GENERAL PHARMACY REPORTS RELATED TO OPERATION, BUDGET, EDUCATION CREATED ON AN AD-HOC BASIS.

THE RECORDS DO NOT INCLUDE PROTECTED HEALTH INFORMATION ABOUT INDIVIDUAL INMATE PATIENTS OR DJC YOUTH AND ARE NOT PROTECTED UNDER CONFIDENTIALITY OF LAW.

PURPOSE: THESE RECORDS ARE USED TO PURCHASE, MAINTAIN, ANALYZE, EDUCATE, OR DELIVER PHARMACEUTICAL SERVICES PROVIDED BY BUREAU OF HEALTH SERVICES (BHS) – CENTRAL PHARMACY.

EVENT = CREATION

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:
DOC-3651 BLANK PRESCRIPTION DRUG STOCK DISPENSING LABEL
DOC-3651A BLANK PRESCRIPTION PRE-PACK LABEL

CONFIDENTIAL: NONE

<u>00244000.</u>	<u>PHARMACY PRESCRIPTION RECORDS</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES CONSISTS INCLUDES ALL DOCUMENTS RELATED TO THE RECEIPT, PROCESSING, FILLING, REFILLING, FILLING AND STORAGE OF PRESCRIPTION INFORMATION, AND THE COMPLETE ELECTRONIC PRESCRIPTION RECORD CONTAINED WITHIN THE PHARMACY DISPENSING SYSTEM. THIS RECORD INCLUDES DOCUMENTS SUCH AS BUT NOT LIMITED TO: PRESCRIBER'S ORDERS (DOC-3023) AND VARIANTS, CONTROLLED SUBSTANCE PRESCRIPTION BLANK (DOC-92A), A COMPLETE PRESCRIPTION HISTORY OF ALL PRESCRIPTIONS PROCESSED BY BUREAU OF HEALTH SERVICES (BHS) – CENTRAL PHARMACY CONTAINED WITHIN THE PHARMACY DISPENSING SYSTEM AND ALL HARD COPY PRESCRIPTION RECORDS CREATED BY BHS – CENTRAL PHARMACY.

PURPOSE: THESE RECORDS ARE CREATED TO MAINTAIN A COMPLETE, ACCURATE, AND CONFIDENTIAL RECEIPT AND DISPENSING RECORD FOR ALL PRESCRIPTIONS PROCESSED BY BHS - CENTRAL PHARMACY.

EVENT = CREATION

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:
 DOC-3023 PRESCRIBER'S ORDERS AND VARIANTS OF THIS FORM
 DOC-92A CONTROLLED SUBSTANCE PRESCRIPTION BLANK

CONFIDENTIAL:

FEDERAL LAWS:

- 21 C.F.R. PART 1304 RECORDS AND REPORTS OF REGISTRANTS
- 21 C.F.R. PART 1305 ORDERS FOR SCHEDULE I AND II CONTROLLED SUBSTANCES
- 21 C.F.R. PART 1317 DISPOSAL OF CONTROLLED SUBSTANCES
- 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
- 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
- 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:

- WIS. STAT. § 51.30 RECORDS
- WIS. STAT. § 51.47 ALCOHOL AND OTHER DRUG ABUSE TREATMENT RECORDS
- WIS. STAT. § 146.38 HEALTH CARE SERVICES REVIEW, CONFIDENTIALITY OF INFORMATION
- WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 252.15 RESTRICTIONS OF USE OF AN HIV TEST
- WIS. STAT. § 303.388 PRISONER MEDICAL RECORDS
- WIS. STAT. §938.78 CONFIDENTIALITY OF RECORDS
- WIS. STAT CH. 961 UNIFORM CONTROLLED SUBSTANCES ACT

WISCONSIN ADMINISTRATIVE CODE:

- WIS. ADMIN. CODE CH. MED 17 STANDARDS FOR DISPENSING AND PRESCRIBING DRUGS
- WIS. ADMIN CODE CH. PHAR 7 PHARMACY PRACTICE
- WIS. ADMIN CODE CH. PHAR 8 REQUIREMENTS FOR CONTROLLED SUBSTANCES

<u>00245000.</u>	<u>PHARMACY OPERATIONS RECORDS - CONTROLLED SUBSTANCES</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES CONSIST OF ALL DOCUMENTS RELATED TO THE PURCHASE, INVENTORY, DISPENSING, OR DESTRUCTION OF FEDERALLY CONTROLLED SUBSTANCES STORED AT BHS – CENTRAL PHARMACY OR ANY DOC CORRECTIONAL INSTITUTION OR CENTER HSU.

EVENT = CREATION

THIS RECORD INCLUDES DOCUMENTS SUCH AS BUT NOT LIMITED TO: WHOLESALER/SUPPLIER CONTROLLED SUBSTANCE INVOICES (CENTRAL PHARMACY/HSU OFFICIAL RECORD – NOT THE ORIGINAL WHICH IS RETAINED IN FISCAL), CONTROLLED SUBSTANCE INVENTORY REPORTS, CLASS II AND III DELIVERY VERIFICATION (DOC-3719 AND DOC-3720), EXECUTED ELECTRONIC DEA FORM 222, REVERSE DISTRIBUTOR REPORTS. THE RECORDS DO NOT INCLUDE PROTECTED HEALTH INFORMATION ABOUT INDIVIDUAL INMATE PATIENTS, AND ARE NOT PROTECTED UNDER CONFIDENTIALITY OF LAW.

PURPOSE: THE PURPOSE OF THESE RECORDS ARE TO MAINTAIN A COMPLETE AND ACCURATE RECORD OF ALL CONTROLLED SUBSTANCES RECEIVED, DISPENSED OR DESTROYED DURING THE COURSE OF BUSINESS AT BHS – CENTRAL PHARMACY OR ANY DOC CORRECTIONAL INSTITUTION OR CENTER HSU.

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:
 DOC-3719 CLASS II MEDICATION DELIVER VERIFICATION
 DOC-3720 CLASS III, IV, V MEDICATION DELIVERY VERIFICATION
 DOC-3499 CONTROLLED SUBSTANCE INVENTORY LOG
 DEA FORM 222 U.S. OFFICIAL ORDER FORMS – SCHEDULES I & II

CONFIDENTIAL:

FEDERAL LAWS:

- 21 C.F.R. PART 1304 RECORDS AND REPORTS OF REGISTRANTS
- 21 C.F.R. PART 1305 ORDERS FOR SCHEDULE I AND II CONTROLLED SUBSTANCES
- 21 C.F.R. PART 1317 DISPOSAL OF CONTROLLED SUBSTANCES
- 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
- 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
- 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:

- WIS. STAT. § 51.30 RECORDS
- WIS. STAT. § 51.47 ALCOHOL AND OTHER DRUG ABUSE TREATMENT RECORDS
- WIS. STAT. § 146.38 HEALTH CARE SERVICES REVIEW, CONFIDENTIALITY OF INFORMATION
- WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 252.15 RESTRICTIONS OF USE OF AN HIV TEST
- WIS. STAT. § 303.388 PRISONER MEDICAL RECORDS
- WIS. STAT. §938.78 CONFIDENTIALITY OF RECORDS
- WIS. STAT CH. 961 UNIFORM CONTROLLED SUBSTANCES ACT

WISCONSIN ADMINISTRATIVE CODE:

- WIS. ADMIN. CODE CH. MED 17 STANDARDS FOR DISPENSING AND PRESCRIBING DRUGS
- WIS. ADMIN CODE CH. PHAR 7 PHARMACY PRACTICE
- WIS. ADMIN CODE CH. PHAR 8 REQUIREMENTS FOR CONTROLLED SUBSTANCES

00245A00. **PHARMACY OPERATIONS RECORDS - CONTROLLED SUBSTANCES POWER** **EVT+5** **DEST** **Y**

CONTENT: THIS PAPER RECORD SERIES CONSISTS OF THE POWER OF ATTORNEY (POW) FOR DRUG ENFORCEMENT AGENCY (DEA) FORMS 222 AND ELECTRONIC ORDERS (DOC-3656).

PURPOSE: THE PURPOSE OF THESE RECORDS IS TO AUTHORIZE THE ATTORNEY-IN-FACT TO EXECUTE APPLICATIONS FOR DEA FORM 222 AND TO SIGN ORDERS FOR SCHEDULE I OR II CONTROLLED SUBSTANCES WHETHER THESE ORDERS ARE ON DEA FORM 222 OR ELECTRONIC IN ACCORDANCE WITH 21 U.S.C. 828 AND 21 C.F.R. PART 1305 ORDERS FOR SCHEDULE I AND II CONTROLLED SUBSTANCES.

EVENT = DATE OF REVOCATION

NOTE: 21 C.F.R. 1305 GOVERNS RECORDS RELATED TO THE EXECUTION OF DEA FORM 222 OR ELECTRONIC. THE POA IS MAINTAINED ON SITE AND REMAINS IN EFFECT UNTIL REVOKED.

THE FORMS INCLUDE BUT ARE NOT LIMITED TO:

- DEA FORM 222 U.S. OFFICIAL ORDER FORMS – SCHEDULES I & II

CONFIDENTIAL:

FEDERAL LAWS:

- 21 C.F.R. PART 1304 RECORDS AND REPORTS OF REGISTRANTS
- 21 C.F.R. PART 1305 ORDERS FOR SCHEDULE I AND II CONTROLLED SUBSTANCES
- 21 C.F.R. PART 1317 DISPOSAL OF CONTROLLED SUBSTANCES
- 42 C.F.R. PART 2 CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS
- 45 C.F.R. PART 160 GENERAL ADMINISTRATIVE REQUIREMENTS
- 45 C.F.R. PART 164 SECURITY AND PRIVACY

WISCONSIN STATE STATUTES:

- WIS. STAT. § 51.30 RECORDS
- WIS. STAT. § 51.47 ALCOHOL AND OTHER DRUG ABUSE TREATMENT RECORDS
- WIS. STAT. § 146.38 HEALTH CARE SERVICES REVIEW, CONFIDENTIALITY OF INFORMATION
- WIS. STAT. § 146.82 CONFIDENTIALITY OF PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 146.83 ACCESS TO PATIENT HEALTH CARE RECORDS
- WIS. STAT. § 252.15 RESTRICTIONS OF USE OF AN HIV TEST
- WIS. STAT. § 303.388 PRISONER MEDICAL RECORDS
- WIS. STAT. §938.78 CONFIDENTIALITY OF RECORDS
- WIS. STAT CH. 961 UNIFORM CONTROLLED SUBSTANCES ACT

WISCONSIN ADMINISTRATIVE CODE:

- WIS. ADMIN. CODE CH. MED 17 STANDARDS FOR DISPENSING AND PRESCRIBING DRUGS
- WIS. ADMIN CODE CH. PHAR 7 PHARMACY PRACTICE
- WIS. ADMIN CODE CH. PHAR 8 REQUIREMENTS FOR CONTROLLED SUBSTANCES

RDA #	RDA Title	Retention	Disposition	PII
<u>00111000.</u>	<u>CUMULATIVE ATTENDANCE RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	Attendance is taken at approximate 45 minute intervals each period of the school day and during after school activities. These attendance records are used for tracking of student attendance in educational and treatment programming. These records will record the reason for an absence and how many class periods a youth actually attended for each class the youth was assigned to attend.			
	All attendance records are retained electronically as of 01/01/99. Therefore, all paper records covered by this retention schedule will be destroyed by 01/01/04, thereby making this RDA obsolete.			
<u>00111A00.</u>	<u>CUMULATIVE ATTENDANCE RECORDS-ELECTRONIC</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
	Attendance is taken at approximate 45 minute intervals each period of the school day and during after school activities. These attendance records are used for tracking of student attendance in educational and treatment programming. These records will record the reason for an absence and how many class periods a youth actually attended for each class the youth was assigned to attend.			
	These attendance records are recorded and kept electronically. Electronic attendance allows for easier access for off site program documentation and to provide a clear and accurate account within minutes of data entry.			
<u>00300000.</u>	<u>COTTAGE RECORDS - POPULATION BREAKDOWN LOGS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
	CONTENT: FOR USE WITH, BUT NOT LIMITED TO THE DOC-906, MIDNIGHT POPULATION BREAKDOWN LOG; AND THE DOC-906A, SECURITY POPULATION BREAKDOWN LOG. DOC-906 LOGS THE MIDNIGHT POPULATION OF JUVENILES AT THE INSTITUTION BY COUNT DATE AND TIME AND BY COTTAGE. THE DOC-906A LOGS THE POPULATION OF JUVENILES AT THE INSTITUTION BY COUNT DATE AND TIME AND BREAKS DOWN THE POPULATION COUNT OF EACH COTTAGE/LIVING UNIT BY THE PHYSICAL LOCATION OF JUVENILES ON GROUNDS, OFF GROUNDS, OR CONTROL STATUS, AND THE REASON FOR DOING THE COUNT IS ALSO GIVEN.			
	PURPOSE: THESE REPORTS ARE USED SOLEY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS, SUCH AS THE FRIDAY POPULATION REPORT, SENT OUT OF THE INSTITUTION. WRITTEN COUNTS ARE REQUIRED PER CHAPTER DOC376.06 OF THE WISCONSIN ADMINISTRATIVE CODE.			
<u>00301000.</u>	<u>COTTAGE RECORDS-ROOM CHECK</u>	<u>CR+1</u>	<u>DEST</u>	<u>N</u>
	CONTENT: For use with, but not limited to the DOC-1617, Room Check. This is a checklist of fixtures, furniture, and appliances inspected in a juvenile offender's room for damage/signs of tampering.			
	PURPOSE: The report is used solely within the institution for immediate informational purposes. Some of the information may be transferred to other reports which are sent out of the institution.			
<u>00302000.</u>	<u>COTTAGE RECORDS-DAILY OUTTIME -SCHOOL DAYS</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
	CONTENT: For use with, but not limited to the DOC-1755, Daily Outtime-School Days. This form is a daily school activity schedule that lists juveniles by name and assigned group. Each group follows its preprinted schedule of class time, shower time, and recreation time.			
	PURPOSE: The report is used solely within the institution for immediate informational purposes. Some of the information may be transferred to other reports which are sent out of the institution.			
<u>00303000.</u>	<u>COTTAGE RECORDS - DAILY DEPARTMENT INSPECTION RECORD</u>	<u>CR+1</u>	<u>DEST</u>	<u>N</u>
	CONTENT: FOR USE WITH, BUT NOT LIMITED TO THE DOC-1604, DAILY DEPARTMENT INSPECTION RECORD IS INITIALED DAILY BY THE LINE SUPERVISOR AT EACH INSTITUTION, TO VERIFY SECURITY STAFF WERE PRESENT. THE FORM COVERS ONE YEAR.			
	PURPOSE: THE REPORT IS USED SOLEY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. IT DOCUMENTS THAT A SHIFT SUPERVISOR CHECKED IN ON A LIVING UNIT. THE SHIFT SUPERVISOR CHECKS ON THE TONE/CLIMATE OF THE COTTAGE AND CHECKS IN WITH STAFF FOR ANY SUPERVISORY NEEDS, BUT IS NOT FOLLOWING ANY CHECKLIST. THIS FORM DOCUMENTS ALL INSPECTIONS FOR ONE YEAR. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.			
	RETENTION: DETAIN FOR ONE YEAR AFTER CREATION AND THEN DESTROY.			
<u>00304000.</u>	<u>COTTAGE RECORDS-ADMISSIONS ASSIGNMENT LOG</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
	CONTENT: For use with, but not limited to the DOC-1601, Admissions Assignment Log. This form lists the DOC J number, name of juvenile, date, county of commitment, and the social worker assigned to the new admission.			
	PURPOSE: The report is used solely within the institution for immediate informational purposes. Some of the information may be transferred to other reports sent out of the institution.			
	NOTE: Each inmate/juvenile offender is assigned a unique six-digit identification number known as the "J-number".			

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00305000. **COTTAGE RECORDS-PATROL TIME CHECK RECORD** **CR+1** **DEST** **N**

CONTENT: For use with, but not limited to the DOC-1603, Patrol Time Check Record. These records log the date and time security officers make security checks within institution buildings and on grounds.

PURPOSE: The report is used solely within the institution for immediate informational purposes. Some of the information may be transferred to other reports which are sent out of the institution.

00306000. **COTTAGE RECORDS-RELEASE, DISCHARGE AND TRANSFER LOGCORD** **CR+1** **DEST** **Y**

CONTENT: For use with, but not limited to the DOC-1600, Release, Discharge and Transfer Log. This lists the DOC J number, name of juvenile, date, county of commitment, and destination of the juvenile being released or transferred.

PURPOSE: The report is used solely within the institution for immediate informational purposes. Some of the information may be transferred to other reports which are sent out of the institution.

NOTE: Each inmate/juvenile offender is assigned a six-digit identification number known as the "J-number".

00307000. **COTTAGE RECORDS-ROOM SEARCH REPORT** **CR+1** **DEST** **Y**

CONTENT: For the use with, but not limited to the DOC-1612, Room Search Report. This report lists name of juvenile, date, room number, cottage, name of persons conducting/approving search, reason for search, items found, and other pertinent information as required by Chapter DOC376.12 of the Wisconsin Administrative Code.

PURPOSE: The report is used solely within the institution for immediate informational purposes. Some of the information may be transferred to other reports which are sent out of the institution.

00308000. **COTTAGE RECORDS - SECURITY DEVICE INSPECTION REPORT** **CR+1** **DEST** **N**

CONTENT: FORM DOC-1692 IS A CHECKLIST OF EQUIPMENT AND FIXTURES, SUCH AS WAIST CHAINS, METAL DETECTORS, PORTABLE RADIOS, COTTAGE WINDOWS, DOOR LOCKS, COUNSELOR'S KEYS, FIRST AID KITS.

PURPOSE: INSPECTIONS ARE DONE BY COTTAGE TO ENSURE EQUIPMENT IS OPERABLE AND THE REPORT IS TURNED TO THE INSTITUTION SECURITY DIRECTOR WEEKLY ON MONDAYS. THE REPORT IS SOLEY USED WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN ONE YAER AFTER CREATION AND DESTROY.

00310000. **COTTAGE RECORDS - VEHICLE TRIP LOG** **EVT+3** **DEST** **N**

CONTENT: FORM DOC-1649 LISTS INSTITUTION STAFF'S VEHICLE USE BY TRIP DATE, VEHICLE NUMBER, TIME OUT AND IN, DESTINATION, AND STAFF MEMBER NAMES.

PURPOSE: THE REPORT IS USED SOLEY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN 3 YEARS AND DESTROY.

00312000. **COTTAGE RECORDS - COUNSELOR'S LOG** **EVT+5** **DEST** **N**

CONTENT: INCLUDES SEVERAL VERSIONS, BUT NOT LIMITED TO-- DOC-565 COUNSELOR'S LOG, DOC-565A COUNSELOR'S LOG-SECURITY, DOC-565B COUNSELOR'S LOG-RECEPTION, DOC 565C COUNSELOR'S LOG. INFORMATION RECORDED INCLUDES DAILY POPULATION COUNT, VERIFICATION OF VISUAL MONITORING OF COTTAGE RESIDENTS, MAJOR CONFINEMENTS BY JUVENILE NAME, SUMMARY DISCIPLINE BY JUVENILE NAME, LISTING OF OUTSIDE CONTACTS BY JUVENILE NAME, AND YOUTH MOVEMENTS IN/OUT OF THE COTTAGE. SPACE DEVOTED TO EACH TYPE OF INFORMATION VARIES WITH EACH VERSION OF THE FORM.

PURPOSE: THE REPORTS ARE USED SOLEY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN 5 YEARS AND DESTROY.

00313000. **ADMINISTRATIVE RULE RECORDS - RULE DEVELOPMENT DOCUMENTS** **EVT+10** **SHSW** **N**

HISTORICAL RULE DEVELOPMENT DOCUMENTS: RECORDS MAY INCLUDE FIRST DRAFTS AND SUBSEQUENT DRAFTS WITH COMMENTS, CODE INTERPRETATIONS, REVISIONS TO THE PROPOSED RULES BASED ON INTERNAL OR EXTERNAL INPUT INCLUDING THAT OF THE PUBLIC AND LEGISLATURE, AND OTHER SUPPORTING DOCUMENTATION.

RETENTION: RETAIN 10 YEARS AFTER CLOSED AND TRANSFER TO STATE HISTORICAL SOCIETY.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/DIVISION OF YOUTH SERVICES/#1016 1995.

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00313A00. ADMINISTRATIVE RULE RECORDS - FINAL RULES EVT DEST N

FINAL RULE FILES: RECORDS MAY INCLUDE A COPY OF THE FINAL RULE, PUBLIC HEARINGS SUMMARIES, RESPONSE TO PUBLIC COMMENT AND CORRESPONDENCE.

RETENTION: AFTER THE RULE IS SUPERCEDED, DESTROY. SUPERCEDED IS DEFINED AS THE PROMULGATION OF A NEW FINAL RULE TO REPLACE THE EXISTING RULE.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/DIVISION OF YOUTH SERVICES/#1016A 1995.

00313B00. ADMINISTRATIVE RULE RECORDS - PUBLIC HEARING AUDIO TAPES EVT+1 DEST N

PUBLIC HEARING AUDIO TAPES: AUDIO RECORDINGS OF PUBLIC HEARINGS CONDUCTED BY THE DEPARTMENT ON THE RULE.

RETENTION: DESTROY 1 YEAR AFTER CLOSED. CLOSED IS DEFINED AS THE NEW RULE BEING PROMULGATED IN FINAL FORM.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/DIVISION OF YOUTH SERVICES/#1016B 1995.

00314000. PURCHASE OF CARE AND SERVICES CONTRACTS EVT+5 DEST Y

PURPOSE: THESE CONTRACTS ARE MAILED TO ALTERNATE CARE FACILITIES TO SECURE AND AGREEMENT FOR A GIVEN TWO-YEAR PERIOD ON DAILY RATES, PROGRAMS, REPORTING AND GENERAL CONTRACT REQUIREMENTS RELATED TO CLIENT PLACEMENTS OR SERVICES. THE CONTRACTS ARE MAILED BACK TO THE DIVISION OF JUVENILE CORRECTIONS AFTER THE RATES ARE SET (AND PUBLISHED BY THE DHFS) AND THE FACILITIES' SIGNATURES ARE OBTAINED. THE DOC DEPARTMENT SECRETARY SIGNS THE RETURNED CONTRACTS AND THEN THE CONTRACTS ARE FILED.

CONTENT: THIS RECORD SERIES CONTAINS THE PURCHASE OF SERVICE CONTRACTS. IT MAY ALSO INCLUDE, BUT MAY NOT BE LIMITED TO, COPIES OF PROOF OF INSURANCE, DOC-0349 PURCHASE OF CARE AND SERVICES CONTRACT: ALTERNATE CARE, DOC-0349A PURCHASE OF CARE AND SERVICES CONTRACT: UNIT COST (WHEN A PUBLISHED RATE IS NOT REQUIRED), DOC-0349B CONTRACTING CHECKLIST FOR ALTERNATE CARE, DOC-0349C CONTRACTING CHECKLIST FOR UNIT COST, DOC-0349D CONTRACT GENERAL OPERATING AGREEMENT, DOC-0349E CONTRACT SUP SHORT TERM TRANS CARE, AND DOC-0349F CONTRACT TYPE 2 CCI AGREEMENT.

RETENTION: RETAIN 5 YEARS AND DESTROY CONFIDENTIAL.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/DIVISION OF YOUTH SERVICES/OFFICE OF MANAGEMENT AND BUDGET/#827 1993.

00315000. COTTAGE RECORDS - INCIDENT REPORT - DJC EVT+7 DEST Y

CONTENT: DOCUMENTS THE DETAILS OF AN INCIDENT WITHIN A COTTAGE, INCLUDING INFORMATION SUCH AS DATE, TIME LOCATION, INSTITUTION, TYPE OF INCIDENT (SOME EXAMPLES-ESCAPE, ASSAULT, CELL ENTRY, FIRE, USE OF FORCE), NAMES OF PERSONS INVOLVED, WITNESSES, A DESCRIPTION OF THE INCIDENT, AND ACTIONS TAKEN AS A RESULT OF THE INCIDENT BY STAFF OR THE SUPERINTENDENT'S OFFICE. A DESCRIPTION STATES ALL THE FACTS, AND MAY INCLUDE DETAILS OF ANY INJURIES, INCLUDING NAMES(S), CIRCUMSTANCES LEADING UP TO THE INCIDENT, AND VERBAL QUOTES. INCIDENT REPORTS, FORM DOC-1846, ARE CONSECUTIVELY NUMBERED.

PURPOSE: THE REPORT IS USED WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES, BUT SOME INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION. THE REPORTS WOULD BE USED TO REVIEW INCIDENTS FOR POSSIBLE ADMINISTRATIVE CODE/RULE VIOLATIONS AND TO DOCUMENT COMPLIANCE WITH WISCONSIN ADMINISTRATIVE CODE CHAPTER DOC 376. THE INCIDENT REPORT FORM IS ALSO KEPT IN THE SUPERINTENDENT'S OFFICE AS THE OFFICE OF RECORD.

RETENTION: RETAIN 7 YEARS AND DESTROY.

00316000. CONDUCT REPORT - DJC EVT+7 DEST Y

CONTENT: DOCUMENTS THE DETAILS OF YOUTH MISCONDUCT WITHIN A TYPE I SECURED JUVENILE FACILITY, WHICH VIOLATES RULES OF CONDUCT PER CHAPTER DOC 373 OF THE WISCONSIN ADMINISTRATIVE CODE. FORM DOC-1843 INCLUDES INFORMATION SUCH AS YOUTH NAME, DOC NUMBER, INSTITUTION, CONDUCT REPORT NUMBER, LOCATION OF INCIDENT, DATE AND TIME, STATUS OF INJURED PARTY IF THERE ARE INJURIES, CONTRABAND, WEAPONS IF ANY, THE DOC CHAPTER 373 RULE(S) VIOLATED, AND A DESCRIPTION OF THE INCIDENT UPON WHICH THE CHARGES ARE BASED. A DESCRIPTION STATES ALL THE FACTS, AND MAY INCLUDE SOURCES OF INFORMATION, EVIDENCE, OR STATEMENTS OF OTHER STAFF MEMBERS. THE FORM ALSO DOCUMENTS THE DISPOSITION DECISION MADE BY THE SUPERINTENDENT'S OFFICE OR DESIGNEE, TO PROCEED WITH A FORMAL DISCIPLINARY HEARING OR MINOR OFFENSE DISPOSITION, DISMISS, OR REFER FOR FURTHER INVESTIGATION. FORM DOC-1783, VIOLATION INVESTIGATION REPORT MAY BE COMPLETED AS WELL TO DOCUMENT THE VIOLATION AND SUBSTANTIATING DETAILS.

PURPOSE: THE REPORTS RECORD THE PLACEMENT OF A JUVENILE UNDER TEMPORARY CONFINEMENT FOR

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ALLEGEDLY VIOLATING THE RULES AND REGULATIONS OF THE INSTITUTION/SPRITE PROGRAM AND TO RECORD THE SPECIFIC RULE/REGULATION VIOLATIONS.

RETENTION: RETAIN 7 YEARS AND DESTROY.

00317000. **PARENTAL LIABILITY CORRESPONDENCE** **EVT+5** **DEST** **Y**

PURPOSE: SECTION 301.03(18)(A) OF THE WISCONSIN STATUTES AUTHORIZES DOC TO ESTABLISH A UNIFORM SYSTEM OF FEES FOR JUVENILE DELIQUENCY-RELATED SERVICES PROVIDED OR PURCHASED BY DOC OR COUNTY DEPARTMENT FOR CARE AND MAINTENANCE OF YOUTH UNDER AGE 18 IN RESIDENTIAL, NON-MEDICAL FACILITIES SUCH AS GROUP HOMES, FOSTER HOMES, TREATMENT FOR FOSTER HOMES, CHILD CARING INSTITUTIONS, AND JUVENILE CORRECTIONAL INSTITUTIONS. LIABILITY IS SUBJECT TO RULES WHICH INCLUDE FORMULAS USED TO DETERMINE THE ABILITY TO PAY.

CONTENT: THE RECORD INCLUDES, BUT IS NOT LIMITED TO, CORRESPONDENCE REQUESTING FINANCIAL INFORMATION FROM THE PARENTS/GUARDIANS, COMPLETED STATEMENTS OF INCOME AND EXPENSES, SUPPORT QUESTIONNAIRES, DETERMINATION OF PAYMENT DECISIONS, COPIES OF COURT ORDERS, FACE-SHEETS, AND PAYMENT RECORDS. THE RECORD MAY CONTAIN CONFIDENTIAL INFORMATION SUCH AS BIRTHDATES AND SOCIAL SECURITY NUMBERS AND TAX INFORMATION.

00318000. **COTTAGE RECORDS - LOG BOOKS** **EVT+5** **DEST** **Y**

CONTENT: CONTAINS SHIFT NOTES THAT ARE DATED AND RECORDED DAILY BY ANY STAFF MEMBER, BUT ESPECIALLY BY COTTAGE YOUTH COUNSELORS REGARDING COTTAGE AND YOUTH DAILY HAPPENINGS ON EACH SHIFT.

PURPOSE: THIS IS A COMMUNICATIONS TOOL FOR THE SHIFT WORKERS TO COMMUNICATE TO FUTURE SHIFTS OR AS DOCUMENTATION REGARDING WHAT HAS HAPPENED ON A SHIFT OR TO COMMUNICATE ON THINGS THAT NEED TO BE ADDRESSED. IF THERE IS AN INCIDENT IN THE COTTAGE, IT IS NOT DOCUMENTED IN THE COTTAGE LOG, BUT IS ON AN INCIDENT REPORT FORM WHICH IS ALSO MAINTAINED IN THE SUPERINTENDENT'S OFFICE.

NOTE: LOGBOOKS ARE BLANK HARDCOVER BOUND BOOKS OR NOTEBOOKS PURCHASED FOR USE AS LOGBOOKS.

RETENTION: RETAIN 5 YEARS AND DESTROY CONFIDENTIAL.

00319000. **RECORDS OF NON-DJC YOUTH IN JCIs** **EVT+1** **DEST** **Y**

CONTENT: RECORDS CONSIST OF INDIVIDUAL-SPECIFIC FILES CONTAINING FORMS RELATED TO A YOUTH'S TEMPORARY PLACEMENT IN A SECURED JUVENILE CORRECTIONAL INSTITUTION (JCI). THE DOC FORMS INCLUDED IN THE FILE PERTAIN TO A YOUTH'S STATUS AT ADMISSION (HEALTH SCREENING, VIOLATION REPORT, INTAKE FORMS), HIS/HER CONDUCT WHILE IN THE INSTITUTION, AND THE CIRCUMSTANCES OF THE YOUTH'S RELEASE. RECORDS DO NOT INCLUDE DOCUMENTS RELATED TO YOUTH COMMITTED BY A COURT TO THE DEPARTMENT OF CORRECTIONS FOR SECURE CORRECTIONAL FACILITY PLACEMENT, WHICH ARE COVERED BY OTHER RDA'S.

PURPOSE: RECORDS ARE RETAINED IN ORDER TO RESPOND TO QUESTIONS ABOUT WHEN A PARTICULAR YOUTH WAS PLACED IN A JCI, THE PURPOSE OF THE PLACEMENT, THE YOUTH'S TREATMENT AND BEHAVIOR DURING PLACEMENT, AND THE CIRCUMSTANCES OF THE YOUTH'S RELEASE.

RETENTION: RETAIN 1 YEAR AND DESTROY CONFIDENTIAL.

00320000. **DJC SEX OFFENDER FIELD FILES** **EVT+60** **DEST** **Y**

CONTENT: THE RECORDS ARE INDIVIDUAL-SPECIFIC FILES OF DJC-SUPERVISED YOUTH REQUIRED TO REGISTER WITH THE WISCONSIN SEX OFFENDER REGISTRY. THE FILES MAY CONTAIN BUT ARE NOT LIMITED TO DOCUMENTS SUCH AS COURT ORDERS, ASSESSMENTS, DISCIPLINARY PROCEEDINGS, TREATMENT PLANS, REPORTS FROM SERVICE PROVIDERS, SEX OFFENDER REGISTRATION FORMS, TRAVEL PERMITS, AND COPIES OF POLICE REPORTS.

PURPOSE: THESE FILES ARE CREATED IN THE COURSE OF SUPERVISING A YOUTH IDENTIFIED AS A SEX OFFENDER. THE PURPOSE OF RETAINING THE DOCUMENT IS TO PROVIDE EVIDENCE OF A YOUTH'S COMPLIANCE WITH TREATMENT AND SUPERVISION WITHIN THE COMMUNITY AND HIS/HER ADJUSTMENT TO RELEASE. THE RECORDS ARE RETAINED IN THE EVENT OF THE NEED FOR CONFIDENTIAL EXCHANGE OF INFORMATION WITH LAW ENFORCEMENT OR OTHER AGENCIES AT A LATER DATE DURING THE YOUTH'S REGISTRATION PERIOD (I.E. 60 YEARS).

EVENT = RETAIN 60 YEARS AND DESTROY CONFIDENTIAL.

00322000. **COTTAGE RECORDS - MONTHLY COTTAGE REPORT** **EVT+5** **DEST** **N**

CONTENT: INFORMATION RECORDED ON FORM DOC-1616 INCLUDES JUVENILE NAMES, REASON FOR MAJOR INFRACTION CONFINEMENT, LENGTH OF CONFINEMENT BY NUMBER OF HOURS OR DAYS, SUPPLEMENTED BY A LISTING OF WHO WAS TRANSFERRED TO A CONTROL COTTAGE, TRANSFER DATE AND REASON.

PURPOSE: THE REPORT IS USED SOLEY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

Dept #: 650/

Department Name: JUVENILE INSTITUTIONS CENTRAL OFFICE

RDA # RDA Title Retention Disposition PII

RETENTION: RETAIN 5 YEARS AND DESTROY.

00323000. COTTAGE RECORDS - OBSERVATION CHECK LOG EVT+5 DEST N

CONTENT: FORM DOC-1619 REPORTS ON THE ACTIVITIES OF THE JUVENILE OFFENDER ON CHECK STATUS, BY SHIFT AND DATE. IT RECORDS THE TIME CHECKED AND THE TYPE OF ACTIVITY, SUCH AS SLEEPING, EATING, TALKING, OUT OF ROOM FOR SCHOOL OR RECREATION, OR EVALUATION, ANY DISRUPTIVE BEHAVIOR, OR STAFF INTERVENTION.

PURPOSE: THE REPORT IS USED SOLELY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN 5 YEARS AND DESTROY.

00324000. COTTAGE RECORDS - STRIP SEARCH & BODY CAVITY SEARCH RECORD EVT+5 DEST N

CONTENT: FORM DOC-1625 DOCUMENTS THE JUVENILE OFFENDER'S NAME, DATE & TIME OF SEARCH, SEARCH LOCATION IF STRIP SEARCHED, REASON FOR SEARCH AND OBJECTS SEIZED, AND NAME OF STAFF DOING THE STRIP SEARCH OR MEDICAL PERSONNEL CONDUCTING THE BODY CAVITY SEARCH.

PURPOSE: THE REPORT IS USED SOLELY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN 5 YEARS AND DESTROY.

00325000. COTTAGE RECORDS - STATUS REPORT EVT+5 DEST N

CONTENT: FORM DOC-1639 DOCUMENTS THE JUVENILE OFFENDER'S NAME, ASSIGNED COTTAGE, OFFENSE, CURRENT LOCATION OF JUVENILE, PRE-HEARING STATUS, AND PROGRAM STATUS IF SUBJECT TO DISCIPLINE.

PURPOSE: THE REPORT IS USED SOLELY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN 5 YEARS AND DESTROY.

00326000. COTTAGE RECORDS - OUT TIME RECORD EVT+5 DEST N

CONTENT: FORM DOC-1688 DOCUMENTS, BY OFFENDER NAME, WHO IS OUT OF THE COTTAGE FOR SCHOOL, RECREATION, MEALS, JOB, AND THE TIME OUT.

PURPOSE: THE REPORT IS USED SOLELY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN 5 YEARS AND DESTROY.

00327000. COTTAGE RECORDS - DAILY POPULATION REPORT EVT+5 DEST N

CONTENT: FORM DOC-1690 RECORDS THE INSTITUTION POPULATION AS OF MIDNIGHT OF THE REPORT DATE, LISTING BY NAME, DOC NUMBER, COMMITMENT DATES, BROKEN DOWN INTO NEW COMMITMENTS, OTHER COMMITMENTS, RELEASES AND TRANSFERS OUT. THE FORM ALSO LISTS INTERNAL TRANSFERS BETWEEN PROGRAM/SECURITY STATUS.

PURPOSE: THE DAILY POPULATION RECORD IS KEPT BY THE COMMUNICATIONS OFFICE AS THE OFFICE OF RECORD AND A COPY IS SENT TO THE SUPERINTENDENT'S OFFICE. THE REPORT IS USED WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN 5 YEARS AND DESTROY.

00328000. COTTAGE RECORDS - RESTRAINT NOTIFICATION RECORD EVT+5 DEST N

CONTENT: FORM DOC-1694 RECORDS THE SUPERVISING YOUTH COUNSELOR'S NAME, THE JUVENILE OFFENDERS NAME, THE DATE, AND THE NAMES OF THE STAFF PEOPLE NOTIFIED, WHICH ARE THE NURSE ON DUTY, CLINICAL SERVICES, UNIT/ASSISTANT MANAGER, SUPERINTENDENT (WEEKDAYS), AND THE DUTY OFFICER (WEEKENDS), AND WHETHER PERMISSION TO RESTRAIN WAS APPROVED OR DENIED BY EACH STAFF PERSON NAMED.

PURPOSE: THE COMPLETED FORM IS SENT TO THE SUPERINTENDENT'S OFFICE AS THE OFFICE OF RECORD. THE REPORT IS USED SOLELY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN 5 YEARS AND DESTROY.

00329000. COTTAGE RECORDS - DAILY DISCIPLINE/ALTERNATIVE LOG EVT+5 DEST N

RDA #	RDA Title	Retention	Disposition	PII
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CONTENT: FORM DOC-1697 RECORDS THE JUVENILE OFFENDER'S NAME, STAFF NAME, SUPERVISOR INVOLVED, THE REASON FOR DISCIPLINE, THE AREA OF CONFINEMENT, AND TYPE OF DISCIPLINE OR ALTERNATIVE TO DISCIPLINE. EACH COTTAGE MAINTAINS ITS OWN DAILY LOG.

PURPOSE: THE REPORT IS USED SOLELY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN 5 YEARS AND DESTROY.

<u>00330000.</u>	<u>COTTAGE RECORDS - COTTAGE DAILY STATUS WORKSHEET</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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CONTENT: FORM DOC-1756 IS A DAILY CHECKLIST OF ROOM ASSIGNMENTS, RESTRAINT STATUS, CONTROL STATUS, CLOSE WATCH STATUS, AND MOVEMENTS IN OR OUT OF THE COTTAGE, BY JUVENILE NAME.

PURPOSE: THE REPORT IS USED SOLELY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN 1 YEAR AND DESTROY.

<u>00331000.</u>	<u>COTTAGE RECORDS - ADMISSION AND RETURNEE LOG</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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CONTENT: INFORMATION RECORDED ON FORM DOC-1599 INCLUDES JUVENILE NAMES, DOC OFFENDER NUMBER, DATE, AGE, RACE, COUNTY OF COMMITMENT, AND PREVIOUS STATUS IF A RETURNEE.

PURPOSE: THE REPORT IS USED SOLELY WITHIN THE INSTITUTION FOR IMMEDIATE INFORMATIONAL PURPOSES. SOME OF THE INFORMATION MAY BE TRANSFERRED TO OTHER REPORTS SENT OUT OF THE INSTITUTION.

RETENTION: RETAIN 5 YEARS AND DESTROY.

<u>00332000.</u>	<u>CASE MANAGEMENT MANUAL</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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CONTENT: THE CASE MANAGEMENT MANUAL (CMM) DESCRIBES THE POLICIES AND PROCEDURES THAT IMPLEMENT THE CASE MANAGEMENT SYSTEM FOR THE DIVISION OF JUVENILE CORRECTIONS. TOPICS COVERED INCLUDE STAFF RESPONSIBILITIES, JJIS SCREENS AND DOC FORMS, ADMISSION PROCEDURES, ASSESSMENTS & EVALUATIONS, JOINT PLANNING & REVIEW COMMITTEE (JPRC) HEARINGS, JUVENILE CORRECTIONAL INSTITUTIONS (JCI) PROGRAMS, PROGRESS SUMMARIES, COURT PROCEEDINGS, TRANSITION PLANNING, VICTIM/WITNESS & COMMUNITY NOTIFICATIONS, SUPERVISION OF YOUTH, SANCTIONS, DETENTIONS, REVOCATIONS, ADMINISTRATIVE DISCHARGES, INTERSTATE COMPACTS, LEGAL REQUIREMENTS FOR SEX OFFENDERS, YOUTH COMPLAINT PROCEDURES, ADMINISTRATIVE CONFINEMENTS IN A JCI, FINANCIAL OBLIGATIONS OF YOUTH, SOCIAL SERVICE AND COMMUNITY SUPERVISION FILES, ADMISSION & RELEASE ASSESSMENT DIALOGS IN JJIS, AND CASE MANAGEMENT AUDIT PROCEDURES.

PURPOSE: THE CMM ESTABLISHES A STATEWIDE STANDARD OF PRACTICE FOR CASE MANAGEMENT FOR YOUTH UNDER DJC SUPERVISION. ITS UNIFORM POLICIES, PROCEDURES AND FORMS RESULT IN CASES BEING HANDLED IN A CONSISTENT MANNER AS YOUTH PROGRESS DURING THE DJC SUPERVISION. THE CMM ALSO SERVES AS A REFERENCE AND TRAINING TOOL FOR DJC STAFF. CHAPTER 938 OF THE WISCONSIN STATUTES PROVIDES THE LEGAL BASIS FOR THE DJC CASE MANAGEMENT SYSTEM.

RETENTION: RETAIN 7 YEARS AND DESTROY.

<u>00333000.</u>	<u>INSTITUTION COMPLAINT LOGS AND FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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PURPOSE: THE JUVENILE CARE INSTITUTIONS MUST KEEP A RECORD OF COMPLAINTS, INCLUDING YOUTH NAMES, COMPLAINT NUMBERS, SUBJECT OF COMPLAINT AND DISPOSITION. THE COMPLAINT PROCESS ALLOWS YOUTH TO RAISE QUESTIONS ABOUT CORRECTIONAL POLICIES THAT DIRECTLY AFFECT THEM, ENCOURAGES COMMUNICATION BETWEEN YOUTH AND STAFF, ALLOW YOUTH WHO BELIEVE THEY HAVE BEEN TREATED UNFAIRLY TO CHALLENGE STAFF DECISIONS, PROCESS OR POLICY, TO CORRECT ERRORS IN CORRECTIONAL POLICY THROUGH THE EXCHANGE OF IDEAS, AND TO REDUCE FRUSTRATION AMONG YOUTH ABOUT CONDITIONS AT THE INSTITUTION IN WHICH THEY RESIDE. DOC380 OF THE WISCONSIN ADMINISTRATIVE CODE COVERS THE COMPLAINT PROCEDURES DOC/DJC MUST FOLLOW.

CONTENT: THE COMPLAINT LOG MAY INCLUDE, BUT NOT LIMITED TO, FORMS DOC-2051 YOUTH COMPLAINT: INSTITUTION, DOC-2052 COMPLAINT MEDIATOR'S REPORT, DOC-2053 SUPERINTENDENT DECISION ON YOUTH COMPLAINT, AND DOC-2054 APPEAL TO ADMINISTRATOR AND DECISION. A YOUTH MAY FILE A COMPLAINT ABOUT RESIDENTIAL PROGRAMS, APPLICATION OF RULES, DIVISION POLICIES, CONDITIONS, PROCEDURES OR OTHER MATTERS OR INCIDENTS, OR PROCEDURES USED BY HEARING OFFICERS UNDER DOC 373.72, 373.73, AND 373.76 TO 373.78 (WI CODE). THE COMPLAINT MEDIATOR WOULD RESOLVE THE COMPLAINT FORMALLY WITH THE YOUTH, OR REFER THE COMPLAINT TO THE SUPERINTENDENT'S OFFICE FOR FORMAL RESOLUTION. A YOUTH MAY FILE AN APPEAL REGARDING A SUPERINTENDENT'S DECISION. SOME TYPES OF COMPLAINTS, REGARDING RETALIATION, ABUSE BY STAFF, BREACH OF CONFIDENTIALITY, OR PROCEDURES USED BY A HEARING OFFICER DURING A DISCIPLINARY HEARING MAY BE FILED DIRECTLY WITH THE SUPERINTENDENT'S OFFICE. EACH COMPLAINT/APPEAL IS ASSIGNED A NUMBER WHEN RECEIVED.

RETENTION: RETAIN 7 YEARS AND DESTROY CONFIDENTIAL.

00334000. FIELD COMPLAINT LOGS AND FILES EVT+7 DEST Y

PURPOSE: THE FIELD AGENT OFFICES MUST KEEP A RECORD OF COMPLAINTS, INCLUDING YOUTH NAMES, COMPLAINT NUMBERS, SUBJECT OF COMPLAINT AND DISPOSITION. THE COMPLAINT PROCESS ALLOWS YOUTH TO RAISE QUESTIONS REGARDING A DECISION THAT AFFECTS THEIR SUPERVISION, ENCOURAGES COMMUNICATION BETWEEN YOUTH AND STAFF, AND TO RESOLVE PROBLEMS THAT OCCUR DURING SUPERVISION IN AN ORDERLY AND CONSISTENT MANNER. DOC393 OF THE WISCONSIN ADMINISTRATIVE CODE COVERS THE COMPLAINT PROCEDURES DOC/DJC MUST FOLLOW FOR AFTERCARE YOUTH AND DOC396 COVERS TYPE 2 YOUTH.

CONTENT: THE COMPLAINT LOG MAY INCLUDE, BUT NOT LIMITED TO, FORMS DOC-2179 COMPLAINT BY YOUTH ON COMMUNITY SUPERVISION, DOC-2180 AGENT STATEMENT AND SUPERVISOR DECISION ON YOUTH COMPLAINT, DOC-2181 YOUTH APPEAL TO REGIONAL CHIEF AND DECISION, AND DOC-2054 APPEAL TO ADMINISTRATOR AND DECISION. A YOUTH MAY FILE A WRITTEN COMPLAINT WITH HIS/HER AGENT WHEN A YOUTH DISAGREES WITH A DECISION THE AGENT HAS MADE THAT DIRECTLY AFFECTS THE YOUTH AND HIS SUPERVISION. THE AFTERCARE AGENT WOULD FILE HIS REASON FOR THE DECISION ABOUT WHICH THE YOUTH HAS COMPLAINED AND THE FIELD SUPERVISOR ISSUES A DECISION TO RESOLVE THE COMPLAINT. AN AFTERCARE YOUTH MAY FILE AN APPEAL REGARDING A FIELD SUPERVISOR'S DECISION WITH THE REGIONAL CHIEF. THE TYPE 2 AGENT MUST ATTEMPT TO REACH AN INFORMAL RESOLUTION WITH THE YOUTH. A TYPE 2 YOUTH MAY APPEAL THE DECISION WITH THE REGIONAL CHIEF. THE TYPE 2 AGENT MUST ATTEMPT TO REACH AN INFORMAL RESOLUTION WITH THE YOUTH. A TYPE 2 YOUTH MAY APPEAL THE DECISION WITH THE ADMINISTRATOR'S OFFICE.

RETENTION: RETAIN 7 YEARS AND DESTROY CONFIDENTIAL.

00335000. YOUTH AIDS - EXCEL WORKBOOK OF CALENDAR YEAR TRANSACTION DET EVT+10 DEST Y

PURPOSE AND FUNCTION: THIS MICROSOFT EXCEL WORKBOOK LOGS THE COUNTY REQUESTS FOR REIMBURSEMENT FROM COMMUNITY YOUTH AND FAMILY AIDS FOR A CALENDAR YEAR. THE WORKBOOK ALSO LOGS THE STATE CHARGES TO COUNTIES FOR STATE SERVICES. UP TO 3 ADVANCES ARE SENT TO THE COUNTIES. PAYMENTS THEN STOP AND DON'T COMMENCE UNTIL THE COUNTIES SUBMIT MONTHLY EXPENSE REPORTS. THE COUNTIES EACH RECEIVE PAYMENTS UP TO THE AMOUNT OF THE CONTRACT AWARD, LESS THE AMOUNT OF ADVANCES. THERE MAY ALSO BE RELATED SUPPORTING SPREADSHEETS.

NOTE: THE CURRENT EXCEL WORKBOOK IS NOT PRINTED OUT IN ITS ENTIRETY DUE TO ITS LARGE SIZE. SECTIONS MAY BE PRINTED TO USE AS WORKING COPIES.

RETENTION: RETAIN 10 YEARS AND DESTROY.

00336000. YOUTH AIDS - STATE-COUNTY CONTRACTS EVT+4 DEST N

PURPOSE: DOCUMENT THE ANNUAL FISCAL AGREEMENT BETWEEN DOC AND EACH COUNTY FOR THE ALLOCATION OF THE YOUTH AIDS GRANT UNDER S.301.26(7), STATS.

CONTENTS: THE CONTENT OF EACH COUNTY FILE TYPICALLY INCLUDES THE SIGNED CONTRACT AND COUNTY-SPECIFIC YOUTH AIDS ALLOCATIONS, CONTRACT SUPPLEMENTS FOR EMERGENCY FUNDS AND OTHER GRANTS, INVOICES FOR REIMBURSEMENT OF COMMUNITY YOUTH AIDS EXPENDITURES, AND CORRESPONDENCE. GENERAL FILES CONTAIN DOCUMENTS SUCH AS YOUTH AIDS ALLOCATION SPREADSHEETS, BRIEFING PAPERS AND COUNTY MEMOS.

NOTE: DESTRUCTION DATE SHOULD BE THE END OF THE FOURTH STATE FISCAL YEAR BEGINNING AFTER THE CREATION DATE OF THE FILE.

THIS RDA SUPERCEDES DEPARTEMTN OF HEALTH AND SOCIAL SERVICES/BCR/COMMUNITY PROGRAM SECTION/#891 1993.

RETENTION: RETAIN 4 YEARS AND DESTROY.

00338000. YOUTH AIDS EMERGENCY FUNDS EVT+5 DEST N

PURPOSE: DOCUMENTS THE ALLOCATION TO COUNTIES OF YOUTH AIDS EMERGENCY FUNDS UNDER S.301.26(7), STATS.

CONTENTS: EACH YEAR, DOCUMENTS INCLUDE INSTRUCTIONS AND FORMS TO APPLICANT COUNTIES, A COPY OF EACH COUNTY'S APPLICATION AND SUPPORTING INFORMATION, IDENTIFICATION OF THE REVIEW PANEL, RESULTS OF THE APPLICATION REVIEW AND COUNTY RESPONSES TO ANY QUESTIONS RAISED BY THE REVIEW PANEL, CALCULATION OF EACH ELIGIBLE COUNTY'S RECOMMENDED SHARE OF THE TOTAL FUNDS AVAILABLE, COPY OF THE AWARD LETTER AND CONTRACT SUPPLEMENT SENT TO EACH ELIGIBLE COUNTY, AND CORRESPONDENCE RELATED TO THE GRANT AWARDS.

EXCLUSION: REVIEWER WORKING NOTES ARE NOT PART OF THE RECORD.

RETENTION: RETAIN 5 YEARS AND DESTROY.

THIS RDA SUPECEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/DIVISION OF YOUTH

RDA #	RDA Title	Retention	Disposition	PII
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SERVICES/BCR/COMMUNITY PROGRAM SECTION/#893 1993.

<u>00339C00.</u>	<u>YOUTH AIDS BILLING DATABASE - PREBILLING OUTPUT (MONTHLY)</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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PURPOSE AND FUNCTION: THIS DATABASE WAS USED TO RECORD BILLING INFORMATION TO BILL COUNTIES AGAINST THEIR YEARLY ALLOTMENT AMOUNTS FOR CARE OF JUVENILES WHILE UNDER DIVISION OF JUVENILE CORRECTIONS SUPERVISION.

OUTPUT REPORTS: THE OUTPUT REPORTS FROM THIS DATABASE INCLUDE, BUT MAY NOT BE LIMITED TO:

- A. PRELIMINARY EDIT LISTS - DETAILED LISTS TO EDIT AND MAKE CHANGES TO ENSURE ACCURACY FOR YOUTH AIDS BILLING.
- B. PREBILLING YOUTH AIDS CHARGES BY CLIENTS - BY-COUNTY LISTING OF RECORDS THAT MAKE UP THE CURRENT MONTH'S BILLING FILE;
- C. PRELIMINARY SUMMARIES - BY SERVICE PROVIDER TYPE, FUNDING TYPE, NUMBER DAYS BY FUNDING, PROVIDER DAYS BY FUNDING, AND MONTHLY JOURNAL ENTRY.

NOTE: REPORTS A. AND B. CONTAIN PERSONALLY IDENTIFIABLE INFORMATION. REPORT C. DOES NOT. DATABASE IS THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS).

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/DIVISION OF YOUTH SERVICES/BCR/COMMUNITY PROGRAM SECTION/#898C 1993.

RETENTION: RETAIN 4 YEARS AND DESTROY.

<u>00339D00.</u>	<u>YOUTH AIDS BILLING DATABASE - COUNTY BILLING OUTPUT (MONTHLY)</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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PURPOSE AND FUNCTION: THIS DATABASE WAS USED TO RECORD BILLING INFORMATION TO BILL COUNTIES AGAINST THEIR YEARLY ALLOTMENT AMOUNTS FOR CARE OF JUVENILES WHILE UNDER DIVISION OF JUVENILE CORRECTIONS SUPERVISION.

OUTPUT REPORTS: THE OUTPUT REPORTS FROM THIS DATABASE INCLUDE, BUT MAY NOT BE LIMITED TO, A COVER LETTER, AND THREE MONTHLY BILLING REPORT WHICH ARE: PERIOD CHARGES BY FUNDING TYPE BY CLIENT (PROVIDES INFORMATION ABOUT EACH CLIENT'S SERVICES); PERIOD CHARGES BY FUNDING TYPE BY SERVICE (PROVIDES SUMMARY INFORMATION ON THE TYPES OF SERVICES PROVIDED, THE DAYS PROVIDED, AND THE COST); AND CLIENT LIST (PROVIDES CLIENT'S NAME AND DEPARTMENT OF CORRECTIONS NUMBER). THERE ARE TWO SETS OF REPORTS AND LETTERS FOR EACH COUNTY. ONE SET IS MAILED TO THE COUNTY AND THE OTHER IS KEPT IN DJC CENTRAL OFFICE. OTHER REPORTS INCLUDE NONBILLABLE CHARGES FOR AFTERCARE, SERIOUS JUVENILE OFFENDER, OR ADULT INSTITUTION CASES.

INVOICES ARE ALSO SENT TO TYPE 2 CHILD CARING INSTITUTIONS (CCI'S) FOR CLIENTS PLACED INTO STATE JUVENILE CORRECTIONAL FACILITIES BUT REMAIN SUPERVISED UNDER COUNTY DIRECTION.

NOTE: THE REPORTS SENT TO THE COUNTIES AND CCI'S CONTAIN PERSONALLY IDENTIFIABLE INFORMATION. DATABASE IS THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS).

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/DIVISION OF YOUTH SERVICES/BCR/COMMUNITY PROGRAM SECTION/#898D 1993.

RETENTION: RETAIN 4 YEARS AND DESTROY.

<u>00339E00.</u>	<u>YOUTH AIDS BILLING DATABASE - SUMMARY OUTPUT (MONTHLY)</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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PURPOSE AND FUNCTION: THIS DATABASE WAS USED TO RECORD BILLING INFORMATION TO BILL COUNTIES AGAINST THEIR YEARLY ALLOTMENT AMOUNTS FOR CARE OF JUVENILES WHILE UNDER DIVISION OF JUVENILE CORRECTIONS SUPERVISION.

OUTPUT REPORTS: THE OUTPUT REPORTS FROM THIS DATABASE INCLUDE, BUT MAY NOT BE LIMITED TO:

- A. A MONTHLY JOURNAL ENTRY TO RECORD REVENUE AND EXPENSES;
- B. SUMMARY ALLOCATION WORKSHEETS BY COUNTY, FUNDING TYPE, AND SERVICE TYPE; DAYS OF CARE BY FUNDING TYPE; SERVICE PROVIDER BY FUNDING TYPE; LIST OF PAYMENTS FOR CARE TO CARE PROVIDERS; AND
- C. A SUMMARY OF AMOUNTS AND DAYS BY SERVICE PROVIDER.

NOTE: DATABASE IS THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS).

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/DIVISION OF YOUTH SERVICES/BCR/COMMUNITY PROGRAM SECTION/#898E 1993.

RETENTION: RETAIN 4 YEARS AND DESTROY.

<u>00341000.</u>	<u>YOUTH AIDS EARLY INTERVENTION FUNDS (STATE CARRY-OVER)</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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PURPOSE: DOCUMENT THE ALLOCATION TO ELIGIBLE COUNTIES OF STATE CARRYOVER FUNDING FOR EARLY

RDA # RDA Title Retention Disposition PII

INTERVENTION PROGRAMS UNDER S.301.26(3)(E), INCLUDING COUNTY PLANS AND EVALUATIONS AND ANY NECESSARY CORRECTIVE ACTION.

CONTENTS: EVERY YEAR, DOCUMENTATION OF HOW JUVENILE ARREST DATA WAS USED TO DETERMINE ELIGIBLE COUNTIES FOR THE UPCOMING GRANT CYCLE. ON AN ANNUAL BASIS, THE PROCESS USED TO ALLOCATE AN INITIAL GRANT AMOUNT TO EACH ELIGIBLE COUNTY, AND NOTIFICATION OF COUNTIES AND REQUEST TO SUBMIT A PROPOSED PLAN AND BUDGET FOR THE SPECIFIC AMOUNT. COPIES OF EACH COUNTY'S PROPOSED PLAN AND BUDGET, THE LETTER OF APPROVAL AND STATE-COUNTY CONTRACT SUPPLEMENT, EACH COUNTY'S STATUS REPORT AND YEAR-END EVALUATION REPORT, COPIES OF CORRESPONDENCE PERTAINING TO PROGRAM PERFORMANCE AND BUDGET ISSUES.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/ DIVISION OF YOUTH SERVICES/ BCR/ COMMUNITY PROGRAM SECTION/#900 1993.

RETENTION: RETAIN 5 YEARS AND DESTROY.

00342000. INTERSTATE COMPACT ON JUVENILES (ICJ) - DATABASE EVT+5 DEST Y

PURPOSE: TO KEEP A RECORD OF JUVENILES ON RUNAWAY, ESCAPEE OR ABSCONDER STATUS TO AND FROM OTHER STATES AND ON TRANSFER TO AND FROM STATES PER THE FEDERAL INTERSTATE COMPACT ON JUVENILES (ICJ).

CONTENT: THIS DATABASE INCLUDES, BUT IS NOT LIMITED TO THE FOLLOWING INFORMATION: JUVENILE'S NAME, DATE OF BIRTH, SENDING AND RECEIVING STATES, OFFENSE, LENGTH OF TERMS IN CUSTODY, AND NAME AND ADDRESS OF PERSON(S) WITH WHOM THE JUVENILE IS LIVING.

THIS DATABASE IS CURRENTLY MAINTAINED IN A MICROSOFT ACCESS FILE.

NOTE: CLOSED IS DEFINED AS REACHING INACTIVE DATE OR MAXIMUM DISCHARGE DATE AS DETERMINED BY SENTENCING COURT (DATE ENTERED IN COMPACT).

RETENTION: RETAIN 5 YEARS AND DESTROY CONFIDENTIAL.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/ DIVISION OF YOUTH SERVICES/ OFFICE OF MANAGEMENT AND BUDGET/ #883 1993.

00342A00. INTERSTATE COMPACT ON JUVENILES -REFERRAL PACKETS AND INPUT D EVT+5 DEST Y

PURPOSE: TO KEEP A RECORD OF JUVENILES ON RUNAWAY, ESCAPEE OR ABSCONDER STATUS TO AND FROM OTHER STATES AND ON TRANSFER TO AND FROM OTHER STATES PER THE FEDERAL INTERSTATE COMPACT ON JUVENILES (ICJ).

CONTENT: DOCUMENTS INCLUDE REFERRAL PACKETS FROM OTHER STATES FOR JUVENILE PROBATIONERS AND PAROLEES WHO ARE BEING TRANSFERRED TO WISCONSIN. THE REFERRAL PACKETS INCLUDE, BUT ARE NOT LIMITED TO DOC-9004 FORM IV ICJ PAROLE OR PROBATION INVESTIGATION REQUEST, DOC-9001A FOR IA-VI ICJ APPLICATION FOR SERVICES & WAIVER, COVER LETTER, SOCIAL AND LEGAL HISTORY, PETITION(S) RELATED TO ADJUDICATION(S), SIGNED COURT ORDERS, RULES AND CONDITIONS OF AFTERCARE (PAROLE), SCHOOL INFORMATION (INCLUDING GRADES, ATTENDANCE, PROGRESS REPORTS, ETC), ARREST REPORTS, MEDICAL OR PSYCHOLOGICAL INFORMATION, AND OTHER SUPPLEMENTAL INFORMATION. OTHER DOCUMENTS INCLUDE, BUT ARE NOT LIMITED TO, DOC-9007 HOME EVALUATION REPORT/REPLY TO CASE TRANSFER REQUEST, DOC-9008 PROGRESS REPORT COVER SHEET, DOC-9003 FORM III CONSENT FOR VOLUNTARY RETURN OF RUNAWAY, ABSCONDER OR ESCAPEE, OR DOC-1783 VIOLATION REPORT. THE DOC-1941 PROGRESS SUMMARY MUST BE COMPLETED IN JJIS BY THE AGENT QUARTERLY.

NOTE: AFTER ENTERING INTO A MS-ACCESS DATABASE, THE PACKETS ARE SENT TO THE FIELD AGENTS TO INVESTIGATE AND RECOMMEND OR NOT RECOMMEND SUPERVISION. THE COMPACT ADMINISTRATOR ACCEPTS OR REJECTS SUPERVISION.

RETENTION: RETAIN 5 YEARS AND DESTROY CONFIDENTIAL.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/DIVISION OF YOUTH SERVICES/OFFICE OF MANAGEMENT AND BUDGET/#883A 1993.

00342B00. INTERSTATE COMPACT ON JUVENILES (ICJ) - DATABASE - ANNUAL REPOR EVT+10 SHSW N

PURPOSE: THE PURPOSE OF THIS DATABASE (CURRENTLY MAINTAINED IN MS-ACCESS) IS TO KEEP A RECORD OF JUVENILES ON TRANSFER TO AND FROM OTHER STATES AND ON RUNAWAY, ESCAPEE OR ABSCONDER STATUS TO AND FROM OTHER STATES. THE ANNUAL REPORT PRODUCED FROM THIS DATABASE IS USED TO REPORT THE NUMBER OF RUNAWAYS, ESCAPEES AND ABSCONDER WITHIN A GIVEN PERIOD OF TIME.

CONTENT: THIS RECORD SERIES INCLUDES, BUT IS NOT LIMITED TO, THE 3-PAGE ANNUAL REPORTS TO THE ASSOCIATION OF JUVENILE COMPACT ADMINISTRATORS, WHICH ARE EITHER E-MAILED OR FAXED.

RETENTION: RETAIN 10 YEARS AND DESTROY.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/DIVISION OF YOUTH SERVICES/ OFFICE OF MANAGEMENT AND BUDGET/ #883B 1993.

RDA # RDA Title Retention Disposition PII

00343000. INTERSTATE COMPACT ON JUVENILES (ICJ) - REQUISITIONS EVT+3 DEST Y

PURPOSE: TO ORDER THE RETURN OF A JUVENILE WHO IS A RUNAWAY, ESCAPEE OR ABSCONDER WHO WILL NOT RETURN TO WISCONSIN VOLUNTARILY. PER STATUTE 938.991 "ONE COPY OF THE REQUISITION SHALL BE FILED WITH THE COMPACT ADMINISTRATOR OF THE DEMANDING STATE, THERE TO REMAIN ON FILE SUBJECT TO THE PROVISIONS OF LAW GOVERNING RECORDS OF THE COURT."

CONTENT: THIS RECORD SERIES INCLUDES, BUT IS NOT LIMITED TO, COURT ORDERS AS SET FORTH IN INTERSTATE COMPACT ON JUVENILES (ICJ) STATE STATUTE 938.991, ARTICLES IV AND V, DOC-9002 REQUISITION FOR ESCAPEE OR ABSCONDER/JUVENILE CHARGED WITH BEING DELINQUENT, ADJUDICATION/DISPOSITION ORDER, AND THE RULES OF SUPERVISION.

RETENTION: RETAIN 3 YEARS AND DESTROY CONFIDENTIAL.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/ DIVISION OF YOUTH SERVICES/ OFFICE OF MANAGEMENT AND BUDGET/ #884 1993.

00344000. SPRITE STAFF MANUALS - OFFICIAL COPY EVT+15 DEST N

SPRITE (SUPPORT, PRIDE, RESPECT, INITIATIVE, TEAMWORK, EDUCATION) IS A DYNAMIC ADVENTURE-BASED EDUCATION PROGRAM DESIGNED TO TEACH THE SKILLS NECESSARY FOR DELINQUENT YOUTH TO SUCCESSFULLY REINTEGRATE INTO THEIR HOME COMMUNITIES OR AFTERCARE PLACEMENTS.

CONTENT: INCLUDES THE OFFICIAL COPY OF THE SPRITE MANUALS, HANDBOOKS AND OTHER POLICY AND PROCEDURE DOCUMENTS. SPRITE CURRENTLY HAS THREE MANUALS TO OUTLINE ITS ACTIVITIES. THEY ARE: THE SPRITE STAFF MANUAL, THE SPRITE CLIMBING GUIDE, AND THE SPRITE ROPES COURSE MANUAL. THESE MANUALS OUTLINE ACTIVITIES AND POLICY AND PROCEDURES FOR THE DAILY OPERATION OF THE PROGRAM. INCLUDED IN THE MANUALS ARE SAMPLE CURRICULUM, AGUIDE TO EVALUATION WRITING, SAMPLE OF ALL FORMS GENERTAEED BY FIELD STAFF, SAFETY POLICY, AND GOAL EXPECTATIONS.

RETENTION: RETAIN 15 YEARS AFTER SUPERCEDED OR OBSOLETEED AS A HISTORICAL COPY AS A RECORD OF HOW THE SPRITE PROGRAM WAS RUN IN THE PAST.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/ DIVISION OF YOUTH SERVICES/ SPRITE HOUSE/ #851 1993.

00345000. SPRITE PARTICIPANT FILES EVT+7 DEST Y

SPRITE (SUPPORT, PRIDE, RESPECT, INITIATIVE, TEAMWORK, EDUCATION) IS A DYNAMIC ADVENTURE-BASED EDUCATION PROGRAM DESIGNED TO TEACH THE SKILLS NECESSARY FOR DELINQUENT YOUTH TO SUCCESSFULLY REINTEGRATE INTO THEIR HOME COMMUNITIES OR AFTERCARE PLACEMENTS. SOME PARTICIPATING YOUTH MAY BE COUNTY COURT REFERRALS, YET NOT BE UNDER DOC SUPERVISION.

CONTENT: THE SPRITE PROGRAM PARTICIPANT FILES CONTAIN, BUT ARE NOT LIMITED TO THE FOLLOWING DOCUMENTS: SOCIAL SERVICE HISTORY, LEGAL RECORDS, REPORTS FROM INSTITUTIONS, DAILY EVALUATIONS, AND INCIDENTAL DOCUMENTS AND INFORMATION. SOME DOCUMENTS WOULD COME FROM THE REFERRING COUNTY. THESE ARE THE SPRITE PROGRAM'S VERSION OF JUVENILE CASE FILES, BUT THE PARTICIPANT FILES ARE THE RECORDS USED WHILE THE JUVENILE IS AT SPRITE.

THESE FILES ARE THE ONLY SOURCE OF PARTICIPANT OUTCOME FOR ADVENTURE BASED EDUCATION METHODOLOGY AND MAY PROVIDE HISTORICAL DATA THAT IS USED FOR RESEARCH PURPOSES, SINCE STUDENT PRACTICUMS ARE DONE OCCASSIONALLY.

RETENTION: CLOSED IS DEFINED AS THE DATE PARTICIPANT TURNS 19 YEARS OF AGE. RETAIN 7 YEARS AFTER CLOSED.

THIS RDA SUPERCEDES DEPARTMENT OF HELATH AND SOCIAL SERVICES/ DIVISION OF YOUTH SERVICES/ SPRITE HOUSE/ #852 1993.

00347000. SPRITE PARTICIPANT CARD CATALOG P PERM Y

SPRITE (SUPPORT, PRIDE, RESPECT, INITIATIVE, TEAMWORK, EDUCATION) IS A DYNAMIC ADVENTURE-BASED EDUCATION PROGRAM DESIGNED TO TEACH THE SKILLS NECESSARY FOR DELINQUENT YOUTH TO SUCCESSFULLY REINTEGRATE INTO THEIR HOME COMMUNITIES OR AFTERCARE PLACEMENTS.

CONTENT: THIS CARD CATALOG CONTAINS A 3 X 5 FILE CARD FOR EVERY JUVENILE THAT HAS EVER PARTICIAPTED IN THE SPRITE PROGRAM. INFORMATION ON FILE CARDS CONTAINS: NAME, J-NUMBER, INSTITUTION, HOME ADDRESS, AND PHONE NUMBER, BIRTH DATE, RACE, COUNTY AGENT, AND COMMITTING OFFENSE. THESE CARE ARE FILED ALPHABETICALLY FOR QUICK REFERENCE AND ARE HELPFUL FOR LONG TERM STUDIES. THE CARDS ARE STORED AT THE DJC NORTHWEST REGION OFFICE IN THE CONFIDENTIAL MATERIALS FILE AS A HISTORICAL RECORD OF WHO HAS GONE THROUGH THE PROGRAM.

CLOSED IS DEFINED AS THE DATE AFTER THE JUVENILE HAS TURNED 19 YEARS OF AGE.

RETENTION: RETAIN PERMANENTLY.

THIS RDA SUPERCEDED DEPARTMENT OF HEALTH AND SOCIAL SERVICES/ DIVISION OF YOUTH SERVICES/ SPRITE HOUSE/ #854 1993.

00348000. **SPRITE SESSION FILES** **EVT+7** **DEST** **Y**

SPRITE (SUPPORT, PRIDE, RESPECT, INITIATIVE, TEAMWORK, EDUCATION) IS A DYNAMIC ADVENTURE-BASED EDUCATION PROGRAM DESIGNED TO TEACH THE SKILLS NECESSARY FOR DELINQUENT YOUTH TO SUCCESSFULLY REINTEGRATE INTO THEIR HOME COMMUNITIES OR AFTERCARE PLACEMENTS. MOST SESSIONS ARE 25-28 DAYS FOR MALES AGED 14-18, BUT AN 8-DAY PROGRAM IS OFFERED FOR GIRLS ON AN INFREQUENT BASIS.

CONTENT: THIS RECORD SERIES CONTAINS, BUT IS NOT LIMITED TO, STUDENT EVALUATIONS, DAILY LOGS, TRIP ITINERARIES, RECORDS OF ALL ACTIVITIES, AND COUNTY SERVICE AGREEMENTS. THE SESSION FILE CONTAINS ALL THE GROUP PAPERWORK FOR THAT PROGRAM SESSION. THE GROUP PAPERWORK IS NOT COPIED INTO PARTICIPANT FILES.

PURPOSE: TO HAVE AN EASILY ACCESSIBLE AND CONCISE RECORD OF EACH SPRITE SESSION AND ITS OUTCOME.

RETENTION: RETAIN 7 YEARS AND DESTROY CONFIDENTIAL.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/ DIVISION OF YOUTH SERVICES/ SPRITE HOUSE/ #855 1993.

00349000. **SPRITE NIGHT SECURITY CHECKLIST FORMS** **EVT+0/1** **DEST** **Y**

SPRITE (SUPPORT, PRIDE, RESPECT, INITIATIVE, TEAMWORK, EDUCATION) IS A DYNAMIC ADVENTURE-BASED EDUCATION PROGRAM DESIGNED TO TEACH THE SKILLS NECESSARY FOR DELINQUENT YOUTH TO SUCCESSFULLY REINTEGRATE INTO THEIR HOME COMMUNITIES OR AFTERCARE PLACEMENTS.

CONTENT: THIS RECORD CONTAINS, BUT IS NOT LIMITED TO: FORM DOC-1690 DAILY POPULATION REPORT AND DOC-1692 SECURITY DEVICE INSPECTION REPORT.

PURPOSE: THESE CHECKLISTS ARE FORMS BY WHICH THE NIGHT SECURITY PERSON DOCUMENTS COMPLETION OF THE SECURITY MEASURES AND HEAD COUNTS REQUIRED BY SPRITE POLICY. THESE FORMS ASSURE ACCURATE INFORMATION IN CASE OF A SECURITY PROBLEM OR AWOL. THE TIMES ON THESE FORMS ARE RECORDED IN MILITARY TIME DOCUMENTING THE TIMES WHEN A HEAD COUNT HAS BEEN TAKEN. INFORMATION UNDER COMMENTS IS GEARED TOWARDS SECURITY CONCERNS ON PROJECTS BEING WORKED ON DURING THE NIGHT HOURS. SINCE THE CHECKLISTS ARE FOR INTERNAL SECURITY CHECKS, THEY ARE NOT USED FOR THE WEEKLY OFFICIAL POPULATION COUNT.

RETENTION: RETAIN 1 MONTH AND DESTROY CONFIDENTIAL.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/ DIVISION OF YOUTH SERVICES/ SPRITE HOUSE/ #857 1993.

00350000. **ROPES COURSE USAGE AND SPRITE ACCIDENT/NEAR MISS REPORTS** **EVT+7** **DEST** **Y**

SPRITE (SUPPORT, PRIDE, RESPECT, INITIATIVE, TEAMWORK, EDUCATION) IS A DYNAMIC ADVENTURE-BASED EDUCATION PROGRAM DESIGNED TO TEACH THE SKILLS NECESSARY FOR DELINQUENT YOUTH TO SUCCESSFULLY REINTEGRATE INTO THEIR HOME COMMUNITIES OR AFTERCARE PLACEMENTS.

CONTENT: THIS RECORD SERIES CONTAINS, BUT IS NOT LIMITED TO: FORM DOC-0365 "ROPES COURSE USAGE REPORTS" AND DOC-0366 "SPRITE ACCIDENT / NEAR MISS REPORT".

PURPOSE: THESE FORMS ARE USED TO RECORD/DOCUMENT USE OF THE SPRITE ROPES COURSE FOR THE PURPOSE OF MAINTAINING SAFETY BY DOCUMENTING INSPECTIONS, DOCUMENTING DAMAGED EQUIPMENT, AND DOCUMENTING ACCIDENTS AND INJURIES. THE NAME OF THE INJURED AND TYPE OF INJURY IS LISTED ON THE DOC-0366, BUT IS NOT CONSIDERED A MEDICAL RECORD. THIS RECORD SERIES IS MAINTAINED IN THE SPRITE DIRECTOR'S OFFICE AND USED FOR A YEARLY SAFETY REPORT AND REVIEWED TO LOOK FOR LONG-RANGE TRENDS AS PART OF ONGOING SAFETY STUDIES.

RETENTION: RETAIN 7 YEARS AND DESTROY CONFIDENTIAL.

THIS RDA SUPERCEDES DEPARTMENT OF HEALTH AND SOCIAL SERVICES/ DIVISION OF YOUTH SERVICES/ SPRITE HOUSE/ #858 1993.

00351000. **DIPLOMAS AND GED / HSED CERTIFICATES** **CR+75** **DEST** **Y**

CONTENT: DIPLOMAS ARE AWARDED UPON SUCCESSFULLY COMPLETING THE EDUCATION PROGRAM. HSED OR GED CERTIFICATES ARE AWARDED WHEN THE HIGH SCHOOL EQUIVALENCY PROGRAM IS SUCCESSFULLY COMPLETED.

DIPLOMAS AND HSED / GED CERTIFICATES WILL ONLY BE IN THIS RECORD SERIES IF NOT CLAIMED BY THE PUPIL.

RETENTION: RETAIN 75 YEARS AND DESTROY CONFIDENTIAL

00352000. **SOCIAL SECURITY RECORDS: REPRESENTATIVE PAYEE ACCOUNTING SYS** **EVT+3** **DEST** **Y**

PURPOSE: DJC RECIEVES THE SOCIAL SECURITY BENEFITS, AS REPRESENTATIVE PAYEE, ON BEHALF OF THE JUVENILE OFFENDERS WHO OTHERWISE RECIEVED BENEFITS. THESE BENEFITS ARE USED BY DJC AS PARTIAL PAYMENT FOR THE JUVENILES COST OF CARE. THE JUVENILE IS ALSO PROVIDED \$35 OF HIS / HER BENEFITS PER MONTH IN HIS / HER CANTEEN FUND FOR PERSONAL NEEDS. THE SOCIAL SECURITY ADMINISTRATION (SSA) REQUIRES REPRESENTATIVE PAYEES HAVE SOME FORM OF A PAYEE ACCOUNTING SYSTEM THAT WILL TRACK HOW MUCH MONEY IS RECIEVED, HOW MUCH MONEY IS SPENT, HOW IT WAS SPENT, AND THE BALANCE SAVED, FOR EACH BENEFICIARY. ALL RECORDS MUST BE SAVED FOR AT LEAST TWO CALENDAR YEARS, AND BE MADE AVAILABLE TO SSA UPON REQUEST.

CONTENT: DJC'S PAYEE ACCOUNTING SYSTEM IS KEPT IN A QUICKBOOKS PROGRAM DATABASE, WHERE DEPOSIT RECIEPTS ARE RECORDED BY BENEFICIARY NAME AND DOC OFFENDER NUMBER, AND CHECK DISBURSEMENTS ARE RECORDED BY PAYEE NAME. THE PAYEE ACCOUNTING SYSTEM INCLUDES AN INTEREST-BEING CHECKING ACCOUNT AT A LOCAL BANK.

CLOSED IS DEFINED AS RELEASED FROM CUSTODY / SUPERVISION.

RETENTION: EVENT (CLOSED) + 3 YEARS THEN DESTROY.

00353000. **PARENTAL SUPPORT RECORDS - ELECTRONIC** **EVT+5** **DEST** **Y**

PURPOSE: SECTION 301.03(18)(A) OF THE WISCONSIN STATUTES AUTHORIZES DOC TO ESTABLISH A UNIFORM SYSTEM OF FEES FOR JUVENILE DELINQUENCY-RELATED SERVICES PROVIDED OF PURCHASE BY DOC OR COUNTY DEPARTMENT FOR CARE AND MAINTENANCE OF YOUTH UNDER AGE 18 IN RESIDENTIAL, NON-MEDICAL FACILITIES SUCH AS GROUP HOMES, FOSTER HOMES, TREATMENT FOSTER HOME, CHILD CARING INSTITUTIONS, AND JUVENILE CORRECTIONAL INSTITUTIONS. LIABILITY IS SUBJECT TO RULES WHICH INCLUDE FORMULAS USED TO DETERMINE THE ABILITY TO PAY. DJC CAN COLLECT PARENTAL SUPPORT FROM PARENTS DEEMED ABLE TO PAY, AND WHO LIVE IN A NON-CONTRACTED COUNTY, OR IF THE JUVENILE IS A SERIOUS JUVENILE OFFENDER AND THE PARENT LIVES IN A CONTRACTED COUNTY. THE MONTHLY AMOUNT DUE IS ESTABLISHED IN THE PARENTAL SUPPORT AGREEMENT. THE STATUTE THAT ALLOWS DJC TO DO COLLECTIONS IS 767.29(3)(B).

CONTENT: THE MONTHLY AMOUNT CHARGED TO THE PARENT FOR SUPPORT, AND PAYMENTS RECIEVED ARE ENTERED INTO A QUICKBOOK DATABASE. MONTHLY CHARGES NO LONGER ACCRUE WHEN THE JUVENILE IN CUSTODY TURNS 18. SUPPORT RECIEVED IS DISBURSED TO THE INSTITUTIONS. MONTHLY STATEMENTS ARE PRINTED FROM QUICKBOOKS, WITH 2 COPIES FOR THE PARENT, AND ONE FOR DJC FILES. DATA INCLUDED, BUT NOT LIMITED TO, ARE JUVENILE NAME AND OFFENDER NUMBER, PARENT NAME AND ADDRESSES.

SEE RDA--317 PARENTAL LIABILITY CORRESPONDENCE REGARDING PAYMENT DECISIONS AND PAYMENT RECORDS.

SEE RDA -- COUNTY CONTRACTS -- DELEGATION OF PARENTAL AND CHILD SUPPORT COLLECTIONS

CLOSED IS DEFINED WHEN THE PARENT HAS NO FURTHER LIABILITY AND THE ACCOUNT BALANCE HAS REACHED ZERO.

RETENTION: EVENT (CLOSED / TERMINATED / DEATH) + 5 YEARS AND DESTROY.

00354000. **FOSTER GRANDPARENT PROGRAM PERSONNEL RECORDS** **EVT+8** **DEST** **Y**

THE FOSTER GRANDPARENT PROGRAM (FGP) IS FUNDED YEARLY BY A FEDERAL GRANT TO THE STATE DEPARTMENT OF HEALTH & FAMILY SERVICES (DHFS). DHFS RUNS THE PROGRAM IN VARIOUS DHFS AND DOC SITES, AND THERE IS A MEMORANDUM OF UNDERSTANDING AGREEMENT BETWEEN DHFS AND DOC THAT ESTABLISHES A GRANT BUDGET DOR DOC'S FOSTER GRANDPARENT PROGRAM IN THE JUVENILE INSTITUTIONS. THE DEPARTMENT OF CORRECTIONS - SUBMITS CLAIMS TO DHFS FOR REIMBURSEMENT OF VARIOUS FGP-RELATED EXPENSES. DHFS ALSO OAYS STIPENDS TO THE VOLUNTEERS. THE DOCUMENTS KEPT ARE DETERMINED BY FEDERAL RECORD - KEEPING REQUIREMENTS. THE FORMS INCLUDE DHFS FORMS AND DOC FORMS.

CONTENTS: AN INSTITUTION PERSONNEL RECORD IS MAINTAINED ON EACH FOSTER GRANDPARENT VOLUNTEER WHO PARTICIPATES IN THE PROGRAM. INFORMATION IN THIS RECORD MAY INCLUDE BUT IS NOT LIMITED TO: NAME, ADDRESS, SOCIAL SECURITY NUMBER, PHYSICIAN CONTACT, PERTINENT MEDICAL INFORMATION, EMERGENCY CONTACT PERSON, BENEFICIARY, SERVICE DATES, ANNUAL INCOME EVALUATION, VOLUNTEER HOURS, MILEAGE RECORDS, AND VOLUNTEER MEALS. ALSO, EACH FGP VOLUNTEER IS REQUIRED TO SUBMIT A YEARLY VERIFICATION THAT HE /SHE HAS BEEN OK'D FOR PARTICIPATION BY HIS / HER PHYSICIAN THAT THE INSTITUTION KEEPS IN THE VOLUNTEER'S P-FILE.

PURPOSE: REFERENCE, AND TO CONFORM TO FEDERAL GRANT RECORD-KEEPING REQUIREMENTS.

CLOSED DEFINITION: CLOSED IS DEFINED AS FGP VOLUNTEER LEAVES PROGRAM OR PROGRAM IS SUSPENDED / TRANSFERRED ANOTHER SITE.

NOTE: DUE TO THE NATURE OF THE INFORMATION KEPT IN THE RECORDS, THE RECORDS WOULD BE CONSIDERED CONFIDENTIAL.

00355000. NON-GENERAL CORRESPONDENCE - SOCIAL SECURITY & PARENTAL / CHII CR+0/3 DEST Y

PURPOSE: DJC CAN COLLECT PARENTAL / CHILD SUPPORT FROM A NON-CONTRACTED COUNTY ON BEHALF OF JUVENILE FOR HIS / HER COST OF CARE IN A JUVENILE INSTITUTION. SOCIAL SECURITY ADMINISTRATION (SSA) MAI LS NOTIFICATIONS OF THE AMOUNT OF BENEFITS DJC WILL RECIEVE ON BEHLAF OF A JUVENILE. QUESTIONS MAY ARI SE REGARDING A JUVENILE'S BENEFITS. COUNTIES MAY ASK WHAT DATE A JUVENILE WAS RELEASED FROM CUSTODY.

CONTENT: INCLUDES, BUT IS NOT LIMITED TO, REQUESTS TO NON-CONTRACTED COUNTIES TO SEND CHILD SUPPORT TO DJC, LETTERS FROM OR TO SSA, LETTERS FROM OR TO COUNTIES, INSTITUTION IPC DAILY ADMISSIONS EMAILS, JUVENILE RELEASE AUTHORIZATIONS FROM AGENTS, AND 1099-INC NOTICES FROM SSA.

CORRESPONDENCE MAY BE ON PAPER, FAXED OR MAILED, OR BY EMAIL. CORRESPONDENCE MAY INCLUDE, AND IS NOT LIMITED TO, THE FOLLOWING CONFIDENTIAL, IDENTIFYING INFORMATION: JUVENILE NAME, DATE OF BIRTH, SOCIAL SECURITY NUMBER, DOC OFFENDER NUMBER, ADMISSION DATE, INSTITUTION NAME, CHILD SUPPORT CASE NUMBER, AND NAMES OF PARENTS.

00356000. COUNTY CONTRACTS -- DELEGATION OF PARENTAL & CHILD SUPPORT CL EVT+5 DEST Y

PURPOSE: DJC SENDS OUT CONTRACTS, COVERING A 2-YEAR PERIOD, COVERING THE DELEGATION OF PARENTAL AND CHILD SUPPORT COLLECTION ACTIVITIES FOR SERVICES PROVIDED TO YOUTH PLACED OUTSIDE THEIR HOME WHILE UNDER CUSTODY OF DJC. IF THE COUNTY SIGNS THE CONTRACT, IT IS CONSIDERED A CONTRACTED COUNTY. IF THE JUVENILE OFFENDER'S COUNTY OF COMMITMENT IS A CONTRACTED COUNTY, DJC DOES NOT COLLECT ANY PARENTAL / CHILD SUPPORT FUNDS FROM THE COUNTY ON BEHALF OF THE JUVENILE FOR HIS / HER COST OF CARE IN A JUVENILE INSTITUTION, UNLESS THE JUVENILE IS DESIGNATED A SERIOUS JUVENILE OFFENDER (SJO). CONTRACTED COUNTIES DO THEIR OWN COLLECTIONS. DJC CAN COLLECT PARENTAL / CHILD SUPPORT FUNDS FROM NON-CONTRACTED COUNTIES FOR ANY JUVENILE ADMITTED TO A JUVENILE CORRECTIONAL INSTITUTION WHEN AN ACTIVE PARENTAL / CHILD CUPPORT ORDER EXISTS. THE WISCONSIN STATE STAUTUTE THAT ALLOWS DJC TO COLLECT IS 767.29(3)(B).

CONTENT: THIS RECORD SERIES INCLUDES A COPY OF THE SIGNED CONTRACT, AND THE QUARTERLY REPORTS FROM THE COUNTY STATING THE AMOUNT COLLECTED BY THE COUNTY UNDER DELEGATED AUTHORITY UNDER S.301.12(16). THE QUARTERLY REPORTS CAN INCLUDE JUVENILE AND PARENT NAMES, AMOUNTS COLLECTED, AND OTHER IDENTIFYING INFORMATION.

00357000. SOCIAL SECURITY RECORDS: ADMISSIONS REPORTS EVT+3 DEST Y

PURPOSE: DJC IS REQUIRED TO PROMPTLY REPORT CHANGES TO THE SOCIAL SECURITY ADMINISTRATION (SSA) THAT MAY AFFECT A BENEFICIARY'S ELIGIBILITY FOR SOCIAL SECURITY -- TYPE II, AND / OR SSI BENEFIT PAYMENTS. THIS INCLUDES NEW ADMISSIONS TO A CORRECTIONAL INSTITUTION, WHEN DJC NO LONGER NEEDS TO BE REPRESENTATIVE PAYEE WHEN THE OFFENDER IS RELEASED. ADMISSIONS REPORTING IS DONE VIA AN ELECTRONIC DATA FILE TO THE SSA - BALTIMORE WEBSITE AND VIA AN EXCEL WORKSHEET LIST EMAILED TO THE LOCAL SSA OFFICE IN MADISON. THE LOCAL SSA OFFICE RETURNS THE EXCEL LIST INDICATING WHICH JUVENILES RECIEVE SOCIAL SECUTIRY BENEFITS. DJC THEN APPLIES FOR THE BENEFITS. DJC RECIEVES THE SOCIAL SECURITY BENEFITS, AS REPRESENTATIVE PAYEE, ON BEHALF OF THE JUVENILE OFFENDERS WHO OTHERWISE RECIEVED BENEFITS. THESE BENEFITS ARE USED BY DJC AS PARTIAL PAYMENT FOR THE JUVENILE'S COST OF CARE.

CONTENT: ADMISSIONS DATA INCLUDED IN THE PRISONER DATA COLLECTION REPORT SENT TO SSA-BALTIMORE ARE FIRST, MIDDLE, AND LAST NAME, DATE OF BIRTH, GENDER, SOCIAL SECURITY NUMBER, DOC OFFENDER NUMBER, ADMISSION DATE, INMATE STATUS CODE (J FOR JUVENILE), RELEASE DATE (IF APPLICABLE), AND FACILITY ID CODE. THE PRISONER DATA COLLECTION REPORT SOFTWARE IS PROVIDED BY SSA ON DISKETTE, WHICH IS COPIED TO A NETWORK HARD DRIVE FOR USE, AND HAS NO ARCHIVAL NOR PRINT REPORTING FUNCTIONALITY. THE SEPERATE EXCEL WORKSHEET, WHICH CONTAINS THE SAME INFORMATION, IS PRINTED AND RETAINED FOR REFERENCE.

CLOSED IS DEFINED AS RELEASED FROM CUSTODY / SUPERVISION.

RETENTION: RETAIN 3 YEARS AFTER CLOSED AND DESTROY.

00358000. SOCIAL SECURITY RECORDS: REPRESENTATIVE PAYEE ACCOUNTING DOI EVT+3 DEST Y

PURPOSE: DJC RECIEVES THE SOCIAL SECURITY BENEFITS, AS REPRESENTATIVE PAYEE, ON BEHLAF OF THE JUVENILE OFFENDERS WHO OTHERWISE RECIEVED BENFITS. THESE BENEFITS ARE USED BY DJC AS PARTIAL PAYMENT FOR THE JUVENILE'S COST OF CARE. THE JUVENILE ALSO IS PROVIDED \$35 OF HIS / HER BENEFITS PER MONTH IN HIS/ HER CANTEEN FUND FOR PERSONAL NEEDS. THE SOCIAL SECURITY ADMINISTRATION (SSA) REQUIRES REPRESENTATIVE PAYEES HAVE SOME FORM OF A PAYEE ACCOUNTING SYSTEM THAT WILL TRACK HOW MUCH MONEY IS RECIEVED, HOW MUCH MONEY IS SPENT, HOW IT WAS SPENT, AND THE BALANCE SAVED, FOR EACH BENFICIARY. ALL RECORDS MUST BE SAVED FOR AT LEAST TWO CALENDAR YEARS, AND BE MADE AVAILBLE TO SSA UPON REQUEST. ALL DOCUMENTATION PROVIDING A PAPER TRAIL OF ALL DISBURSEMENTS, MUST BE RETAINED. SSA ALSO SENDS REPRESENTATIVE PAYEE REPORTS TO COMPLETE AND RETURN, ACCOUNTING FOR HOW A SPECIFIED BENFICIARY'S FUNDS WERE USED.

CONTENT: DJC'S PAYEE ACCOUNTING SYSTEM IS KEPT IN A QUICKBOOKS PROGRAM DATABASE, WHERE DEPOSIT RECIEPTS ARE RECORDED BY BENEFICIARY NAME AND DOC OFFENDER NUMBER, AND CHECK DISBURSEMENTS ARE RECORDED BY PAYEE NAME. THE PAYEE ACCOUNTING SYSTEM INCLUDES AN INTEREST-BEARING CHECKING ACCOUNT

AT A LOCAL BANK. THE PAPER RECORDS INCLUDED, BUT NOT LIMITED TO, ARE BANK STATEMENTS, PAID CHECKS, BANK RECONCILIATION REPORTS, ACH DEPOSIT LITINGS, DISBURSEMENT ORDERS FROM THE INSTITUTIONS OR AGNETS (FORM DOC-184-B), QUARTERLY RECONCILIATION REPORTS BY JUVENILE NAME, TRANSACTION DETAIL BY ACCOUNT REPORT, AND AN ACCOUNT QUICK REPORT.

CLOSED IS DEFINED AS RELEASED FROM CUSTODY / SUPERVISION.

00359000. JUVENILES WITH ADULT CORRECTIONAL STATUS CASE FILES EVT+7 DEST Y

SITUATION: A JUVENILE AGE 15 OR YOUNGER IS SENTENCED BY THE ADULT CRIMINAL COURT UNDER A JUDGEMENT OF CONVICTION (JOC), AND DUE TO HIS / HER AGE, IS PLACED IN A JUVENILE INSTITUTION (JCI) TO BEGIN SERVING HIS / HER SENTENCE. AT A LATER DATE, THE YOUTH IS TRANSFERRED TO AN ADULT INSTITUTION TO SERVE THE REST OF HIS / HER SENTENCE. THE CASE FILE IS NOT ASSIGNED A T-NUMBER WHEN THE YOUTH LEAVES THE JCI, BECAUSE NO JUVENILE SUPERVISION IS TERMINATED AND THE ADULT CASE TERMINATION MAY BE MANY YEARS IN THE FUTURE. THE DIVISION OF ADULT INSTITUTIONS (DAI) REQUESTS COPIES BE SENT TO IT OF THE PROGRESS SUMMARIES AND OTHER REPORTS FROM THE SOCIAL SERVICES FILES FOR THE ADULT CASE FILES.

PURPOSE: TO SET A TIMEFRAME FOR RETENTION AND DISPOSITION OF THE SOCIAL SERVICES PORTION OF THE CASE FILE THAT REMAINS AT JCI. SINCE THERE IS NO DJC T-NUMBER, RDA-110 DOES NOT APPLY. THE JCI DOES NOT RECIEVE A T-NUMBER FROM DAI EITHER.

CONTENTS: THESE RECORDS CONTAIN, BUT ARE NOT LIMITED TO THE FOLLOWING: CHRONOLOGICAL SUMMARY, FACE SHEET, DEPARTMENT ORDERS, ADMISSION EXAMINATION, STAFF RECOMMENDATIONS. SOCIAL WORKER REPORTS, YOUTH COUNSELOR REPORTS, INVENTORY OF PERSONAL PROPERTY, PROGRESS SUMMARY, GENERAL CORRESPONDENCE, SOCIAL INVESTIGATION SUMMARY, CASE HISTORY REVIEW, ADMISSION INVESTIGATION, COURT ORDERS, CONDUCT REPORTS, AND DISCIPLINE REPORTS.

NOTE: CLOSED IS WHEN THE YOUTH IS TRANSFERRED TO THE SDULT SYSTEM. ACTIVE AND INACTIVE FILES ARE ALPHABETICAL.

00360000. DJC NOTICES OF RELEASE / TRANSFER OR DISCHARGE OF YOUTH EVT+5 DEST Y

PURPOSE: SECTION 938.51 OF THE WISCONSIN STATUTES REQUIRES DOC TO MAKE A REASONABLE ATTEMPT TO NOTIFY CERTAIN COMMUNITY AGENCIES AT LEAST 15 DAYS PRIOR TO A YOUTH'S RELEASE FROM A JUVENILE CORRECTIONAL FACILITY, OF CERTAIN MOVEMENTS WHILE IN THE COMMUNITY, AND OF TERMINATION OF DJC SUPERVISION. SECTION 938.78 ALLOWS DOC TO SEND NOTIFICATION. THE LOCAL AGENCIES TO BE NOTIFIED INCLUDE THE COUNTY SHERIFF AND LOCAL POLICE DEPARTMENT, THE SCHOOL DISTRICT, AND COUNTY DEPARTMENT OF HUMAN / SOCIAL SERVICES APPLICABLE TO THE COMMUNITY IN WHICH THE YOUTH WILL RESIDE.

CONTENT: THE NOTICES OF RELEASE MAY INCLUDE, BUT ARE NOT LIMITED TO, FORMS DOC-1630 NOTICE OF DISCHARGE OF YOUTH FROM JCI, DOC-1627 NOTICE OF RELEASE / TRANSFER OF YOUTH TO COMMUNITY, AND DOC-1626 NOTICE OF RELEASE OF YOUTH FROM COMMUNITY SUPERVISION. FORMS DOC-1630, DOC-1627, AND DOC-1626 ARE COMPLETED IN THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS). THE COMPLETED DOC-1627 IS PRINTED AND SENT TO THE APPLICABLE LOCAL AGENCIES. COPIES ARE SENT TO THE COMMITTING COURT, DISTRICT ATTORNEY, OFFICE OF JUVENILE OFFENDER REVIEW (OJOR), DJC FIELD OFFICE AND AGENT, AND THE YOUTH'S PARENTS OR LEGAL GUARDIAN. THE DOC-1630 IS PRINTED AND SENT TO APPLICABLE LOCAL AGENCIES, WHILE COPIES ARE SENT TO OJOR, THE INSTITUTION SOCIAL WORKER, THE DJC FIELD OFFICE / AGENT, AND YOUTH'S PARENTS / LEGAL GUARDIAN. THE DOC-1626 IS PRINTED AND SENT TO THE LOCAL AGENCIES, WHILE COPIES ARE SENT TO OJOR, AND THE YOUTH'S PARENTS / LEGAL GUARDIAN. COPIES SENT TO OJOR AND FIELD OFFICES BECOME PART OF THE JUVENILE CASE FILES (SEE RDA 110).

NOTE: JJIS IS NOT PROGRAMMED WITH THE ABILITY TO PURGE OLD DATA.

00361000. DJC COPY - APPREHENSION REQUESTS / CANCELLATION OF APPREHENSIO EVT+5 DEST Y

PURPOSE: THE APPREHENSION REQUEST FORMS ARE USED TO NOTIFY THE DEPARTMENT OF CORRECTIONS / MONITORING CENTER / WARRANTS SECTION TO INITIATE WARRANT PROCEEDINGS FOR JUVENILES WHO HAVE ABSCONDED, ESCAPED FROM AN INSTITUTION, AWOL WHILE ON ELECTRONIC MONITORING, OR VIOLATED SUPERVISION RULES TO THE EXTENT HE / SHE MUST BE TAKEN INTO CUSTODY. THE APPREHENSION REQUEST ALSO PROVIDES NOTIFICATION TO LAW ENFORCEMENT AGENCIES THAT DOC IS REQUESTING APPREHENSION OF THE INDIVIDUAL NAMED IN THE APPREHENSION REQUEST. THE CANCELLATION OF APPREHENSION FORM IS USED TO CANCEL THE ACTIVE WARRANT.

CONTENT: THIS RECORD SERIES CONTAINS, BUT MAY NOT BE LIMITED TO, FORMS DOC-58 APPREHENSION REQUEST, DOC-58A CANCELLATION OF APPREHENSION, DOC-58B INSTITUTION ESCAPE APPREHENSION REQUEST, AND DOC-58J APPREHENSION REQUEST JUVENILE. THE APPREHENSION REQUEST MUST ALSO BE RECORDED IN THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS). INFORMATION GIVEN INCLUDES THE JUVENILE'S NAME, BIRTH-DATE, PHYSICAL DESCRIPTION, SOCIAL SECURITY NUMBER, DRIVER'S LICENSE NUMBER, AND COURT CASE NUMBER(S), ETC.

THE ORIGINAL DOC-58, DOC-58A, AND DOC-58J ARE SENT TO THE MONITORING CENTER / WARRANTS SECTION, (SEE RDA-107 AND 108, WHICH EACH HAVE DIFFERENT RETENTION PERIODS THAN 5 YEARS) AND COPIES ARE GIVEN TO THE AGENT'S SUPERVISOR AND ALSO PLACED IN THE JUVENILE CASE FILE (SEE RDA-110). THE ORIGINAL DOC-58B IS KEPT BY THE INSTITUTION OF ESCAPE AND THE COPY GOES TO THE WARRANTS SECTION.

RDA # RDA Title Retention Disposition PII

RETENTION: EVENT (CLOSED) + 5 YEARS AND DESTROY.

00362000. **ALTERNATE CARE SERVICE PROVIDERS DATABASE** **EVT+5** **DEST** **Y**

PURPOSE: SECTION 938.205 & 938.207 & 938.208 OF THE WISCONSIN STATUTES AUTHORIZES DOC TO HOLD JUVENILES IN PHYSICAL CUSTODY IN NON-SECURE CUSTODY OR IN SECURE CUSTODY PLACEMENTS OTHER THAN A JUVENILE CORRECTIONAL FACILITY. ALTERNATE PLACEMENTS INCLUDE, BUT ARE NOT RESTRICTED TO, THE HOME OF A RELATIVE, A LICENSED TREATMENT FOSTER HOME, LICENSED GROUP HOME, LICENSED PRIVATE OR PUBLIC SHELTER CARE FACILITY, A NON-SECURE FACILITY OPERATED BY A LICENSED CHILD WELFARE AGENCY, OR TYPE 2 PRIVATELY-OPERATED SECURE RESIDENTIAL CARE CENTER. THE YOUTH'S AGENT HAS PRIMARY RESPONSIBILITY FOR MAKING THE REFERRAL TO ALTERNATE CARE IF THERE IS PROBABLE CAUSE TO BELIEVE THE YOUTH MAY REQUIRE OTHER PEOPLE, DAMAGE PROPERTY, IF THE PARENT OR GUARDIAN IS UNWILLING, UNABLE, OR UNAVAILABLE TO PROVIDE SUPERVISION AND CARE, OR IF THE YOUTH MAY RUN AWAY OR BE TAKEN AWAY SO AS TO BE UNAVAILABLE FOR COURT PROCEEDINGS.

CONTENT: THIS RECORD INCLUDES (BUT IS NOT LIMITED TO) FACILITY NAME / ADDRESS, FACILITY ID CODE, TYPE AND SUBTYPE OF SERVICE PROVIDED, CURRENT PUBLISHED RATE (BY DHFS) FOR SERVICE, UNIT BY WHICH THE RATE WILL BE CHARGED, AND RATE EFFECTIVE DATE AND INACTIVE DATES (IF APPLICABLE), BILLING CUSTOMER NAME (INSTITUTION, COUNTY, PERSON) AND ID NUMBER, AND FUNDING TYPE, ALL ENTERED INTO THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS) DATABASE. INDIVIDUAL JUVENILE CASE RECORDS INCLUDE THE ALTERNATE PLACEMENT DATA. MONTHLY AD-HOC REPORTS FROM JJIS ARE TRANSLATED INTO SAVED EXCEL WORKBOOK FILES, AND WOULD INCLUDE BILLING DATA BY PROVIDER, SUMMARY REPORTS FOR JOURNAL VOUCHERS, ACCOUNTS RECIEVABLE, AND BDUGET INFORMATION. JJIS IS NOT PROGRAMMED WITH THE ABILITY TO PURGE DATA, BUT ITS REPLACEMENT PROGRAM, ICS, SCHEDULE TO BE PUT INTO PLACE IN 2007, SHOULD HAVE THAT ABILITY.

RETENTION: EVENT (AFTER END OF FISCAL YEAR OF PAYMENT ENTRY) + 5 YEARS AND DESTROY.

00363000. **ALTERNATE CARE ATTENDANCE RECORDS** **EVT+5** **DEST** **Y**

PURPOSE: SECTION 938.205 & 938.207 & 938.208 OF THE WISCONSIN STATUTES AUTHORIZES DOC TO HOLD JUVENILES IN PHYSICAL CUSTODY IN NON-SECURE CUSTODY OR IN SECURE CUSTODY PLACEMENTS OTHER THAN A JUVENILE CORRECTIONAL FACILITY. ALTERNATE PLACEMENTS INCLUDE, BUT ARE NOT RESTRICTED TO, THE HOME OF A RELATIVE, A LICENSED TREATMENT FOSTER HOME, LICENSED GROUP HOME, LICENSED PRIVATE OR PUBLIC SHELTER CARE FACILITY, A NON-SECURE FACILITY OPERATED BY A LICENSED CHILD WELFARE AGENCY, OR TYPE 2 PRIVATELY-OPERATED SECURE RESIDENTIAL CARE CENTER. THE YOUTH'S AGENT HAS PRIMARY RESPONSIBILITY FOR MAKING THE REFERRAL TO ALTERNATE CARE IF THERE IS PROBABLE CAUSE TO BELIEVE THE YOUTH MAY REQUIRE OTHER PEOPLE, DAMAGE PROPERTY, IF THE PARENT OR GUARDIAN IS UNWILLING, UNABLE, OR UNAVAILABLE TO PROVIDE SUPERVISION AND CARE, OR IF THE YOUTH MAY RUN AWAY OR BE TAKEN AWAY SO AS TO BE UNAVAILABLE FOR COURT PROCEEDINGS.

CONTENT: THIS RECORD INCLUDES THE DOC-1766 ATTENDANCE REPORT FOR JUVENILE PLACEMENTS. INFORMATION ON THE FORM INCLUDES (BUT NOT LIMITED TO) FACILITY NAME /ADDRESS, REPORTING PERIOD (MONTHH / YEAR) DAILY RATE, JUVENILE NAME(S), OFFENDER NUMBER, RESIDENTIAL CARE DATES, TEMPORARY ABSENCE DATES, TOTAL REIMBURSABLE CARE DAYS, AND REIMBURSEMENT AMOUNT REQUESTED. THE ORIGINAL, WHICH IS COMPLETED AND SENT TO DJC BY THE ALTERNATE CARE FACILITY, IS COMPARED FOR ACCURACY AGAINST THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS) DATA, AND IS USED TO ENTER THE PAYMENT VOUCHER INTO THE STATE FISCAL MANAGEMENT SYSTEM. PAYMENTS MAY INCLUDE CORRECTIONS. A COPY IS RETAINED IN DJC CENTRAL OFFICE FILES, WITH ANY APPLICABLE SUPPORTING JJIS PRINT-SCREENS. THE ALTERNATE CARE FACILITY ALSO GETS A COPY WITH THE PAYMENT CHECK.

RETENTION: EVENT (AFTER END OF FISCAL YEAR OF PAYMENT ENTRY) + 5 AND DESTROY.

00364000. **ALTERNATE CARE SERVICE PROVIDERS BILLING REPORTS** **EVT+5** **DEST** **Y**

PURPOSE: SECTION 938.205 & 938.207 & 938.208 OF THE WISCONSIN STATUTES AUTHORIZES DOC TO HOLD JUVENILES IN PHYSICAL CUSTODY IN NON-SECURE CUSTODY OR IN SECURE CUSTODY PLACEMENTS OTHER THAN A JUVENILE CORRECTIONAL FACILITY. ALTERNATE PLACEMENTS INCLUDE, BUT ARE NOT RESTRICTED TO, THE HOME OF A RELATIVE, A LICENSED TREATMENT FOSTER HOME, LICENSED GROUP HOME, LICENSED PRIVATE OR PUBLIC SHELTER CARE FACILITY, A NON-SECURE FACILITY OPERATED BY A LICENSED CHILD WELFARE AGENCY, OR TYPE 2 PRIVATELY-OPERATED SECURE RESIDENTIAL CARE CENTER. THE YOUTH'S AGENT HAS PRIMARY RESPONSIBILITY FOR MAKING THE REFERRAL TO ALTERNATE CARE IF THERE IS PROBABLE CAUSE TO BELIEVE THE YOUTH MAY REQUIRE OTHER PEOPLE, DAMAGE PROPERTY, IF THE PARENT OR GUARDIAN IS UNWILLING, UNABLE, OR UNAVAILABLE TO PROVIDE SUPERVISION AND CARE, OR IF THE YOUTH MAY RUN AWAY OR BE TAKEN AWAY SO AS TO BE UNAVAILABLE FOR COURT PROCEEDINGS.

CONTENT: THIS RECORD INCLUDES (BUT IS NOT LIMITED TO) MONTHLY AD-HOC RPEORTS FROM JJIS WHICH ARE TRANSLATED INTO SAVED EXCEL WORKBOOK FILES, AND WOULD INCLUDE BILLING DATA BY PROVIDER, SUMMARY REPORTS FOR JOURNAL VOUCHERS, ACCOUNTS RECIEVABLE, AND BUDGET INFORMATION. A PRINTED FINAL SUMMARY REPORT BY SERVICE PROVIDER IS FILED WITH THE ATTENDANCE REPORT FOR JUVENILE PLACEMENT COPIES

JJIS IS NOT PROGRAMMED WITH THE ABILITY TO PURGE DATA, BUT ITS REPLACEMENT PROGRAM, ICS, SCHEDULED TO BE PUT INTO PLACE IN 2007, SHOULD HAVE THAT ABILITY.

RETENTION: EVENT (AFTER END OF FISCAL YEAR OF PAYMENT ENTRY) + 5 AND DESTROY.

00365000. **JUVENILE POPULATION COUNT REPORTS** **CR+3** **DEST** **N**

THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS) INCLUDES DATA ON THE STATUS / LOCATION OF EACH JUVENILE HELD IN DJC INSTITUTIONS OR SUPERVISED IN THE FIELD. THIS DATABASE IS USED TO GENERATE THE WEEKLY FRIDAY REPORT, WHICH IS THE OFFICIAL WEEKLY POPULATION COUNT OF ALL JUVENILES IN THE INSTITUTIONS AND COMMUNITY UNITS, BASED ON POPULATION AS OF THURSDAY AT MIDNIGHT. ONLY SPRITE (A TYPE 1 INSTITUTION, POPULATION = 12) IS COUNTED MANUALLY, AND ADDED INTO THE JJIS COUNT. SPRITE IS CURRENTLY NOT USING JJIS.

CONTENT: THIS RECORD SERIES INCLUDES, BUT IS NOT LIMITED TO, THE PRINTED FRIDAY REPORT, WHICH LISTS THE DATE OF THE REPORT, INSTITUTION, TOTAL POPULATION, ON-GROUNDS TOTAL, COMMUNITY UNIT TOTAL, AND A BREAKDOWN BY GENDER, AFTERCARE OR CORRECTIVE SANCTIONS OR INTERSTATE COMPACT STATUS. DJC FRIDAY REPORT DATA IS INCLUDED IN THE DOC-WIDE FRIDAY REPORT. WEEKLY COUNTS PAPERWORK PRIOR TO 4/08/05 INCLUDES WORKSHEETS SUBMITTED TO DJC-CENTRAL OFFICE EVERY FRIDAY FROM EACH INSTITUTION AND FIELD OFFICE.

NOTE: SEE ALSO RDA-300 POPULATION BREAKDOWN LOGS. WRITTEN COUNTS ARE REQUIRED PER CHAPTER DOC 376.06 OF THE WISCONSIN ADMINISTRATIVE CODE. EACH INSTITUTION CONDUCTS A FORMAL DAILY COUNT TO ENSURE ALL JUVENILE INMATES ARE ACCOUNTED FOR. THE VERIFIED COUNT INFORMATION IS ENTERED INTO JJIS ON THE COUNT RECONCILIATION SCREEN.

RETENTION: CREATION + 3 YEARS AND DESTROY.

00366000. **JUVENILE POPULATION COUNT / MOVEMENTS** **CR+10** **DEST** **N**

PURPOSE: THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS) INCLUDES DATA ON THE STATUS / LOCATION OF EACH JUVENILE HELD IN DJC INSTITUTIONS OR SUPERVISED IN THE FIELD. THIS DATABASE IS USED TO GENERATE THE WEEKLY FRIDAY REPORT, WHICH IS THE OFFICIAL WEEKLY POPULATION COUNT OF ALL JUVENILES IN THE INSTITUTIONS AND COMMUNITY UNITS, BASED ON POPULATION AS OF THURSDAY AT MIDNIGHT. ONLY SPRITE (A TYPE 1 INSTITUTION, POPULATION = 12) IS COUNTED MANUALLY, AND ADDED INTO THE JJIS COUNT. SPRITE IS CURRENTLY NOT USING JJIS. THIS SAME DATABASE CAN BE USED FOR INQUIRIES AT ANY TIME, SUCH AS UNIT COUNT, LOCATION CHANGE, MOVE HISTORY, ROSTERS, ACTIVE LISTS, OR FACESHEETS. THE DATABASE CAN BE USED FOR INQUIRIES AT ANY TIME, SUCH AS COUNTS, LOCATIONS, TRANSFERS OUT, EXTERNAL MOVEMENTS, INTERNAL MOVEMENTS, OR CASE STATUS.

CONTENT: THIS RECORD SERIES INCLUDES INSTITUTION NAME, GENDER, AFTERCARE OR CORRECTIVE SANCTIONS, OR INTERSTATE COMPACT. DATA THAT GOES INTO THE FRIDAY REPORT STATISTICS INCLUDE THE DATE OF THE REPORT, INSTITUTION, TOTAL POPULATION, ON-GROUNDS TOTAL, COMMUNITY UNIT TOTAL, A BREAKDOWN BY GENDER, AFTERCARE OR CORRECTIVE SANCTIONS OR INTERSTATE COMPACT. FORMAL DAILY POPULATION COUNT INFORMATION IS ENTERED IN JJIS ON THE COUNT RECONCILIATION SCREEN. OTHER DATA INCLUDES ALTERNATE CARE REPLACEMENTS, OFF-GROUNDS LEAVE (<24 HOURS), FURLOUGHS (<7 DAYS), OR TRIAL VISITS (<30 DAYS).

NOTE: JJIS IS NOT PROGRAMMED WITH THE ABILITY TO PURGE OLD DATA.

00369000. **JUVENILE JPRC HEARING DATE TRACKING SYSTEM (JJIS-CASE MANAGEM** **CR+1** **DEST** **Y**

PURPOSE: THIS SYSTEM IS USED TO SET THE INITIAL HEARING DATE AND ALL SUBSEQUENT REVIEW DATES FOR EACH JUVENILE OFFENDER PLACED IN A JUVENILE CORRECTIONAL INSTITUTION. OJOR STAFF IN DJC / CENTRAL OFFICE SCHEDULE THE FORMAL JOINT PLANNING AND REVIEW COMMITTEE (JPRC) REVIEWS TO ENSURE THAT LEGAL TIMELINES ARE MET. OJOR-CO PROVIDES A NOTICE OF THE MEETING TIME AND LOCATION VIA JUVENILE JUSTICE INFORMATION SYSTEM (JJIS) TO DJC STAFF, AND BY STANDARDIZED (JJIS) LETTER TO THE PARENT / GUARDIAN AND OTHER NON-DJC INDIVIDUALS. AFTER THE JPRC HEARING, OJOR ISSUES A DEPARTMENT ORDER (DOC-1722A -- WHICH IS PART OF THE CASE FILE) AND A DECISION SUMMARY & COMMENTS REPORT WITHIN JJIS.

CONTENT: REPORTS INCLUDE THE SUMMARY OF DECISIONS REPORT. THE SUMMARY OF DECISIONS REPORT SUMMARIZES THE DECISIONS MADE AT ALL JPRC MEETINGS FOR THE ACTIVE CASELOAD FOR A SPECIFIED PERIOD OF TIME. SEE RDA-370 REGARDING STANDARDIZED PARENT / GUARDIAN LETTERS AND RDA-110 JUVENILE CASE FILES.

00370000. **JUVENILE JPRC HEARING DATE TRACKING SYSTEM (JJIS-CASE MANAGEM** **CR+0/6** **DEST** **Y**

PURPOSE: THIS SYSTEM IS USED TO SET THE INITIAL HEARING DATE AND ALL SUBSEQUENT REVIEW DATES FOR EACH JUVENILE OFFENDER PLACED IN A JUVENILE CORRECTIONAL INSTITUTION. OJOR STAFF IN DJC / CENTRAL OFFICE SCHEDULE THE FORMAL JOINT PLANNING AND REVIEW COMMITTEE (JPRC) REVIEWS TO ENSURE THAT LEGAL TIME LINES ARE MET. OJOR-CO PROVIDES NOTICE OF THE MEETING TIME AND LOCATION VIA JUVENILE JUSTICE INFORMATION SYSTEM (JJIS) TO DJC STAFF, AND BY STANDARDIZED (JJIS) LETTER TO THE PARENT / GUARDIAN AND OTHER NON-DJC INDIVIDUALS.

CONTENT: INCLUDES, BUT MAY NOT BE LIMITED TO, LETTERS TO PARENTS AND GUARDIANS NOTIFYING THEM OF UPCOMING JOINT PLANNING AND REVIEW COMMITTEE (JPRC) HEARINGS. NON-DJC INDIVIDUALS INCLUDE COMMITTING COUNTY REPRESENTATIVE. DJC STAFF NOTIFIED INCLUDE THE JUVENILE CORRECTIONAL INSTITUTION SOCIAL WORKER, THE DJC AGENT (IF ONE IS ASSIGNED), AND THE OJOR REVIEWER. THE PRINTED VERSION IS PLACED IN THE JUVENILE CASE FILE (SEE RDA-110). THE ELECTRONIC VERSION IS RETAINED FOR 6 MONTHS, THEN DELETED.

RDA #	RDA Title	Retention	Disposition	PII
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<u>00372000.</u>	<u>JUVENILE JPRC HEARING DATE TRACKING SYSTEM (JJIS-CASE MANAGEM</u>	<u>EVT+0/6</u>	<u>DEST</u>	<u>Y</u>
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PURPOSE: THIS SYSTEM IS USED TO SET THE INITIAL HEARING DATE AND ALL SUBSEQUENT REVIEW DATES FOR EACH JUVENILE OFFENDER PLACED IN A JUVENILE CORRECTIONAL INSTITUTION. OJOR STAFF IN DJC / CENTRAL OFFICE SCHEDULE THE FORMAL JOINT PLANNING AND REVIEW COMMITTEE (JPRC) REVIEWS TO ENSURE THAT LEGAL TIME LINES ARE MET. OJOR-CO PROVIDES NOTICE OF THE MEETING TIME AND LOCATION VIA JUVENILE JUSTICE INFORMATION SYSTEM (JJIS) TO DJC STAFF, SUCH AS INSTITUTION SOCIAL WORKERS, AGENTS, AND OJOR FIELD STAFF, AND BY STANDARDIZED (JJIS) LETTER TO THE PARENT / GUARDIAN AND OTHER NON-DJC INDIVIDUALS, SUCH AS COUNTY REPRESENTATIVES.

CONTENT: PRINTED SCHEDULES ARE PRINTED FROM JJIS. BOTH THE ADDITIONS / CHANGES TO REVIEW LIST REPORT AND THE PLANNING REVIEW SCHEDULE PROVIDES A LIST OF SCHEDULED JRPC HEARINGS. THE REVIEW SUMMARY PROVIDES A REPORT ABOUT JRPC HEARINGS THAT HAVE OCCURRED. THIS RETENTION SCHEDULES COVERS THE OJOR-CENTRAL OFFICE COPY.

CLOSED IS DEFINED AS 6 MONTHS FATER THE HEARONG DATE HAS PASSED.

<u>00379000.</u>	<u>DJC AGENCY & STAFF ASSIGNMENTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: THIS RECORD SERIES INCLUDES, BUT IS NOT LIMITED TO, INSTITUTION NAME, STAFF PERSON NAME AND USER ID, ASSIGNMENT DATE AND END OF ASSIGNMENT DATE (REFERRED TO AS EXPIRY DATE) AS WELL AS OFFENDER NAME, DOC-NUMBER, BIRTH DATE, COMMUNITY PLACEMENT, A CASE STATUS. JUVENILE CLIENTS NOT ASSIGNED A FIELD AGENT YET WILL HAVE A "PENDING RECORD" STATUS UNTIL THE AGENT ASSIGNMENT IS RECORDED. THE PENDING RECORD STATUS OCCURS EITHER WHEN A YOUTH IS FIRST ADMITTED TO THE INSTITUTION, WHICH CREATES A REMINDER NOTICE TO THE FIELD TO ASSIGN AN AGENT WHEN APPROPRIATE, OR WHEN A YOUTH IS TRANSFERRED FROM ONE FIELD UNIT TO ANOTHER. JJIS "SUGGESTS" AGENT ASSIGNMENTS BASED ON PREDEFINED RULES IN THE SYSTEM THOUGH A DIFFERENT AGENT NAME CAN BE CHOSEN. AGENT REASSIGNMENTS CAN ALSO BE DONE.

PURPOSE: THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS) INCLUDES VARIOUS STAFF ASSIGNMENT, SUCH AS THE ASSIGNMENT OF SOCIAL WORKER, FIELD AGENT, OJOR REVIEWER, DESIGNATED INSTITUTION OFFICE OPERATIONS ASSISTANT, YOUTH COUNSELOR, OR ANY OTHER STAFF POSITION SPECIFICALLY ASSIGNED TO A YOUTH, INCLUDING NON-DOC STAFF SUCH AS A COUNTY SOCIAL WORKER. AGENT ASSIGNMENT ARE DEACTIVATED BY USING THE "TERMINATION OF SUPERVISION" SCREEN WHEN THE NEED FOR AN AGENT ENDS. JJIS USERS CAN DO INQUIRIES ON CASELOADS, AGENT ASSIGNMENT, OR ASSIGNMENT HISTORIES. REPORTS AVAILABLE INCLUDE THE STAFF ASSIGNMENTS REPORT, AND ACTIVE CLIENTS REPORT. INQUIRIES AND REPORTS CAN BE PRINTED AT ANY TIME, AS NEEDED AS WORKING COPIES.

EVENT = CLOSED/TERMINATED/DEATH + 10 YEARS AND DESTROY CONFIDENTIALLY.

<u>00380000.</u>	<u>DJC STUDENT ACADEMIC PROGRESS RECORDS - JUVENILE</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: STUDENT PROGRESS RECORDS INCLUDE, BUT ARE NOT LIMITED TO, STUDENT GRADE BOOKS, THE TEACHER'S STUDENT FOLDER, AND THE REPORT CARD LOGBOOK. THE TEACHER'S STUDENT FOLDER INCLUDES PREVIOUS SCHOOL RECORDS, DUPLICATE COPIES OF THE FACE SHEETS, SUMMARIZED TEST DATA FROM THE RECEPTION CENTER, ACHIEVEMENT TEST RESULTS, PROGRESS REPORTS, CORRESPONDENCE WITH HOME SCHOOL, DAILY PROGRAM AND PROGRAM CHANGES, PERIODIC REPORTS, SUMMARY REPORTS ON PROGRESS, TEACHER'S EVALUATION SUMMARIES, SUMMARIES OF STANDARDIZED TESTS, AND CORRESPONDENCE CONCERNING SCHOOL RECORDS OR ACHIEVEMENT WHILE IN SCHOOL, AND DUPLICATES OF SCHOOL TRANSCRIPTS SENT TO OTHER SCHOOLS UPON REQUEST. THE FOLLOWING ARE EXAMPLES OF STUDENT INFORMATION ENTERED INTO THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS) COMPUTER RECORD: TEST SCORES, TYPES OF STANDARIZED TESTS TAKEN, SUBJECTS/COURSES TAKEN, GRADES, AND CREDITS EARNED, INDIVIDUAL CASE PLAN (DOC-1907), PROGRESS SUMMARY (DOC-1941). TRANSCRIPT REPORTS, EDUCATION EVALUATIONS, AND EDUCATION REPORTS TO THE JPRC (JOINT PLANNING & REVIEW COMMITTEE) CAN BE PRINTED FROM THE COMPUTER DATABASE.

PURPOSE: TO TRACK THE YOUTH'S ACADEMIC PERFORMANCE WHILE HE/SEH IS IN THE INSTITUTION.

NOTE: RDA-111A COVERS CUMULATED ATTENDANCE RECORDS, RDA 351 COVERS DIPLOMAS AND GED/HSED CERTIFICATES, AND RDA-112 COVERS SCHOOL TRANSCRIPTS.

EVENT = CLOSED/TERMINATED/DEATH + 7 YEARS AND DESTROY CONFIDENTIAL.

<u>00381000.</u>	<u>DJC STUDENT BEHAVIORAL RECORDS - JUVENILE</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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CONTENT: STUDENT BEHAVIORAL RECORDS INCLUDE, BUT ARE NOT LIMITED TO, PSYCHOLOGICAL TESTS, PERSONALITY EVALUATIONS, RECORDS OF CONVERSATIONS, ANY WRITTEN STATEMENT RELATING SPECIFICALLY TO AN INDIVIDUAL STUDENT'S BEHAVIOR, TESTS RELATING SPECIFICALLY TO ACHIEVEMENT OR MEASUREMENT OF ABILITY, AND ANY OTHER PUPIL RECORD THAT IS NOT A STUDENT PROGRESS RECORD. THE TEACHER'S STUDENT FOLDER MAY INCLUDE SUMMARY REPORTS ON BEHAVIOR FOR THE TEACHER'S USE. IN ADDITION, EXAMPLE OF STUDENT INFORMATION ENTERED INTO THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS) INCLUDES THE INDIVIDUAL CASE PLAN (DOC-1907).

PURPOSE: TO TRACK THE YOUTH'S BEHAVIORAL PERFORMANCE WHILE HE/SHE IS IN THE INSTITUTION. THE BEHAVIORAL RECORD IS TO BE KEPT FOR NO MORE THAN 1 (ONE) YEAR AFTER THE YOUTH HAS CEASED TO BE

Dept #: /650/ Department Name: JUVENILE INSTITUTIONS CENTRAL OFFICE

RDA # RDA Title Retention Disposition PII

ENROLLED IN THE SCHOOL UNLESS THE STUDENT HAS NOTIFIED THE SCHOOL IN WRITING THAT HIS OR HER BEHAVIORAL RECORDS MAY BE KEPT FOR A LONGER PERIOD.

NOTE: RDA-111A COVERS CUMULATED ATTENDANCE RECORDS, RDA 351 COVERS DIPLOMAS AND GED/HSED CERTIFICATES, AND RDA-112 COVERS SCHOOL TRANSCRIPTS.

EVENT = CLOSED/TERMINATED/DEATH + 1 YEAR AND DESTROY CONFIDENTIAL.

00382000. DJC ADMINISTRATIVE MEETING MINUTES AND FILES - ORIGINAL CR+7 SHSW Y

CONTENT: THIS RECORD SERIES INCLUDES, BUT IS NOT LIMITED TO, MEETING MINUTES AND RELATED DOCUMENTS FOR ROUTINE DIVISION MEETINGS, MANAGEMENT MEETINGS, COMMITTEE, FIELD OR UNIT SUPERVISOR-STAFF MEETINGS, OR SPECIAL WORKGROUPS. EXAMPLES OF RELATED DOCUMENTS ARE MEETING AGENDAS, PERTINENT HANDOUTS, INTERIM & FINAL REPORTS, WORK PAPERS, OR RELATED PRESENTATIONS, WORK PLANS, AND ATTENDANCE LISTS. IN ADDITION, THESE MAY INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING: DJC SUPERINTENDENT'S MEETING, DJC MANAGEMENT MEETING, JUVENILE CORRECTIONS TECHNICAL ADVISORY COMMITTEE, JUVENILE SEX OFFENDER TREATMENT PROGRAM STEERING COMMITTEE, DJC AODA COMMITTEE, AND THE JUVENILE JUSTICE SUPERVISORS MEETING. INDIVIDUALS DESIGNATED BY THE MEETING CHAIRPERSON MAINTAIN THE ORIGINAL MINUTES. COPIES ARE DISTRIBUTED VIA EMAIL TO MEETING MEMBERS AND INTERESTED PARTIES. COPIES OF THESE RECORDS ARE NOT CONSIDERED A RECORD UNDER THIS SERIES.

PURPOSE: TO RECORD DECISIONS OR RECOMMENDATIONS MADE, DOCUMENT WHAT TOPICS, SUCH AS CHANGES IN POLICY, PENDING LEGISLATION, OR BUDGET - WERE DISCUSSED, INFORMATION UPDATES, OR ISSUES AND POLICIES ADDRESSED IN MEETINGS THAT AFFECT THE DIVISION OF JUVENILE CORRECTIONS OPERATIONS.

EVENT = CR+7 YEARS AND TRANSFER TO STATE ARCHIVES(WHS).

Dept #: /685/ Department Name: DIV OF JUVENILE CORRECTIONS SCHOOL RECORDS

RDA # RDA Title Retention Disposition PII

00112000. SCHOOL TRANSCRIPTS EVT+75 DEST Y

CONTENTS: School transcripts indicate courses taken and grades earned prior to, and during commitment with the Department of Corrections.

PURPOSE: These records document a student's progress and achievement regarding their educational background during supervision.

NOTE: These transcripts are confidential, but they may be transferred between the Division's institutions and schools. Closed is upon T number assignment.