

445-WORKFORCE DEVELOPMENT

RDA #	RDA Title	Retention	Disposition	PII
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00323000. NON-POLICY COMMUNICATIONS **EVT+1** **DEST** **N**

The web is a primary environment for provision of information related to DWD programs and staff communication. DWD's webpages are often the first point of contact for customers seeking information and explanation of the agency's programs and policies. Notices to customers are frequently posted on DWD's website only; however some may be made available in other formats.

This content is frequently updated and is often presented as FAQ pages, fact sheets, and notices. These materials are intended to convey and simplify DWD policies for customers and staff; they do not take the place of the official policy documents.

EVENT: Removal from production server

00500000. EXTERNAL POLICY / PROCEDURES / STANDARDS **EVT+7** **SHSW** **N**

Formal documentation that gives notice of official department policy, procedures and standards to partner agencies, contracted service providers, local and state workforce boards, and DWD clients and customers. Documentation may include final roles and responsibilities, manuals, specifications, and requirements related to the provision of services.

Records also include support documents and correspondence that add understanding of alternatives and options and their implications considered during development.

The department communicates numerous requirements and official notices to a variety of audiences. This RDA captures those occurring through a number of media environments.

EVT + 7 yrs = superseded; Transfer - State Archives (WHS)

Dept #: /000/ Department Name: EQUAL RIGHTS

RDA #	RDA Title	Retention	Disposition	PII
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00081000. CIVIL RIGHTS DISCRIMINATION CASES AND CIVIL RIGHTS INFORMATION SY **EVT+6** **DEST** **Y**

Civil Rights Discrimination Cases are complaints of housing, public accommodation, employment, family and medical leave law (Wis. Stat. §106.50, §106.52, §§111.31-111.395, and §103.10) and other areas of concern (Civil Rights case paper records that don't go to court (whether or not they have gone to a hearing)). Complaint cases travel through various stages in the Civil Rights Claim Process, including Investigation, Administrative Hearing, the Labor and Industry Review Commission (LIRC) Appeals and Circuit Court Appeals. Data collected from Civil Rights Discrimination Complaint is entered into CRIS (Civil Rights Information System). The CRIS application provides case entry, major event, statistical information, and case searching features. In addition to tracking claims from intake to final resolution, CRIS provides reports to staff and management, generates letters, and creates a subset of data to be sent to the federal Equal Opportunity Employment Commission (EEOC). The paper files and documents are destroyed confidentially after they are imaged and attached to the electronic CRIS case file.

CRIS is a client-server application, developed in PowerBuilder, using an Oracle database. Personally identifiable information is collected (e.g. date of birth, address, or medical information). A routine purge (destroy confidential) cycle process is followed between ERD and DWD's Bureau of Information Technology Management (BITS). EEOC data is extracted from CRIS and provided to, EEOC (Equal Employment Opportunity Commission), through the federally developed and maintained IMS (Integrated Mission System).

Information contained through the Equal Rights decision level may include:

- ? Complaints
- ? Notice of Complaint
- ? Initial Determination
- ? Certification to Hearing
- ? Notice of Hearing
- ? Legal Decision Cover Letter
- ? Petition for Review and Briefs
- ? Case Log and Correspondence
- ? Transcripts of Hearing
- ? Hearing Decision
- ? Case Summary and any other related information

Additional information that may be included at the LIRC decision level:

- ? Findings of Fact
- ? Conclusions of Law Order
- ? Memorandum Opinion
- ? Dissent
- .. and any other related information

Program Contact: Office Manager, 608-266-6860,
erinfo@dwd.wisconsin.gov

EVENT = case is closed in CRIS

00081A00. CIVIL RIGHTS DISCRIMINATION CASES APPEALED TO COURT EVT+6 SHSW Y

Civil Rights Discrimination Cases and complaints of housing, public accommodation, employment and family and medical leave law (Wis. Stat. §106.50, §106.52, §§111.31-111.395, and §103.10) and other areas of concern that have been appealed to the Courts. The Civil Rights Discrimination Cases Appealed to Court major events are recorded and tracked throughout the case process within the Civil Rights Information System (CRIS). The imaged files and documents are transferred after the case is closed.

Information contained through the Equal Rights decision level may include:

- ? Complaint
- ? Notice of Complaint
- ? Initial Determination
- ? Notice of Hearing
- ? Legal Decision Cover Letter
- ? Petition for Review
- ? Briefs
- ? Case Log
- ? Case Correspondence
- ? Transcripts
- ? Case Summary
- ? Findings of Fact
- ? Conclusions of Law
- ? Order
- ? Memorandum Opinion
- ? Dissent

.....and any other related information

Additional information that may be included at the LIRC decision level:

- ? LIRC Amended Findings of Fact
- ? LIRC Conclusions of Law
- ? LIRC Order
- ? LIRC Memorandum Opinion
- ? LIRC Amended Order
- ? Circuit Court Stipulation & Order
- ? Supreme Court Petition for Review
- ? Circuit Court Decision on Review

.....and any other related information

Program Contact: Office Manager, 608-266-6860
erinfo@dwd.wisconsin.gov

EVENT = case is closed in CRIS

00081B00. CIVIL RIGHTS DISCRIMINATION CASES - HEARING RECORDINGS EVT+6 SHSW Y

Electronic files of digital audio recordings of Civil Rights Hearings held on discrimination cases of employment, housing, public accommodation, and family and medical leave law (Wis. Stat. §106.50, §106.52, §§111.31-111.395, and §103.10) and other areas of concern. Complaint cases travel through various stages in the Civil Rights Claim Process, possibly up to and/or through the Labor and Industry Review Commission.

Each electronic file identifies the hearing, procedure for hearing, complaint process, and includes the actual hearing conducted by an Administrative Law Judge, including testimony of witnesses and identifying exhibits.

Hearings are recorded on a digital recorder and transferred to the Equal Rights Local Area Network (LAN) drive, which is the official record, and linked to the electronic case file via the CRIS application. The audio files are transferred with the imaged documents after the case is closed.

Program Contact: Office Manager, 608-266-6860 erinfo@dwd.wisconsin.gov

EVENT = case is closed in CRIS

00106000. WORK PERMIT OFFICE AND OFFICER FILES AND RELATED WORK PERMIT C EVT+2 DEST Y

Appointed Work Permit Office and Work Permit Officer files and correspondence concerning permit offices and permit offices located around the state that are authorized to issue permits for Child Labor, Street Trades, and Age Certificates under Wis. Stat. §§103.70-103.75 and §103.25 and Wis. Admin. Code ch. DWD 270 and 271.

Record Series may contain:

- ? Work Permit Office Correspondence
- ? Work Permit Officer On-Line Application

RDA # RDA Title Retention Disposition PII

? Monthly Permit Office Invoice (Work Permit Offices record of monthly permits issued in the month and fees collected for Child Labor, Street Trades, and Age Certificates)
 The Equal Rights Work Permit On-Line System is a server/web application using an Oracle database. It provides information relating to Work Permits (child/minor work permits), Wisconsin Age Certificates, and Street Trade Permits. The on-line system maintains Work Permit Office and Work Permit Officer information, in addition to a variety of other information and functions outlined in related Work Permit RDA's.

Program Contact: Labor Standards Section Chief, 608-266-6860
 erinfo@dwd.wisconsin.gov

EVENT = closed end of calendar year

00106A00. WORK PERMIT MANAGEMENT INFORMATION REPORTS AND RELATED WOF CR+6 DEST Y

This record series contains Work Permit Summary Management Information Reports (e.g. E-Payment Remittance) or their equivalent concerning number of permits issued and permit fees due to ERD by each Work Permit Office/officer located around the state authorized to issue permits for Child Labor, Street Trades, and Age Certificates under Wis. Stat. §§103.70-103.75 and §103.25 and Wis. Admin. Code ch. DWD 270 and 271.

The Equal Rights Work Permit On-Line System is a server/web application using an Oracle database. It provides invoices (# of permits issued/permit fees) relating to Work Permits (child/minor work permits), Wisconsin Age Certificates, and Street Trade Permits. The on-line system provides work permit data and statistics for management information reports, in addition to a variety of other information and functions outlined in related Work Permit RDAs

Program Contact: Labor Standards Section Chief, 608-266-6860
 erinfo@dwd.wisconsin.gov

00106B00. WORK PERMIT FILES AND RELATED WORK PERMIT ON-LINE SYSTEM RECO EVT DEST Y

Work Permit files for permits issued pursuant to Wis. Stat. §§103.70-103.75, including Child Work Permits (LS-1), Age Certificates (LS-17), Street Permits (LS-3) (or their equivalents) and related correspondence with parents, guardians, and employers.

Child Work Permits must be issued for employment of children/minors up to the age of 18. Issuing office/officer must retain their copy with a letter from the employer and the parent until child/minor reaches age 21.

The Equal Rights Work Permit On-Line System is a server/web application using an Oracle database. It provides information relating to Work Permits (child/minor work permits), Wisconsin Age Certificates, and Street Trade Permits. The on-line system provides on-line entry and access to work permit information and data for statistics related to work done by children/minors. The Work Permit database consists of issued, revoked, or denied child work permits, in addition to a variety of other information and functions outlined in related Work Permit RDAs.

Program Contact: Labor Standards Section Chief, 608-266-6860
 erinfo@dwd.wisconsin.gov

EVENT = minor reaches 21

00106C00. WORK PERMIT REVOCATIONS AND RELATED WORK PERMIT ON-LINE SYST EVT DEST Y

Documentation regarding the revocation of improperly-issued work permits. Permits for Child Labor and Street Trades laws and regulations are covered under Wis. Stat. §§103.70 -103.75 and §103.25 and Wis. Admin. Code Ch. DWD 270 and 271.

Copies of Revocation of Permit form (LS-22 or its equivalent). If truancy or unsatisfactory grades occur, the parent/legal guardian or school principal may request a permit revocation. Parent/legal guardian may receive a copy of the record as required under Wis. Admin. Code Ch. DWD 270 and 271.

The Equal Rights Work Permit on-line system is a server/web application using an Oracle database. It provides information relating to Work Permits (child/minor work permits), Wisconsin Age Certificates, and Street Trade Permits. The on-line system maintains information relating to Child Work Permit revocations, in addition to a variety of other information and functions outlined in related Work Permit RDAs.

Program Contact: Labor Standards Section Chief, 608-266-6860
 erinfo@dwd.wisconsin.gov

EVENT = minor reaches 21

00108000. PRIVATE EMPLOYMENT AGENT FILES CR+6 DEST N

This record series contains private employment agent records as required to be filed under Chapter 105 of the Wisconsin Statutes. License Information contained in the series includes:

- ? Applications to establish character
- ? License applications (LS-86 or its equivalent)
- ? Contracts
- ? Receipts
- ? Employment Agent's Bond contract (LS-83 or its equivalent)

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? Hearing notes
 ? Chapter 105 definitions
 ... and other related information
 Application Information contained in the series includes:
 ? Paid Employer Application (PEA)
 ? Formal Letter approving service or continuing service

Program Contact: Labor Standards Section Chief, 608-266-6860
 erinfo@dwd.wisconsin.gov

00109000. LABOR STANDARDS CASE FILES AND RELATED LABOR STANDARDS INFO EVT+4 DEST Y

Documentation for Labor Standards complaints and collecting payment of unpaid hours of work, vacation, bonus pay, commission or severance pay and back wages owed employees by employers.
 Equal Rights Officers investigate complaints filed under Wis. Admin. Code ch. 101, 103-105, 270-272, 274-275, 277, 279, and 290 and Wis. Stat. §§66.0903-66.0904 and §103.49.
 Labor, Street Trades, Overtime, Minimum Wage, Private Employment Agencies, One Day of Rest in Seven, Business Closings/Mass Layoffs, Cessation of Health Care Benefits, Personnel Records, and Prevailing Wage.

The record series may contain:
 ? Labor Standards Complaint (LS-119-E or its equivalent or letters)
 ? Prevailing Wage Rate Complaint (ERD-9850 or its equivalent)
 ? Fact Finding documents, including Investigation documents
 ? Collection/payment information
 ? Litigation referral (DA or AG)
 ? Violation reports
 ? Correction orders
 ? Bank statements
 ? Check registers
 ? Time payment information
 ? Banking and fee collection reports
 ? Case correspondence
 ... and related correspondence and material.

The Labor Standards Information System (LSIS) is an on-line, client-server case management application, using an Oracle database. The purpose of the application is to manage the different types of cases (e.g. wage complaints, Plant Closings, and Child Labor audits). It provides statistics for reporting purposes, plus features for Labor Standards Claims case entry (events/status and statistical information) and case searching. The paper files and documents are destroyed confidentially after they are imaged and attached to the LSIS case file.

Program Contact: Office Manager, 608-266-6860
 erinfo@dwd.wisconsin.gov

EVENT = case is closed

00109A00. LITIGATED LABOR STANDARDS CASE FILES AND RELATED LABOR STAND EVT+10 DEST Y

Labor Standards case files referred for litigation by the Department to county district attorneys and/or the State Attorney General's Office for collection of employees' back pay awards from employers. The Labor Standards cases were originally determined under provisions of Chapter 109 of the Wisconsin Statutes and Wis. Stat. §§66.0903- 66.0904 and § 103.49.

The record series may contain:
 ? Labor Standards Complaint (LS-119-E or its equivalent or letter)
 ? Prevailing Wage Rate Complaint (ERD-9850 or its equivalent)
 ? Final disposition document
 ? DA/AG referral documents
 ... and related correspondence for all claims.

Note: Equal Rights requests the District Attorney in the respective county to litigate these cases. Since Equal Rights Division does not conduct the litigation, there are no case narratives or transcripts included in these records.

The Labor Standards Information System (LSIS) is an on-line, client-server case management application, using an Oracle database. The purpose of the application is to manage the different types of cases (e.g. wage complaints, Plant Closings, and Child Labor audits). It provides data relating to Litigated Labor Standard Case files and statistics for reporting purposes, plus features for Labor Standards Claims case entry (events/status and statistical information) and case searching. The paper files and documents are destroyed confidentially after they are imaged and attached to the LSIS case file.

Program Contact: Office Manager, 608-266-6860

EVENT = Case is closed
 erinfo@dwd.wisconsin.gov

00109B00. LABOR STANDARDS CASE FILE JUDGMENTS AND RELATED LABOR STAND EVT+20 DEST Y

Labor Standards case files taken to circuit court by county district attorneys (mostly) or by the State Attorney General's Office (some) to

obtain a judgment against each identified employer for collection of employee back pay awards, with assignment of collected money made to the Dept. of Workforce Development.

The judgment is valid for a 20 year period. These cases, referred by DWD to the county district attorneys or State Attorney General's Office, were initially determined under provisions of Chapter 109 of the Wisconsin Statutes and Wis. Stat. §§66.0903- 66.0904 and §103.49.

The record series may contain:

- ? Labor Standards Complaint (LS-119-E or its equivalent or letter)
- ? Prevailing Wage Rate Complaint (ERD-9850 or its equivalent)
- ? Circuit Court Judgment
- ? Final Disposition Documents

... and related correspondence for all claims.

The Labor Standards Information System (LSIS) is an on-line, client-server case management application, using an Oracle database. The purpose of the application is to manage the different types of cases (e.g. wage complaints, Plant Closings, and Child Labor audits). It provides data relating to Labor Standards Case File Judgments and statistics for reporting purposes, plus features for Labor Standards Claims case entry (events/status and statistical information) and case searching. The paper files and documents are destroyed confidentially after they are imaged and attached to the LSIS case file.

Program Contact: Office Manager, 608-266-6860
erinfo@dwd.wisconsin.gov

EVENT = case is closed

00109C00. LABOR STANDARDS INFORMATION SYSTEM (LSIS) TAX FILES AND RELATE EVT+7 DEST Y

Tax files generated from Labor Standards Cases for which ERD has collected, deposited and paid out money through the Labor Standards Information System (LSIS) Account. These cases are tax files where ERD had to pay employees/former employees and deduct Federal Tax, Medicare, Social Security and State Tax from amount received. This tax money is sent to IRS and WI Dept. of Revenue, with spreadsheets showing tax dollar amounts, Social Security numbers, and the name and addresses of the employees/former employees that ERD collected from employers.

The records are small files containing case information, check information from DWD Finance (in case ERD needs to trace a check), and letters that serve as W-2's for the persons ERD paid taxes in for. If individuals get audited, ERD has their tax information from their payments from ERD. The paper tax files and documents are destroyed confidentially after they are imaged and attached to the LSIS case file.

The record series may contain:

- ? Payment information as to where ERD received the money
- ? Lien information, if ERD obtained a lien
- ? Accounting information regarding the LSIS account
- ? Tax deduction information sent to claimants ERD paid
- ? Tax letter/forms ERD sent to the IRS/WI Dept. of Revenue
- ? Spreadsheet with persons, Social Security numbers, amounts paid and deducted for taxes
- ? Employer Federal Employer Identification Number (FEIN) and State Tax Identification numbers
- ? Settlement information as given to ERD from WI Dept. of Justice
- ? Court information, including bankruptcy, settlements

The Labor Standards Information System (LSIS) is an on-line, client-server case management application, using an Oracle database. The purpose of the application is to manage the different types of cases (e.g. wage complaints, Plant Closings, and Child Labor audits). It provides statistics for reporting purposes and features for Labor Standards Claims case entry (events/status and statistical information) and case searching. The LSIS Tax process tracks the payments received from employers and what was paid out to employees for labor standard violations recorded in LSIS. This portion of the system interfaces with the STAR PeopleSoft FSCM system. Checks are generated from this system by DOA.

Program Contact: Office Manager, 608-266-6860
erinfo@dwd.wisconsin.gov

00110000. SHELTERED WORKSHOP AND SUBMINIMUM WAGE LICENSES CR+4 DEST Y

Individual license applications and licenses for handicapped people and student learners as referenced under Wis. Admin. Code ch. DWD 272.09 and Subminimum Wage Council materials.

Information contained in the series includes:

- ? Subminimum Wage License Application (LS-37 or its equivalent)
- ? Subminimum Wage License (LS-38 or its equivalent)
- ? Application for Sheltered Workshop/Patient Worker Certificate (ERD-9256 or its equivalent)
- ? Supplemental Data Sheet for Supplication for Sheltered Workshop/Patient Worker Certificate (federal form WH-227-MIS or its equivalent)
- ? Workshop/Patient Worker Certificate (federal form WH-227-MIS or its equivalent)

Information contained in Subminimum Wage Council materials:

- ? Council charge
 - ? Member names
 - ? Meeting minutes
 - ? Sheltered workshop data
- and other related documents.

Program Contact: Office Manager, 608-266-6860
erinfo@dwd.wisconsin.gov

Dept #: /000/ Department Name: EQUAL RIGHTS

RDA # RDA Title Retention Disposition PII

00111000. PREVAILING WAGE RATE DETERMINATIONS EVT+5 DEST Y

Wage rate information used for determining prevailing wage rates for state, municipal, and publicly funded private construction projects. Information in the series may contain:

- ? Application for Prevailing Wage Rate Determination (ERD-5719, or its equivalent)
- ? Department response—Prevailing Wage Rate Determination
- ? Department order or updated order on required wage rates
- ? Sub-journey letters
- ? Collective bargaining agreements & union wage allocation sheets

.....and any other related information

Subsequent complaints and related records are covered under Labor Standards, RDA109.

Program Contact: Labor Standards Section Chief, 608-266-6860
erinfo@dwd.wisconsin.gov

EVENT = end of calendar year

00111C00. PREVAILING WAGE SYSTEM APPLICATION EVT+5 DEST Y

The Prevailing Wage Application provides the following functionality:

A. Prevailing Wage: Two components – PWARS.exe and WAGES6.exe
Collects and processes annual Wage survey information to generate the Prevailing Wage rates for Public Construction Projects and publicly funded private construction projects. It also generates annual rates for Highway and Bridge projects which is sent to and used by the Wisconsin Department of Transportation in April each year.

The PWARS (Prevailing Wage Annual Rate Survey) functionality includes wage survey preparation and returns statistics and reports. WAGES6 (Wage Entry) functionality includes entry of survey data received from employers.

B. Prevailing Wage Project Determination: One component – PROJDET.exe

The Project Determination Issuance portion of the ProjDet.exe application has been moved to the new Prevailing Wage Project Determination (PWPDP) Online application.

The on-line application allows ERD staff to search for determinations, add events and comments to determinations, review reports, etc. which were out of scope for the PWPDP application.

However, the remaining portion of the application continues to be used by internal ERD staff.

Since the implementation of the new Project Determination Online application PROJDET.exe functionality is limited to internal ERD user inquiry and report generation functions.

C. The Prevailing Wage Lookup is a separate internet public access web site that allows employers and unions with the ability to view Prevailing Wage and Project Determination information by county, project, and trade or skill on-line.

D. Prevailing Wage Project Determination (PWPDP) On-line

The PWPDP external facing web application allows project owners of publicly funded private construction project to generate and print a project determination on the internet.

The Prevailing Wage Application is a client server application that uses Visual Basic 6 with an Oracle 10g database.

Program Contact: Labor Standards Section Chief, 608-266-6860
erinfo@dwd.wisconsin.gov

EVENT = end of year

00464000. EQUAL RIGHTS TRAINING MATERIALS AND PUBLIC PRESENTATIONS EVT DEST N

Records include Labor Law Clinic, CRIS/LSIS, Permit Officer and other ERD Program Training materials.

Program Contact: Office Manager, 608-266-6860
erinfo@dwd.wisconsin.gov

EVENT = superseded

00466000. EQUAL RIGHTS PROGRAM MANUALS CR+2 DEST N

Records include Labor Law Clinic, CRIS/LSIS, Permit Officer and other ERD Program manuals and handbooks.

Program Contact: Office Manager, 608-266-6860
erinfo@dwd.wisconsin.gov

Dept #: /110/ Department Name: INFORMATION AND TECHNOLOGY SERVICES

RDA # RDA Title Retention Disposition PII

Dept #: /110/ Department Name: INFORMATION AND TECHNOLOGY SERVICES

RDA # RDA Title Retention Disposition PII

RDA #	RDA Title	Retention	Disposition	PII
00402000.	<u>INFORMATION TECHNOLOGY PROJECT PORTFOLIO (ITPP) AND GENERAL S</u>	<u>FIS+6</u>	<u>DEST</u>	<u>N</u>
	THE INFORMATION TECHNOLOGY PROJECT PORTFOLIO AND GENERAL SERVICE PROJECT PORTFOLIO IS ONE APPLICATION PROVIDING TWO FUNCTIONS: * THE ITPP VERSION CENTRALIZED ALL INFORMATION TECHNOLOGY PROJECTS, AS WELL AS SERVICE LEVEL AGREEMENTS, BY DIVISION FOR THE DEPARTMENT. * THE GSPP VERSION CENTRALIZED ALL GENERAL SERVICES PROJECTS SUCH AS MAIL, FACILITIES, LEASING, TELECOM, AS WELL AS SERVICE LEVEL AGREEMENTS, BY DIVISION FOR THE DEPARTMENT.			
	ITPP/GSPP SERVES AS THE PROJECT CASE MANAGEMENT SYSTEM TO MANAGE PROJECTS, DATE AND TIME ESTIMATES AND ESTIMATED AND ACTUAL RESOURCES. IN CONJUNCTION WITH THE DEVELOPMENT OF ANNUAL OPERATING BUDGETS, THE BUREAUS OF INFORMATION TECHNOLOGY (IT) AND GENERAL SERVICES (BGS) DEVELOP AN ANNUAL OPERATING PLAN TO IDENTIFY ALL SERVICES AND PROJECTS THAT WILL BE PROVIDED TO DWD. EACH DIVISION IDENTIFIES REQUESTS FOR SERVICES AND CONTRACTS WITH THE: * BUREAU OF INFORMATION TECHNOLOGY SERVICES (BITS) THROUGH SERVICE LEVEL AGREEMENTS (SLAS) TO PROVIDE IT SERVICES OR ACTIVITIES. ITPP TRACKS THE BITS RESOURCES NEEDED TO ACCOMPLISH THE ESTABLISHED IT GOALS. * BUREAU OF GENERAL SERVICES (BGS) THROUGH SERVICE LEVEL AGREEMENTS (SLAS) TO PROVIDE GS SERVICES OR ACTIVITIES (RELATED TO FACILITIES MANAGEMENT, TELECOMMUNICATIONS, AND CENTRAL SUPPORT SERVICES). GSPP TRACKS THE BGS RESOURCES NEEDED TO ACCOMPLISH THE ESTABLISHED GS GOALS.			
	RECORD TYPES MAY INCLUDE: PROJECT APPROVAL, ISSUES, DECISIONS TASK CODES SERVICE LEVEL AGREEMENTS ACTUAL HOURS CHARGED TO TASKS			
	ITPP/GSPP INTERFACE AND INTEGRATION: THE ITPP AND GSPP ARE THE SAME APPLICATION (ALL THE SAME TABLES ARE USED). ITPP DOES COLLECT SOME DIFFERENT DATA, AND THE VIEW IS DIFFERENT FOR GSPP.			
	RETENTION: FIS + 6 YEARS AND DESTROY.			

Dept #: /120/ Department Name: HUMAN RESOURCES

RDA # RDA Title Retention Disposition PII

RDA #	RDA Title	Retention	Disposition	PII
00363000.	<u>DIVISION LIMITED ENGLISH PROFICIENCY (LEP) PLANS</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>N</u>
	Each division must develop and implement a LEP Plan. This series may include working documents, planning documents as well as the final division plan. Event+5 years and transfer to the State Archives Event is plan superseded			
00364000.	<u>DIVISION LEP SELF ASSESSMENTS AND EVALUATIONS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
	Each division conducts self-assessments of their Division Limited English Proficiency (LEP) Plan which are evaluated by the LEP Program Coordinator. Event+5 years and destroy Event is plan superseded			
00366000.	<u>LEP RELATED TOOLS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
	Includes but not limited to glossaries of common words and phrases used by DWD programs translated into Spanish and Hmong. Event +1 year and destroy Event is tool superseded			
00368000.	<u>LEP OMBUDSMAN</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	Documentation of complaints and the resolution, if any, from external customers handled by the LEP Coordinator.			

Dept #: /120/ Department Name: HUMAN RESOURCES

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Event+3 years and destroy confidential

Event is resolution of complaint

<u>00370000.</u>	<u>LEP PROGRAM METRICS</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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Statistics maintained by the LEP Coordinator such as forms and brochures translated; internal clients assisted; external clients assisted. This series also includes documentation of training sessions and services offered by the LEP coordinator.

EVENT = Creation

Dept #: /150/ Department Name: OFFICE OF THE SECRETARY

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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<u>00040000.</u>	<u>LEGISLATIVE BILL FILE</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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THIS SERIES CONSISTS OF A COMPLETE SET OF ALL LEGISLATIVE BILLS AND THE RELATED FISCAL ESTIMATES ISSUED DURING EACH BIENNIUM RETAINED AS A SET WITHIN THE OFFICE OF THE SECRETARY.

THESE ARE PRIMARILY UNNECESSARY COPIES THAT AFFECT OTHER AGENCIES (BUT NOT DWD). IN CASES WHERE THESE LEGISLATIVE PROPOSALS WOULD HAVE AN IMPACT ON DWD, THOSE RECORDS WOULD FOLLOW RDA#00040A, INTERNAL LEGISLATIVE RECORDS, AND BE RETAINED FOR 7 YEARS AFTER THE END OF EACH BIENNIUM.

EVENT = AT END OF EACH BIENNIUM AND DESTROY

<u>00040A00.</u>	<u>INTERNAL LEGISLATIVE RECORDS</u>	<u>EVT+7</u>	<u>SHSW</u>	<u>N</u>
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THIS SERIES CONSISTS OF A COMPLETE SET OF ALL LEGISLATIVE BILLS AND THE RELATED FISCAL ESTIMATES ISSUED DURING EACH BIENNIUM WHICH RELATE TO THE DEPARTMENT OF WORKFORCE DEVELOPMENT.

THIS SERIES DOCUMENTS DWD'S FINDINGS AND POSITIONS ON THE PROPOSED LEGISLATION. RECORDS IN THE SERIES MAY INCLUDE:

- BACKGROUND NOTES
- IN-HOUSE CORRESPONDENCE MEMOS
- ANALYSIS INCLUDING DESCRIPTION OF THE LEGISLATION, POLICY AND ADMINISTRATIVE EFFECTS AND FISCAL ESTIMATES FOR IMPLEMENTING THE PROPOSED LEGISLATION
- POSITION PAPERS
- SUMMARY AND RECOMMENDATIONS

ELECTRONIC/DIGITAL FILES WILL BE RETURNED TO CD FOR TRANSFER TO THE STATE HISTORICAL SOCIETY.

EVENT = AT THE END OF EACH BIENNIUM + 7 YEARS AND TRANSFER TO STATE ARCHIVES (WHS)

<u>00041000.</u>	<u>LEGAL COUNSEL OPINIONS</u>	<u>CR+20</u>	<u>SHSW</u>	<u>N</u>
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Files are typically created as a result of requests from Department of Workforce Development management and staff, other agencies, legislators, attorneys, or the general public. Records include interpretation of the law, statutes, regulations, cases, and other administrative materials relating to the administration of the department and the programs for which it is responsible.

Creation + 20; transfer to the Wisconsin Historical Society

<u>00042000.</u>	<u>LEGAL COUNSEL CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Record series contains closed case files retained by the Office of Legal Counsel.

Files document cases brought against DWD by department employees or by an outside party. Included in the files are transcripts of the hearings, appeals, correspondence and other related case information.

The Legal Counsel's Office in a state agency serves as the primary, advisory or liaison counsel on a variety of litigated case files including, but not limited to: State of Wisconsin administrative proceedings; Federal or State court proceedings; internal proceedings; and federal enforcement actions and other agency legal matters. Litigation case files include, but are not limited to, pleadings and legal arguments, evidence, research, orders, Legal Summons and Subpoenas issued. They may also contain the Client File with information on expenses; attorney notes; medical records; government agency filings; discovery (such as requests for production of documents); deposition transcripts; and evidence.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for

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authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

EVENT = Case Closed; EVT + 10; Destroy confidential

<u>00373000.</u>	<u>LEAD STAFF MEMOS</u>	<u>CR+3</u>	<u>SHSW</u>	<u>N</u>
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Lead staff memos (LSM) provide details and contextual information that guides the principal (Secretary, Deputy or Assistant Deputy) on his or her interactions and activities during the course of an event or meeting. Depending on the event, LSMs may contain substantive information as well as administrative type information. Lead staff memos may be prepared for both internal and external events.

Administrative Note:

While there may be both paper and electronic records under this series, the official and most complete file is the electronic file maintained in Microsoft Word.

<u>00480000.</u>	<u>EXTERNAL COMMUNICATIONS</u>	<u>CR+3</u>	<u>SHSW</u>	<u>N</u>
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These records consist of external communications with media, legislature, and the public related to DWD events and programs.

May include: news/press releases, media advisories, speeches and talking points, correspondence, photos, audio, and video recordings, op-ed columns and articles, and public service announcements.

<u>00481000.</u>	<u>INTERNAL COMMUNICATIONS</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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These records consist of internal communication to Department of Workforce Development divisions, executive staff, management, or employees from the Communications Office.

May include: daily media logs, agency highlights, correspondence, photographs of staff events, and speeches and talking points developed for staff communications.

<u>00482000.</u>	<u>PHOTOGRAPH, VIDEO, AUDIO, AND/OR INTERVIEW RELEASE AUTHORIZATI</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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Forms signed by individuals photographed, recorded, or interviewed by the Department releasing rights and claims in connection with the photographs or recordings.

<u>00483000.</u>	<u>CLIENT CONSULTATION RECORDS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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The Office of Legal Counsel consults with clients (e.g., the agency head, executive staff, division administrators, or other staff) on legal questions and concerns.

EVENT = Date of issue resolution as determined by Legal Counsel; EVT + 6yrs; Destroy confidential

<u>00493000.</u>	<u>INSPECTION AND PROGRAM EVALUATION - REPORT</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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Original report of inspections and program evaluations that assist management in identifying, analyzing, and resolving program and organizational performance and policy issues; studies of areas of specific concern or studies of areas designed to achieve organizational improvement.

Includes supporting documentation, such as: relevant information generated, obtained and used in inspections and program evaluations, including the objectives, scope, and methodologies and the documentation of work performed to support findings, conclusions, and recommendations.

Reason for creation: new program in DWD

EVENT = issuance of final report

<u>00494000.</u>	<u>INSPECTION AND PROGRAM EVALUATION - INVESTIGATIVE CASE FILE</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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Case files developed in investigations of known or alleged fraud and abuse, irregularities and violations of laws and regulations. Files include investigative reports and related documents such as correspondence, notes, attachments, working papers and decision documentation.

Reason for creation: new program in DWD

EVENT = final report after all issues are resolved

<u>00495000.</u>	<u>INSPECTION AND PROGRAM EVALUATION - ALLEGATIONS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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Files containing information or vague allegations that are of an investigative nature but do not relate to a specific investigation or merit an investigation. These may originate from a variety of areas such as the Secretary's Office, Division leadership, or program staff and may also include matters referred to other parties for handling, and support files that provide general information that may prove useful in investigations.

Dept #: /150/ Department Name: OFFICE OF THE SECRETARY

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Reason for creation: new program in DWD

EVENT = no action required decision

Dept #: /160/ Department Name: ASD ADMINISTRATORS OFFICE

RDA #	RDA Title	Retention	Disposition	PII
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<u>00488000.</u>	<u>PUBLICATION HISTORY FILE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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As part of the Governor's LEAN government initiative, DWD reviews internal processes. The internal and external publications inventory process was recently examined and redesigned, including review/update and archive activities. As a result, it was determined that a retention schedule was needed for publication history files that are maintained for each division's publications.

The purpose of the history file is to provide the development and revision information for publications. Files include approval documentation or equivalent forms, correspondence, publication users or audience, and translation requests. The history file includes one sample of each revision and the reason or authority to delete the publication.

EVENT = Obsolete Date

Dept #: /180/ Department Name: ASD GENERAL SERVICES

RDA #	RDA Title	Retention	Disposition	PII
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<u>00199000.</u>	<u>REED ACT (FEDERAL) BUILDING DATA</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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REED ACT FILES INCLUDE INFORMATION SUCH AS:

- COPIES OF HISTORICAL AND CUURENT FEDERAL AND STATE LEGISLATION
- THE HISTORICAL ALLOCATION OF REED ACT FUNDS TO WISCONSIN
- REQUESTS FOR THE LEGISLATURE FOR AUTHORIZATION TO USE THE FUNDS
- WORKING PAPERS FOR AMORTIZATION AGREEMENTS WITH THE USDOL
- THE AMORTIZATION AGREEMENTS
- THE AMORTIZATION PAYMENT RECORDS

THE RECORDS, INCLUDING THE LEGISLATION ASSOCIATED WITH ANY PROJECT REQUIRING AMORTIZATION MUST BE KEPT UNTIL THE REED ACT FUND IS FULLY REIMBURSED. FOR BUILDING PROJECTS THE AMORTIZATION IS GENERALLY 20 YEARS. THEREFORE THE RETENTION IS PROPOSED FOR 20 YEARS AFTER THE DATE THAT ANY PROPERTY ACQUIRED IS DISPOSED OF.

ADMINISTRATIVE NOTE: SEPERATE CASE FILES ARE MAINTAINED FOR EACH FACILITY THAT WAS BUILT WITH REED ACT FUNDS. DATA IS AVAILABLE ON THE PROPERTIES ACQUIRED WITH REED ACT FUNDS ALONG WITH THE ASSOCIATED DATE THAT THE PROPERTY WAS SOLD. THIS WILL ALLOW FOR DESTRUCTION AT THE APPROPRIATE TIME.

Dept #: /500/ Department Name: VOCATIONAL REHABILITATION

RDA #	RDA Title	Retention	Disposition	PII
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<u>00270000.</u>	<u>AGREEMENTS WITH STATEWIDE SERVICE PROVIDERS, CONTRACTS, MEMC</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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DVR DEVELOPS CONTRACTS WITH SERVICE PROVIDERS. THE FEE FOR SERVICE AGREEMENTS, SERVICES TO GROUPS CONTRACTS, MEMORANDUMS OF UNDERSTANDING, AND/OR OTHER CONTRACTS SPECIFY ALSO INCLUDES AGREEMENTS TO PROVIDE VOCATIONAL REHABILITATION SERVICES TO NATIVE AMERICAN TRIBAL GOVERNMENTS.

THE CONTRACT FILE CONTAINS (AS APPROPRIATE):

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- * ORIGINAL, SIGNED COPY OF THE SERVICE PROVIDER CONTRACT, AGREEMENT, MEMORANDUM OF UNDERSTANDING, AND/OR MEMORANDUM OF AGREEMENT.
- * PROGRAM MONITORING INFORMATION INCLUDING, AS APPROPRIATE, ANNUAL GOAL FORMS, QUARTERLY REPORTS, ON SITE REVIEWS
- * FISCAL INFORMATION INCLUDING, AS APPROPRIATE, COPIES OF PROCESSED INVOICES, RECONCILIATION INFORMATION
- * PROVIDER AFFIRMATIVE ACTION PLAN (IF REQUIRED)
- * PROVIDER AUDIT REPORT (IF REQUIRED)
- * PROVIDER CERTIFICATION FOR DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS; PROVIDER CERTIFICATION REGARDING LOBBYING; PROVIDER, CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS
- * MISCELLANEOUS INFORMATION INCLUDING COPIES OF SENT AND/OR RECEIVED CORRESPONDENCE (E-MAIL OR REGULAR MAIL AS APPROPRIATE), PROVIDER INSURANCE CERTIFICATE, AS APPROPRIATE.

THIS SERIES CONTAIN PII.
 PII CONTACT: DVR CONTRACTS COORDINATOR

RETENTION: RETAIN 4 YEARS AFTER THE DATE THE CONTRACT ENDS (EVENT) AND THEN DESTROY.

00306000.	<u>CLIENT RECORDS - ELECTRONIC (ALSO KNOWN AS IRIS, INTEGRATED REH EVT+7</u>	<u>DEST</u>	<u>Y</u>
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CONTAINS THE INDIVIDUALIZED PLAN OF EMPLOYMENT (IPE) AND SUPPORTING DOCUMENTATION DEVELOPED BY THE DVR COUNSELOR FOR EACH CLIENT WHICH IS GENERALLY DEVELOPED WITHIN 90 DAYS OF THE DATE THE CLIENT BEGINS RECEIVING SERVICES.

IRIS IS AN ELECTRONIC SYSTEM USED TO MAINTAIN CONSUMER RECORDS USED IN ADMINISTERING THE DVR PROGRAM. IRIS ELECTRONIC CONSUMER RECORDS CONTAIN SEVERAL TYPES OF INFORMATION AND DOCUMENTATION PERTAINING TO APPLICANT ELIGIBILITY FOR VR SERVICES AND THE NATURE AND SCOPE OF SERVICES PROVIDED.

PERSONAL INFORMATION IS INCLUDED IN THESE FILES IN THE FORM OF MEDICAL, PSYCHOLOGICAL, AND OTHER DISABILITY RELATED DATA. FILES ALSO CONTAIN PERSONAL FINANCIAL INFORMATION, TRAINING, AND EMPLOYMENT RECORDS.

ALL PAPER DOCUMENTS RELATED TO A CONSUMER'S CASE ARE IMAGED AND ATTACHED TO THE CONSUMERS IRIS CASE FILE. PERSONAL INFORMATION MAY BE INCLUDED IN THESE PAPER FILES IN THE FORM OF MEDICAL, PSYCHOLOGICAL AND OTHER DISABILITY RELATED DATA. PAPER RECORDS ALSO MAY CONTAIN PERSONAL FINANCIAL INFORMATION, TRAINING AND EMPLOYMENT RECORDS. THE PAPER FILES ARE DESTROYED CONFIDENTIALLY AFTER THEY ARE IMAGED AND ATTACHED TO THE IRIS CASE FILE.

VR PROGRAM STAFF DOCUMENTATION IS RECORDED IN THESE FILES AS A RECORD OF THE INTERACTIONS BETWEEN THE AGENCY AND THE CLIENT. THERE IS ALSO FISCAL INFORMATION IN THE FORM OF REQUESTS AND PURCHASES FOR SERVICES ON BEHALF OF THE CONSUMER.

THE FILE MAY ALSO INCLUDE INFORMATION RELATED TO THE DVR APPEALS PROCESS, IF THE INDIVIDUAL CONSUMER REQUESTED AN APPEAL(S) DURING THE LIFE OF THEIR DVR CASE. CONSUMERS CAN REQUEST AN APPEAL (AN IMPARTIAL HEARING PROCESS) IF THEY DISAGREE WITH A DECISION THAT WAS MADE BY DVR.

- APPEAL FILES MAY CONTAIN:
1. REQUEST FOR HEARING FORM (FORM # DVR-10527)
 2. CORRESPONDENCE
 3. MOTIONS
 4. HEARING TRANSCRIPT
 5. APPEAL DECISIONS
 6. HEARING FOLDERS
 7. PROCEEDINGS

THE DATA IS ENTERED INTO THE PROGRAM BY DVR STAFF AND IS COLLECTED THROUGH VARIOUS VERBAL AND WRITTEN REPORTS FROM THE CONSUMER AND FROM OTHER SOURCES.

THE IRIS FILE IS THE PRIMARY AUDIT TRAIL FOR THE VR PROGRAM. CONFIDENTIAL DISPOSAL IS REQUIRED FOR THIS RECORD SERIES BECAUSE OF THE PERSONAL DATA CONTAINED IN EACH FILE.

THE IRIS ELECTRONIC SYSTEM USED TO MAINTAIN THE VR CONSUMER RECORDS IS A WEB-BASED PROGRAM. THERE ARE WEB PAGES (.ASPX), AND ATTACHMENTS WHICH ARE .DOC, .DOCX, .XLS, .XISX., .PDF, .HTM, .HTML, .BMP, .JPG, .PNG, .TIF, AND .MSG FILES. THE SOFTWARE FORMAT INCLUDES ORACLE, WORD, EXCEL, .PDF FILES, HTML, VB.NET AND JAVASCRIPT. ALL DATA IS KEPT ON DISK. IRIS LOOKUP TABLES ARE A PART OF AN ORACLE DATABASE.

THE VR PROGRAM IS FUNDED BY STATE FEDERAL MATCHING FUNDS. THE MINIMUM FEDERAL RETENTION FOR THESE

Dept #: /500/ Department Name: VOCATIONAL REHABILITATION

RDA # RDA Title Retention Disposition PII

RECORDS IS 3 FEDERAL FISCAL YEARS BASED ON THE EDUCATION DEPARTMENT GENERAL ADMINISTRATIVE REQUIREMENTS (34 CFR 80.42)

THIS SERIES CONTAINS PII.
PII CONTACT: DVR DATA MANAGER FOR IRIS

RETENTION: RETAIN 7 YEARS AFTER DATE THE INDIVIDUAL CLIENT CASE IS CLOSED (EVENT) AND THEN DESTROY CONFIDENTIAL

00330000. FEDERAL REPORTING EVT+7 DEST N

INFORMATION USED TO GENERATE FEDERAL REPORTS FROM DVR TO THE REHABILITATION SERVICES ADMINISTRATION AND THE FINAL REPORTS INCLUDING THE ANNUAL DVR STATE PLAN. THIS INCLUDES FISCAL (ADMINISTRATIVE AND CONSUMER SERVICES) AND PROGRAM DATA, ABOUT THE COST OF THE DVR PROGRAM AND DEMOGRAPHIC INFORMATION ABOUT THE CONSUMERS WE SERVE THAT IS USED TO COMPILE THE REPORTS.

DATA FOR THE REPORTS IS COLLECTED FROM THE INTEGRATED REHABILITATION INFORMATION SYSTEM (IRIS) ELECTRONIC CASE MANAGEMENT SYSTEM. CASE MANAGEMENT DATA IS COLLECTED USING IRIS AND THE DATA IS CURRENTLY DOWNLOADED INTO THE DWD DATA WAREHOUSE WHICH IS USED TO PREPARE FEDERAL REPORTS.

RETENTION: RETAIN 7 YEARS AFTER REPORT IS FINALIZED AND SUBMITTED TO THE REHABILITATION ON SERVICES ADMINISTRATION AND THEN DESTROY.

00426000. BUSINESS ENTERPRISE PROGRAM (BEP) CASE FILE EVT+7 DEST Y

CONTAINS THE LICENSEE AND TERMS AND CONDITIONS OF EACH LICENSE. THE FILE ALSO DOCUMENTS DVR INTERACTIONS (FINANCIAL, SITE VISITS, TECHNICAL; ASSISTANCE, CORRESPONDENCE, ETC.) WITH THE BEP OPERATOR.

THIS SERIES CONTAINS PII.

PII CONTACT: DESIGNEE - DVR BEP PROGRAM MANAGER

RETENTION: RETAIN 7 YEARS AFTER THE DATE THE LICENSE IS TERMINATED (EVENT) AND THEN DESTROY CONFIDENTIAL.

Dept #: /620/ Department Name: UNEMPLOYMENT INSURANCE

RDA # RDA Title Retention Disposition PII

00001000. CANCELLED CONTRIBUTION TAX REFUND CHECKS EVT+4 DEST Y

Cancelled Contribution Tax Refund Checks produced by UI Division, Wis. Stat. § 108.18.

Information on the check includes issue date, check number, amount, employer name, address, UI Account number and other pertinent program and employer information.

Contribution Tax Refund Checks are issued from the Contribution Tax Account and used to refund employers who overpaid UI Employer Taxes.

EVENT = Check cashed

00002000. CANCELLED BENEFIT - SPECIAL CHECKS - PAPER EVT+4 DEST Y

Cancelled Benefit - Special manually generated checks produced by the UI Division. Check Data includes issue date, check number, amount, claimant name, address, Social Security number and other pertinent program/claimant data.

Benefit Special Checks are generated from the Benefit Special Account and used:

1. To make adjustments (refunds, etc.)
2. As Combined Wage Checks (CWC) paid to other states as reimbursements for payments they made. ewe checks wire

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transferred to various states.
 3. As Child support Court - Intercept Checks
 4. Benefit - Special Checks are issued under Wis. Stat. § 108.03(1) and the index to Wis. Admin. Code ch. 132.

EVENT: Check cashed

<u>00003000.</u>	<u>CANCELLED UNEMPLOYMENT INSURANCE BENEFIT CHECKS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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Cancelled Unemployment Insurance (UI) Benefit Checks, produced by US Bank in Milwaukee.

Information on the check includes issue date, check number, amount, claimant name and address.

Checks are produced by the UI Division based on information received from the telephone IVR Telephone Initial Claims (TIC) system, the internet, or manual entries by UI Benefits staff.

UI Benefit Checks are issued from the UI Benefit Account. Used for payments under Wis. Stat. § 108.03(1) and the index to Wis. Ad min. Code ch. 132.

EVENT: Receipt of cancelled check

<u>00003A00.</u>	<u>CANCELLED UNEMPLOYMENT INSURANCE BENEFIT CHECKS - CD'S</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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CD's contain an image of the front and back of the UI Benefit Cancelled Check which may include an image of the claimant signature that may be used for audit purposes. Not all checks are signed. Checks may contain a stamp on back with "Deposit to the account of the payee" or equivalent statement. Reference record series description under RDA3.

Two CDs are retained, One CD is retained as the official record and the second CD is retained for back-up purposes. Both CD's are retained 10 years. CDs are prepared by US Bank in Milwaukee in accordance with Wis. Stat. § 16.61 and Wis. Admin. Code ch. PR-1. Program Contact: PinTzu Klimm 608-266-7027Email address: PinTzuA.Klimm@dwd.wisconsin.gov

<u>00005000.</u>	<u>BENEFIT HEARING OFFICE FILES WITHOUT OVERPAYMENT</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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All Unemployment Insurance (UI) determinations, re-determinations and certain computations are appealable. Any party named on the determination may appeal. Any UI Benefit Center or Hearing Office, as well as, the Administrative Office of the Bureau of Legal Affairs must accept an appeal of any local office determination under Wis. Stat. § 108.09(4) or Appeal Tribunal Decision (ATD) under Wis. Stat. § 108.09 (6), Hearing Office Benefit.

Benefit Hearing Office Files contain information necessary to conduct a benefit (claimant) hearing on an appealed determination.

Paper and imaged files may contain:

- On-line UI Appeal form
- If the appeal was filed by letter; the determination appealed; investigation forms - UCB-157 and UCB-157A and department documentation relied on in making the determination
- Correspondence from the parties
- Forms UCB-16 and UCB-23 (Eligibility Report) and any additional documentation submitted
- Notice of Hearing, Exhibits submitted into evidence at the hearing; Appeal Tribunal Decision (ATD)
- If appealed to the Labor and Industry Review Commission (LIRC), the UCL-5464 (Petition for Commission Review of Appeal Tribunal Decision), and the letter and envelope, if the appeal was by letter; the synopsis of the hearing; and the Commission decision are also included in the Hearing Office File
- If a determination is appealed to Circuit Court or subsequent court, the Court Decision will be included in the Hearing Office File
- BOLA closed LIRC and higher court UI Benefit court case files

Forms listed above or equivalents are included in this series.

NOTE 1: These benefit cases would not result in an overpayment of Unemployment Insurance benefits to the claimant that must be paid back to the department.

NOTE 2: Administrative, Law Judge (ALJ) notes may be created and referenced during the benefit hearing and decision process. ALJ notes

RDA # RDA Title Retention Disposition PII

are confidential working papers and defined as a non-record.
 Paper benefit hearing office files are destroyed confidential 90 days after they are scanned into UIBNET and verified.

EVENT = After final appeal period has ended

0005A00. **BENEFIT HEARING OFFICE FILES WITH BENEFIT OVERPAYMENT** **EVT+12** **DEST** **Y**

See RDA00005 Description

Overpayments are paid in full or written off within the 12-year retention period.

NOTE: These benefit cases would result in benefit overpayments, forfeitures, liens, or garnishments, bankruptcy or delinquency associated with that record.

Paper benefit hearing office files are destroyed confidential 90 days after they are scanned into UIBNET and verified.

EVENT = After final appeal period has ended

0005B00. **TAX HEARING CASE FILES** **EVT+1** **DEST** **Y**

All Unemployment Insurance (U I) determinations, re-determinations and certain computations are appealable. Any party named in the determination may appeal. Any Unemployment Insurance Benefit Center or Hearing Office, as well as, the Administrative Office of the Bureau of Legal Affairs must accept an appeal of any local office determination under Wis. Stat. § 108.09(4), Wis. Stats., or Appeal Tribunal Decision (ATD) under Wis. Stat. § 108.09(6).

Tax Hearing Files contain information necessary to conduct a tax (employer) hearing on an appealed determination.

Paper and imaged files may contain:

- On-line UI Appeal form
- If the appeal was filed by letter, the determination appealed; investigation forms - UCB-157 and UCB-157A and department documentation re lied on in making the determination, if any
- Correspondence from the parties and tribunal
- Notice of Hearing, Administrative Law Judge's (ALJ) handwritten notes; exhibits submitted into evidence at the hearing; Appeal Tribunal Decision (ATD)
- If appealed to the Labor and Industry Review Commission (LIRC), the UCL-5464 (Petition for Commission Review of Appeal Tribunal Decision), and the letter and envelope, if the appeal was by letter; the synopsis of the hearing; and the Commission decision are also included in the Hearing Office File
- If a determination is appealed to Circuit Court or subsequent court, the Court Decision will also be included in the Hearing Office File
- BOLA closed LIRC and higher court UI Tax court case files involving UI employer tax in which DWD is a party and carried on through final resolution in the state court system.
- Tax Hearing Case Files with overpayments are sent to UI Bureau of Tax and Accounting for further processing and final disposition

Forms listed above or equivalents are included in this series.

NOTE 1: Division Attorney and Administrative Law Judge (ALJ) notes may be created and referenced during the tax hearing and decision process. Notes are confidential working papers and defined as a nonrecord.

NOTE 2: Tax cases are NOT transcribed unless the case is further appealed to the circuit court.

Paper tax hearing office case files are destroyed confidential 90 days after they are scanned into UIBNET and verified.

EVENT = after final appeal period has ended

00020B00. **"1099G" UNEMPLOYMENT INSURANCE BENEFITS / TAX YEAR TO DATE SUM** **EVT+10** **DEST** **Y**

Nightly and weekly cycle runs generated from SUITES documenting

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daily I weekly UI Benefit activity and Tax Federal IRS and State DOR Tax Files.	<p>General "1099G" Records Description: The "end of year" reports generated are given to the Internal Revenue Service (IRS) for Income Tax (audit) purposes. Individuals receiving UI Benefits also receive Federal Form 1099G detailing the amount of money they received from UI or the amount repaid to UI, derived from these daily reports. These figures are used to calculate their personal tax return.</p> <p>Records contained in this series include:</p> <ul style="list-style-type: none"> • Weekly Benefit Payment Update • Reconciliation Amount Changes • Unemployment Tax Benefits IRS Tax Summary Update - nightly and weekly cycle (includes year-to-date totals) <p>Information includes:</p> <ul style="list-style-type: none"> • Adjustments, in dollar amounts, resulting from reconciliation variances • Nightly updated dollar amounts of Benefit Overpayments and Repayments year to date (for IRS file) • Social Security number changes <p>Updated "1099G" file. Summary file for each calendar year.</p> <p>EVENT: Data superseded</p>			
<u>00020D00.</u>	<u>"1099G" UNEMPLOYMENT INSURANCE BENEFITS / TAX TNNI (TEN NINETY NINE)</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>The TNNI CICS (Customer Information Control System) mainframe application displays annual "1099G" summary data viewed on-line and used by UI staff for "1099G" inquiry and processing. The same VSAM (Virtual Storage Access Method) file is used to display data through a 1099G web application used by claimants for on line inquiries. Reference RDA20B record series description.</p> <p>EVENT: Data superseded</p>			
<u>00020E00.</u>	<u>"1099" UNEMPLOYMENT INSURANCE BENEFITS / TAX - MISCLASSIFIED WORKERS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
	<p>1099 files are sent from the IRS directly to UI Bureau of Tax & Accounting Field Audit, due to high security access requirements, for employers to identify misclassified workers for audit purposes.</p> <p>EVENT = file received by IRS</p>			
<u>00047000.</u>	<u>UI BUREAU OF TAX AND ACCOUNTING EMPLOYER RECORDS</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
	<p>Records are received in paper and electronic format. Electronic (e.g. email, email with attachment or media devices (e.g. CD, thumb/flash drives, etc.).</p> <p>Records are printed and scanned. Image is verified and saved to a secure network folder. Official image or secure network folder records are covered under separate applicable RDAs.</p> <p>Records included in this series:</p> <ul style="list-style-type: none"> • UI Quarterly Tax (Contribution) and Wage Reports • Subject and Non-Subject Employer History Files (Document / Batches) • Subject Employer History Files - Monetary Initial Determinations • Outgoing Correspondence Print Tracking Directory • Collections Closed Legal Benefit Overpayment/Full Recovery Records • Tax Collection Subpoena records received from financial institutions <p>EVENT: Image saved to a secure network folder and verified</p>			
<u>00047B00.</u>	<u>UI QUARTERLY TAX (CONTRIBUTION) REPORT</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	<p>Employer Quarterly Tax (Contribution) Reports (e.g. paper, fax, e-mail or equivalent).</p> <p>Form UCT-101 or equivalent- required under WI UI Law (Wis. Stat. ch.108). Used by employers with more than ten employees.</p>			

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These quarterly Contribution Reports are created and distributed by DWD's UI Division (Wisconsin Act 17, Laws of 1985) to all employers covered under Wisconsin's UI Law.

- Information contained in the report includes:
- Employer data: Name, address, phone number, Federal Employer Identification Number (FEIN), UI Employer Account Number
 - Time period the report covers, report and payment due date
 - Number of employees paid for any work covered by UI Law
 - Covered wages paid within the quarter, exclusions, defined taxable payroll, contribution tax due, penalties, total amount remitted
 - Other pertinent employer contribution information.

Report Information used to determine amount of UI taxes due, paid, etc.

EVENT: Employer contribution report due date

<u>00047C00.</u>	<u>UI QUARTERLY TAX (CONTRIBUTION) REPORTS, APPEALS PENDING, BANK</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Files are processed and filed differently than RDA47B, as result of the UI Appeals process. Reference Record Series Description under RDA00047.

EVENT: Satisfaction of pending appeal, bankruptcy, or delinquency associated with the record

<u>00049B00.</u>	<u>UI QUARTERLY WAGE REPORT</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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UI Quarterly Wage Reports, Form UC-7823 or equivalent, required by Deficit Reduction Act (DEFRA) of 1984 and Wis. Stat. ch. 108.

These Quarterly Wage Reports are created and distributed by DWD's UI Division (Wisconsin Act 17, Laws of 1985) to all employers covered under WI Unemployment Insurance Law.

- Information contained in the report includes:
- Employer Data: UI Employer Account Number, Federal Employer Identification Number (FEIN), SUITES Account Number, Name.
 - Employee Data: Social Security Number, First and Last Name, Quarterly Wages, Quarter, Year and Report Due Date, Total Wages Paid.

Wage Report information is used by the Department of Health Services (DHS), Department of Children and Families (DCF), Department of Revenue (DOR) and the Federal Government to identify fraud and abuse across various programs.

NOTE: Records are not destroyed if there is a pending appeal, bankruptcy or if the employer is delinquent, per RDA49C.

NOTE: Record series contains older paper records that have not been imaged.

EVENT: Wage report received

<u>00049C00.</u>	<u>UI QUARTERLY WAGE REPORT- APPEALS, BANKRUPTCIES, AND DELINQUE</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Reference record series description under RDA49B. Files are processed and filed differently than RDA49B as a result of the UI Appeals process.

EVENT: Satisfaction of pending appeal, bankruptcy or delinquency associated with the record

<u>00049D00.</u>	<u>UI QUARTERLY WAGE REPORT APPLICATION RECORDS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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The Wage report application contains wages from all UI covered WI employers, Federal and other State employers used in a claim, plus Worker's Compensation replacement wages and other relevant data. Wage records are received through internet file upload or file transfer protocol (FTP).

- Wage Report Information includes:
- Employee information: Social Security number, name and total wages paid to employee during a calendar quarter.

NOTE: Records are not destroyed if there is a pending appeal, bankruptcy or if the employer is delinquent, per RDA49C.

RDA # RDA Title Retention Disposition PII

EVENT: Wage report received

00049E00. **UI QUARTERLY WAGE REPORT APPLICATION RECORDS - WAGE ONLY EMP** **EVT** **DEST** **Y**

The Wage Report Application maintains a separate file that contains wages from an employer where the employer number is unknown or file contains reporting errors. These records are referred to as "Wage Only Employers".

The Wage Report Application creates a "dummy account" to record the wages in conjunction with the employee social security number. Once issue is resolved the office record is retained under RDA49D.

If claimant files a UI Claim, their SSN is matched against the "wage only employer"/other files so "total wages claimed" can be used for a Benefit Claim.

EVENT: When issue is resolved

00050000. **UI QUARTERLY WAGE REPORTS** **EVT** **DEST** **Y**

Electronic UI Quarterly Wage Reports required by the Deficit Reduction Act (DEFRA) of 1984 and Wis. Stat. ch. 108. These reports are submitted by employers covered under WI UI Law. Internet wage records with keyed wage amounts OR Wage records are received through internet file upload or file transfer protocol (FTP) and have no value once they are entered into SUITES.

EVENT: Entered into SUITES

00056000. **UI RECEIPT BOOKS** **EVT+6** **DEST** **Y**

Numbered receipt books containing carbonless receipts given to persons who paid cash to an UI department employee, either for contributions required under the law or as a re-payment of benefits erroneously overpaid to a claimant, under Wis. Stat § 108.17.

EVENT: Payment is received and receipt created

00057000. **UI DEPOSIT SLIPS, CREDIT MEMOS & DEPOSIT TAPES** **EVT+4** **DEST** **N**

Deposit slips, credit memos and deposit tapes showing deposits and credits to the UI Account(s).

Electronic deposit slips, credit memos, deposit slips and adding machine tapes created by UI or received from the state working bank to determine the amount deposited into the UI account.

Deposit slips and credit memos are sent to the UI Division by the state working bank if not already completed by UI Information contained includes the date & amount of the check.

EVENT: End of the accounting month that includes the deposit

00058000. **MONTHLY SUMMARY TOTALS AND VOUCHERS** **EVT+6** **DEST** **N**

UI monthly summary totals and vouchers are created by General Accounting staff or the State Bank and placed in Monthly Folders as material is processed.

Vouchers summarize monthly activity of the unemployment fund. This information is then posted to accounting ledgers and used to justify the Reserve Fund Balance at the end of the month. Related files are designated by month and stored in General Accounting.

Information contained includes:

- Amount of money transferred
- How and where the money is applied
- Reserve fund balance
- Unused credit

... and other related information

RDA # RDA Title Retention Disposition PII

EVENT: Close of accounting month in which they are created

00061000. **LEGISLATIVE AUDIT BUREAU REPORTS AND OTHER REPORTS FOR NON-DI** **EVT+1** **DEST** **Y**

Computer reports that are generated upon the request of LAB or Non-DWD auditors in order to get figures for a specific day, month, etc. Varied information may be contained in the reports, based upon the auditors needs.

Information contained includes:

- ? Employer Unemployment Insurance Account Number
- ? Claimant name and Social Security number
- ? Tax payroll
- ? Credit
- ? Net due
- ? Amount paid

...and other related information

Program Contact: PinTzu Klimm 608-266-7027

Email address: PinTzuA.Klimm@dwd.wisconsin.gov

EVENT: closure of audit

00065A00. **UNEMPLOYMENT INSURANCE (UI) PROGRAM INTEGRITY HISTORY AND NOI** **EVT+6** **DEST** **Y**

Program Integrity History files relate to benefit fraud. History files contain fraud and non-fraudulent/non-issue claims, including various cross match reports, evidence information (e.g. videos).

Prosecution Case Files are created when there is presence of fraud due to work and wage audits; prison cross match; new hire cross match; death; UI overpayments, allegation of imposter activity and other UI fraud related circumstances.

Prosecution Case Files are reviewed by the UI Bureau of Legal Affairs to determine if a case should be referred or not-referred to the Department of Justice or County District Attorney for prosecution. Non- referred/referred Prosecution files are retained by the Bureau of Benefits.

Records include Statement of Facts, Death Certificates, and other relevant records.

NOTE: Retention for Non-Referral Prosecution Case Files is based on statute of limitations, which is currently six years. UI is unable to pursue prosecution if the event is outside of the prosecution statute of limitations.

NOTE: Fraud Investigator Prosecution Case File Notes are confidential working papers used while investigating possible UI Fraud cases. Notes may be created/referenced during an investigation and decision process. Fraud Investigator Notes are not imaged and defined as confidential working papers and a non-record.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

EVENT= After no pending overpayment, forfeiture, bankruptcy or delinquency activity; EVT + 6 yrs; destroy confidential

00068000. **CHECK BATCH RECORDS** **EVT+4** **DEST** **Y**

Each batch of UI checks processed and the check numbers in that batch.

US Bank in Milwaukee provides a daily fax of the Check Printing Audit and Control Report to the UI, BTA, General Accounting Unit. This RDA is for the faxed documents sent to DWD by the bank.

Check Printing Audit and Control Report Information includes:

- Check start and end serial numbers
- Total dollars
- Start & end check numbers removed from and returned to the vault
- Start & end check numbers used to line up the printer
- Check numbers used for backups, damage and reprint
- Total checks and non-check pages printed
- Operator Names
- Name of person confirming MICR line quality
- Number of checks printed and Number of checks to be destroyed

EVENT: Completion of LAB audit

00072000. **RETURN CHECK RECORD** **EVT+4** **DEST** **N**

The Returned Check Record accompanies all mail delivered to the UI Division, BTA/General Accounting, P.O. Box 8400, for checks returned

RDA #	RDA Title	Retention	Disposition	PII
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as undeliverable because of incorrect address, etc. The record is kept in the STA, General Accounting Unit.

Information on the Returned Check Record includes:

- Date
- Number of items picked up from the Post Office
- Mail Processing employee signature
- Number of items delivered to UI, BTA
- UI BTA recipient signature

EVENT: Completion of LAB audit

<u>00082D00.</u>	<u>NON-SUBJECT EMPLOYER HISTORY FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Employers whose status is "Non-Subject" are not subject to the Unemployment Tax law. Non-Subject Employer History File documents and correspondence (paper, fax, e-mail or equivalent documents) used to verify an employer's existence and determine that the employer does not have a liability under tax or reimbursement and benefit payment under provisions of the WI UI Law.

Batches contain the following documents:
Non-Subject History Files, 1 and 2 Year Correspondence and any other pertinent UI Employer Account Data

Information contained in this series includes:

- Non-Subject History Files, 1 and 2 Year Correspondence and any other pertinent UI Employer Account Data
- Employer UI account number (with non-subject status)
- Non-Subject History Files, 1 and 2 Year Correspondence
- Tax payment refunds
- Correspondence/determinations of excluded employee status
- Multi-state employment material
- Status Determination Reports for in and out of state business, agricultural, domestic and nonprofit employers
- Audit findings and work papers
- Correspondence/memorandums regarding liability determination
- New corporation questionnaire
- Claim forms
- Refund transmittal letters
- Federal UI tax correspondence and any other pertinent UI Employer Account Data
- Employment information request letters/follow up letters
- Internal memorandums
- Coverage informational documents
- Address/name change notices; .and any other pertinent correspondence used to determine employer status .
- .. and any other pertinent UI Employer Account Data

EVENT: Date the employer is officially determined by UI to be non-subject

<u>00083E00.</u>	<u>SUBJECT EMPLOYER HISTORY FILES - DELINQUENT MONETARY INITIAL DE</u>	<u>CR+15</u>	<u>DEST</u>	<u>Y</u>
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Employers whose status is "Subject" are subject to the Unemployment Tax law.

Employer Monetary Initial Determinations (form UCT-4348 or equivalent) are batched and filed separately and are a subset of the Subject History Files.

History files are made up of documents used to verify an employer's existence and to determine the employer's liability under pay or reimbursement and benefit payment provisions under the WI UI Law. The batch files contain Initial Determinations for open and closed UI employer accounts.

Reference RDA47 for paper that has been imaged RDA.

<u>00083G00.</u>	<u>SUBJECT EMPLOYER HISTORY FILES</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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Documents created or received which are used to verify an employer's existence and determine the employer's liability under pay or reimbursement and benefit payment provisions of the WI UI Law. This history file is a perpetual record of an employer's experience under the WI UI Law until the account is closed and the file is subsequently

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destroyed (i.e. Final Purge).

Information contained in this series includes:

- Employer UI Tax account number
- Initial Determinations of liability on coverage, tax payments due and other similar matters
- Federal Employer Identification Number (FEIN)
- Subject Employer History Files
- Tax Delinquency
- 1, 2, and, 3 Year Purge
- Tax rate or reimbursement financing documents
- Multi-State Employment data | Transaction entry/history material
- Account transfer documents
- Audit findings/papers
- Collections Closed Legal Benefit Overpayment; Partial and Full Recovery
- Address/name change notification to main/suffix account(s)
- Manually created employer letters about the status or liability of employer
- Documents received about Power of Attorney designation
- Federal Unemployment Tax Data
- Federal UI Tax payment certification matters
- Various requests for transfer data and their follow-ups.
- SUITES activity history notes
- .. and any other pertinent UI Employer Account Data.

EVENT: Date UI closes the employer's account

00083H00. **SUBJECT EMPLOYER HISTORY FILES - TAX DELINQUENCY** **EVT+10** **DEST** **Y**

UI Employer History Files of employers who are no longer doing business in Wisconsin, and have outstanding tax or reimbursement payment delinquencies. The Department of Workforce Development obtained Circuit Court issued 10-year tax warrants (dockets) for delinquent payment collection purposes on these employers (i.e. Final Purge).

Information contained in this series includes:

- Employer UI Tax account number
- Initial Determinations of liability on coverage, tax payments due and other similar matters
- Federal Employer Identification Number (FEIN)
- Tax rate or reimbursement financing documents
- Multi-State Employment data
- Transaction entry/history material and Account transfer documents
- Audit findings/papers
- Circuit Court 10-year tax warrants
- Levy used to collect taxes due
- Address/name change notification to main and suffix account(s); and any other pertinent UI Employer Acct Data
- Manually created employer letters about the status or liability of employer
- Documents received regarding Power of Attorney designation
- Federal Unemployment Tax Data
- Federal UI Tax payment certification matters
- Various requests for transfer data and their follow-ups .

EVENT: Date warrant is issued and docketed by UI

00084000. **BENEFIT AND TAX HEARING RECORDINGS** **EVT+4** **DEST** **Y**

Digital recordings of testimony in Unemployment Insurance (UI) hearings held before DWD's UI, Bureau of Legal Affairs' Appeal Tribunals (ATD). Digital audio recordings are digitally transferred to and stored off site with the Clear2There vendor. Records are managed by this vendor in accordance with BOLA RDA84 retention policy. Prior to Clear2, the recordings were stored on a shared directory.

Cases are NOT transcribed unless the case is further appealed to the Circuit court.

EVENT = After final appeal period has ended

00088000. **OUTSTANDING CHECK LISTS** **CR+5** **DEST** **Y**

Weekly listings sent from the State Working Bank via electronic file transfer of all outstanding UI Benefits and Retraining checks. Files are retained in a secure STA directory file (not in SUITES).

Information on the listings includes:

RDA #	RDA Title	Retention	Disposition	PII
	<ul style="list-style-type: none"> • Check Number, Amount, Type • Payee Social Security Number • Date of Issue ... and other pertinent information.			
<u>00089000.</u>	<u>BANK RECONCILIATIONS</u>	<u>FIS+4</u>	<u>DEST</u>	<u>N</u>
	Reconciliations of Benefit and Retraining Accounts between UI General Ledgers and the State Working Bank. Includes info from statements of the Benefit and Retraining Accounts and computer printouts. Information contained includes: <ul style="list-style-type: none"> • Book Balance - UI General Ledger • Outstanding check balance • Income not booked • Adjusted book balance • Bank Balance • Outstanding fund checks • Deposits Credited and Deposit Adjustments • Check Reversal in Error • Adjusted Bank Balances . . . and other pertinent information.			
<u>00097D00.</u>	<u>COLLECTIONS CLOSED LEGAL BENEFIT AND TAX DELINQUENT OVERPAYM</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	Collection closed legal overpayment cases originated when an UI benefit claimant was overpaid and was required to return payment to the UI Division. Debt has been repaid and a Satisfaction to Warrant (lien) has been filed . Records in this series include: <ul style="list-style-type: none"> • Copy of Initial Determinations • Overpayment Warrants • Levy • Satisfactions • Summary of legal action . . . and other pertinent legal documents and correspondence. EVENT: Date warrant is satisfied			
<u>00097E00.</u>	<u>COLLECTIONS CLOSED LEGAL BENEFIT AND TAX DELINQUENT OVERPAYM</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
	Reference record series description under RDA97D. NOTE: These records may be retained within Employer History files (RDA83G), as needed to ensure the Employer History file is complete. EVENT: Date warrant is marked satisfied or uncollectible			
<u>00097G00.</u>	<u>UI DELINQUENT TAX SUBPOENA RECORDS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	UI Bureau of Tax and Accounting (BTA) collects delinquent UI taxes. BTA issues subpoenas to banks/credit unions (financial institutions) to request financial information (e.g. signature cards, copies of checks, statements) about UI Tax debtors. Most financial institutions send information to UI-BTA via a media device (e.g. CD, thumb/flash drives). Subpoena records are copied from the media device to a secure network drive for use in the tax delinquent process. EVENT = after no pending overpayment, forfeiture, bankruptcy or delinquency activity			
<u>00157000.</u>	<u>RETURNED CHECK INDEX CARDS</u>	<u>CR+4</u>	<u>DEST</u>	<u>Y</u>
	A listing of checks picked up from the United States Postal Service by DWD's Mail Processing Section and delivered to UI's Bureau of Tax and Accounting/General Accounting. It includes checks which the post office could not deliver because of an incorrect address. Record includes: <ul style="list-style-type: none"> • Name (alpha order) and SS# • UI week number and Date returned to UI • UI Benefit Center number • New address of claimant • Date re-mailed to claimant 			

RDA #	RDA Title	Retention	Disposition	PII
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• Overpayment date

<u>00159000.</u>	<u>REPLACEMENT CHECK AUTHORIZATION</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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UI Bureau of Benefit Fraud Operations generates a Replacement Check Authorization to BTA to request a replacement UI check because a check was cashed fraudulently or a check was un-cashed.

The record contains the following information:

- Claimant SS# and Claimant name
- If check was un-cashed: for week(s); check amount; issuance date; check#
- If check was cashed: for week; amount of check
- Authorizer's signature and date

EVENT: Issuance of replacement check

<u>00182000.</u>	<u>TRADE READJUSTMENT ALLOWANCE (TRA) CLAIMANT BENEFIT AND EMPL</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Non-appealable and appealable documents pertaining to establishment, determination of entitlement and/or payment records for Trade Readjustment Allowances under the Trade Act of 1974, as amended.

Information contained in the records may include:

- Claimant name and social security number
- Weekly continued claims (UCB-17)
- Decisions issued regarding claimant eligibility
- Claim history printout; Miscellaneous correspondence
- Overpayment collection data
- Request for determination of TRA entitlement (TRA855)
- Employment information request (TRA855A)
- Claimant's affidavit of base period employment & wages (TRA855B)
- Certification for weekly TRA workers in training allowances (TRA858A)
- Worksheet (TRA13)
- Administrative Correspondence (inter-office memos; UI Directives; Job Service Directives; funding records; statistical reports;

Notices of

Action calendar; and other related TRA materials)

- Department of Labor documents: Petition for Trade Adjustment Assistance (ETA-9042) and Petition Certification letter
- Employer Records (data processing scans, pre-and-post certification reports union contracts, employee listings and correspondence between the employer and central and adjudication/call centers)
- and other pertinent information

Records are stored in SharePoint and UIBNET.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

EVENT: Expiration of petition for Trade Adjustment Assistance; EVT + 6 yrs; destroy confidential

<u>00185000.</u>	<u>INTERSTATE BENEFIT AND COMBINED WAGE RECORDS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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Combined Wage Claim (CWC) incoming and outgoing billing records related to claimants filing a UI claim by using wages from two or more states. Billing records (IB-6 records that match the YYQQ, State imported bills and IB-6 Discrepancy Report or equivalent) are used to notify each transferring state, each quarter, of benefits paid and charges due to be paid

EVENT: Date received; EVT + 4 yrs; destroy confidential

<u>00223000.</u>	<u>BENEFIT CLAIMANT HISTORY AND ADJUDICATION / HELP CENTER RECORD</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Variety of non-issue and issue claimant documents received by Help Centers. Claimant history files, including Adjustments and Special Programs (ASP) Section, previously Non-Automated Claims (NAG), contain information and decisions on Unemployment Insurance benefits.

Record series may include:

- Employer's benefit liability/eligibility reports
- Initial determinations on benefit claims made by the central or adjudication/call centers
- Monetary computations/re-computations
- Letters of inquiry from claimants and employers and related responses
- Printout histories of benefits paid to each claimant
- Notices of address changes; Charge-out cards
- Adjustments and Special Program (ASP) claim records
- Notices of contested claims and Investigations of contested benefit claims; Contested claims may involve any issue described under Wis. Stat. ch. 108

RDA #	RDA Title	Retention	Disposition	PII
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- Appeal records and related correspondence and other pertinent information

The official record will be maintained electronically for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

EVENT: After no pending overpayment, forfeiture, bankruptcy or delinquency activity; EVT + 6 yrs; destroy confidential

<u>00236B00.</u>	<u>UNEMPLOYMENT INSURANCE FORCE PAY ORDER AND CONTROL REGISTE</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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Force Pay Orders, which documents a Central Office Processor's order to the Benefit Application mainframe processing System to adjust claimant payment records for various reasons:

- Overpayment offsets and refunds
- TRA benefit checks
- Underpayments resulting from amended monetary determinations
- Forgeries
- Duplicate checks
- Prorates
- Tag-end adjustments; and
- Validity period checks

The Adjustments and Special Program (ASP) Section is responsible for control, completion and payment of Force Pay Orders for all bureaus within the Unemployment Insurance Division.

Information contained on the record includes:

- Claimant name and social security number
- Valid New Claim (VNC) week
- Week(s) being adjusted, amount to be force paid
- Employer name & account number or administrative account to be charged
- Condition and charge code
- Reason for payment/adjustment
- Amount offset and/or actually paid
- Authorization signature
- Unit
- Date authorized
- other pertinent information

The official record will be maintained electronically for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

EVENT: Entered into UI benefit system; EVT + 4 yrs; destroy confidential

<u>00251000.</u>	<u>UNEMPLOYMENT INSURANCE ADVISORY COUNCIL MEETINGS, PUBLIC HEA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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The Unemployment Insurance Law provides for a Council made up of members from labor and business to guide the development of UI Law and administrative rules used by the UI Division to administer the program.

The record series contains Unemployment Insurance Advisory Council (UIAC) meetings and public hearing files and recordings that address proposed and revised UI Law and Administrative Rules. Records also include legal advice/opinions and judicial interpretations.

It is necessary to permanently retain these records because they provide the major source of UI legislative history. Files are frequently referenced and used by BOLA attorneys and staff for pending legislative and administrative rules historical research. Files are used to determine or remember intent of previously enacted laws and administrative rules, bill drafting, judicial matters, decisions and testimony and litigation investigations and proceedings. Record volume is minimal.

Records contained in this series include:

- UIAC Meeting Minutes
- UIAC Digital Audio Meeting and Public Hearing Recordings
- Law Change Proposals

RDA #	RDA Title	Retention	Disposition	PII
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- Brief Public Hearing Summaries
- Financials
- Legal advice and opinions between the UI Administrator and Deputy Administrator, UI bureaus/offices and the UIAC
- Legal advice and opinion correspondence between the Bureau of Legal Affairs (BOLA) and the Department of Labor (DOL) in response to inquiries or issues received about UI Claims, legislation, laws, policies, UI program letters (UIPL), or related UI matters.
- Attendee Lists and handout materials ... and related records

Paper UIAC, public hearing, legal advice and opinion files are destroyed confidential 90 days after they are scanned into UIBNET and verified.

<u>00258000.</u>	<u>NEW HIRE TRANSACTION AUDIT LOG</u>	<u>CR+1</u>	<u>DEST</u>	<u>N</u>
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The New Hire mainframe access audit log was created to identify unauthorized use of information in the State Directory of New Hires. An entry is automatically made in the log each time a staff member accesses New Hire data using an on-line mainframe transaction.

The audit trail consists of:

- Alphanumeric user identification code assigned to the staff person logged on to the system.
- Name of the mainframe transaction used to access data
- Social security number or federal identification number used in the transaction
- Date and time the data was requested
... and other pertinent information

There are no State or federal regulations that require creation of the audit log, therefore there are no regulations regarding retention of this data.

Program Contact: Jeff Becker, 608-266-3272
Jeff.Becker@dwd.wisconsin.gov

EVENT = Creation

<u>00259000.</u>	<u>NEW HIRE REPORTS</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>Y</u>
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Employers are required to submit electronic or paper reports on newly hired employees to a third party vendor used by multiple states, including Wisconsin. If employers submit paper reports to UI by mistake, the report is faxed to the vendor for processing.

The third party vendor transmits Wisconsin's New Hire Report information daily (except State non-work days) via a flat file to the Wisconsin Unemployment Insurance Division. Flat file data is imported into the State Directory of New Hires DB2 application. The Wisconsin Unemployment Insurance Division manages the State Directory of New Hires Application (reference RDA259B).

Federal regulations do not specify data retention requirements for the states.

Third Party Vendor is managed by the Department of Children and Families.

PII Contact: David Heuer, 608-266-7936
David.Heuer@dwd.wisconsin.gov

EVENT: Entry into UI benefit system

<u>00259B00.</u>	<u>STATE DIRECTORY OF NEW HIRES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Federal welfare reform legislation, the Personal Responsibility and Work Opportunity Act of 1996, and Wis. Stat. § 103.05 established the New Hire Reporting program. All employers are subject to New Hire reporting requirements.

Information collected from employers includes:

- ? Employee Name, Address, Social Security No., Date of Birth, and Date of Hire
- ? Employer Name, Address, Federal Employer Identification Number (FEIN)

WI Unemployment Insurance manages the State Directory of New Hires DB2 application under agreement with the Dept. of Children and Families.

PII Contact: David Heuer, 608-266-7936
David.Heuer@dwd.wisconsin.gov

EVENT: Event is entry into UI Benefit system

<u>00308A00.</u>	<u>REQUIRED FEDERAL STATISTICAL REPORTS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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Statistical reports required by the federal government. Reports and the source data are used by the Dept. of Workforce Development and Unemployment Insurance management.

Reports are produced electronically weekly, monthly, quarterly, and annually to provide information to the US Department of Labor

RDA #	RDA Title	Retention	Disposition	PII
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(USDOL) on initial claims, continued claims, monetary and non-monetary determinations, and appeals for the management of the Unemployment Insurance program. These reports are submitted electronically to USDOL.

Year to date and other source files are used as the source documents to produce these reports.

Reports contain the following information:

- Special program trigger status
- Workload counts regarding Initial, continued, extended benefit and special program claims
- Time lapse counts for first payment and continued weeks timeliness
- Workload counts for adjudication and appeals
- Time lapse counts for adjudication and appeals
- Characteristics of the insured unemployed
- Claims and payment activities
- Overpayment detection and recovery activities
- Benefit rights and experience
- Interstate arrangement for combining employment/wages
- Non-monetary determination activities
- Alien claimant activity
- Worker profiling and reemployment services activity
- Worker profiling and reemployment outcomes
- and other pertinent information

The US Department of Labor UI Reports Handbook No. 401 states that this data be retained for at least 3 years.

EVENT: End of calendar year

<u>00336000.</u>	<u>UNEMPLOYMENT INSURANCE BENEFITS CLAIMANT RECORD</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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The Unemployment Insurance (UI) Benefit Claimant Record application system automates the day-to-day operations within the Bureau of Benefit Operations needed to administer and control the UI Tax laws for WI benefit accounts.

The major components of the system include: Benefit processing, that interfaces with UI Tax and Accounting; Appeals; Labor management Information; interstate benefits; child support; non-monetary and monetary determination processes; claimant file updates, report generation, and data sharing with other governmental programs.

The UI Benefits Claimant files and data include:

- Portal data including authentication; time/date stamp and data entered
- Inquiries; Overnight processes
- Monetary determinations
- Special programs
- Check writing
- Disputed claims
- Appeals
- Initial UI benefit claims
- Weekly benefit claims
- Overpayment, forfeiture, bankruptcy or delinquency activity
- Interstate and combined wage claims

Software: The Benefit system is a mainframe-based transactional system which includes numerous batch and on-line jobs. The centralized mainframe and client/server environments utilize COBOL2, VSAM and IDMS data stores, CICS transactional processing, and DB2 and Oracle data stores

EVENT: After no pending overpayment, forfeiture, bankruptcy or delinquency activity; EVT + 6 yrs; destroy confidential

<u>00336A00.</u>	<u>INITIAL CLAIMS - INCOMPLETE</u>	<u>CR+0/2</u>	<u>DEST</u>	<u>Y</u>
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Incomplete initial claim applications for all UI programs received through the telephone and internet Initial Claims Process used to track start of a UI Benefits Claim.

CR + 28 business days; destroy confidential

<u>00336C00.</u>	<u>WEEKLY BENEFIT CLAIMS</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>Y</u>
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Weekly benefit claims source data, including Employer name and address changes and/or Claimant name and address changes are received in central benefits through an Unemployment Insurance online internet portal.

EVENT: Entry into UI Benefits System; EVT + 3 weeks; destroy confidential

<u>00336D00.</u>	<u>INTERNET AUDIT RECORDS - INITIAL AND WEEKLY CLAIMS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Audit record of claimants using Internet applications to file an initial claim application or a weekly claim certification.

Audit record contains claimant's social security number, type of transaction (e.g. file a claim), UI Processor identifier (UI staff or

RDA #	RDA Title	Retention	Disposition	PII
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system), date/time of transaction, and comments stored by the UI staff or system.

Information is used by UI staff to monitor system usage, for troubleshooting a UI claim, and for verification of claimant statements used in adjudication.

NOTE: Retention Criteria - Over 17 million records are maintained on this database due to volume of transactions. Since the data store is so large, data is retained current quarter, plus 3 years after entered into UI Benefits System.

NOTE: Interactive Voice Response (IVR) data collection was phased out in September 2017.

EVENT: when entered into UI Benefits System; EVT + current quarter, plus 3 years; destroy confidential

<u>00336E00.</u>	<u>UNEMPLOYMENT INSURANCE (UI) HANDBOOKS - EMPLOYER AND CLAIMAN</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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UI Handbooks function as policy documents that describe regulatory requirements of the UI Program. They also provide information and instructions to employers and claimants regarding rights and responsibilities under the Unemployment Insurance law of the State of Wisconsin.

NOTE: As of 2009, the Employer Handbook (UCB-201-P) is an electronic policy document. The Claimant handbook (UCB-10-P) is printed policy document.

EVENT: Date the handbook is superseded or made obsolete; EVT + 7 yrs; destroy

<u>00338000.</u>	<u>STATE UNEMPLOYMENT INSURANCE TAX ENTERPRISE SYSTEM (SUITES) E</u>	<u>EVT+15</u>	<u>DEST</u>	<u>Y</u>
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The SUITES system automates the day-to-day operations within BTA needed to administer and control the Unemployment Insurance Tax laws for Wisconsin employer accounts.

The SUITES system collects, stores, manages and processes information and records related to employers, UI taxation and accounting, claimant and employer debt collection, employer audits, employer payroll and wages.

SUITES consist of batch processing, real time employer account updates via user interface for internal staff, and an external facing web portal used by employers and service providers. Records include registrations, tax rates, payment information, adjustments, address updates.

Batch employer record components interface with Great Plains General Ledger, UI Benefits, Labor Market Information, Workers Compensation, New Hire, NACHA, US Bank, Internal Revenue Treasury Offset Program, DOR Tax Refund Interception Program and DOR Employer Registration, Wisconsin Consolidated Court Automation Program (CCAP) and Client Assistance for Re-employment and Economic Support (CARES).

Software: SUITES designed on .NET is a windows-based system and uses relational Oracle and data warehouse technology.

EVENT: When UI employer account is closed by UI

<u>00338A00.</u>	<u>TAX COLLECTION LETTERS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Tax Collection Letters and History generated from SUITES. Reference system application description in RDA338.

Legacy UTAS/IDMS Tax Collection letters were converted to SUITES 2/26/2010.

EVENT: Full recovery or write off

<u>00338B00.</u>	<u>UI TAX AUDIT - UI FIELD AUDIT APPLICATION RECORDS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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In-process field audits are stored through the Field Audit Application and images are filed in UI Workflow once the audit is closed.

Field Audit application records are editable (UI Workflow images are not editable) and are used to project different outcomes for appeal proceedings.

Audits prior to 6/1/12 (archived) are stored on the cfs1 server and accessed through the Archive Field Audit Application.

RDA #	RDA Title	Retention	Disposition	PII
	EVENT: Audit completed and stored in UI workflow			
<u>00338C00.</u>	<u>UI TAX AUDIT - COMPLETED UI FIELD AUDITS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	UI Field Audit Application records are uploaded to UI Workflow (and accessible through SUITES) after they are closed/approved by supervisor.			
	EVENT: audit closed			
<u>00338E00.</u>	<u>BENEFIT COLLECTION LETTERS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
	Benefit Collection Letters and History generated from SUITES. Reference system application description in RDA00338.			
	Legacy Benefit Collection letters were converted to SUITES 2/26/2010.			
	EVENT: Full recovery or write off.			
<u>00338I00.</u>	<u>OUTGOING CORRESPONDENCE</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
	Correspondence and Print Tracking Directory created and stored in SUITES. Contains internally generated correspondence electronic files (i.e. . PDF and XML) for all employer related correspondence mailed. Also used for viewing via the UI Employer Portal.			
	Some files are imaged and subsequently stored in UI Workflow, as referenced in RDA83G, imaged Subject Employer History File.			
	All other correspondence files are stored in SUITES and correspondence is recreated from SUITES, as necessary.			
	Reference RDA338 for a more detailed description of UI SUITES.			
<u>00338J00.</u>	<u>GREAT PLAINS GENERAL LEDGER</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	Data summary level UI Trust Fund general ledger, accounts payable, life to date account balance financial records and Claimant and Employer addresses used to create checks generated from the Great Plains General Ledger.			
	UI employer and claimant transaction summary data is transferred to the Great Plains General Ledger from SUITES and interfaces with SUITES and other UI applications. Bank reconciliation cash balances are regularly reconciled with the state bank.			
	The General Ledger was migrated from a manual system to the Great Plains General Ledger automated application in 2002.			
	EVENT: Migration to a different general ledger program			
<u>00339000.</u>	<u>UI TAX AND ACCOUNTING MANAGEMENT REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	Daily, monthly, quarterly, or annual management aggregated reports generated by UI Tax and Accounting automated systems SUITES. Management reports are generated as needed to keep UI Tax and Accounting managers abreast of ongoing program and production UI statistics.			
	Reports are generated for all sections within Tax and Accounting.			
	EVENT: Superseded			
<u>00379000.</u>	<u>CLAIMANT FOLLOW-UP ON TASKS AND REJECTS FROM THE UI BENEFIT SY</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	Certain tasks and rejects from the UI Benefits System that require human intervention to solve questions. Records include:			
	<ul style="list-style-type: none"> • Check Writing Exception Lists (message or SSN order) • Electronic Workflow Tasks or Rejects (DREJ or PREJ) • or equivalent 			
	EVENT: Date issue is resolved; EVT + 0; destroy confidential			

RDA #	RDA Title	Retention	Disposition	PII
<u>00379A00.</u>	<u>ADJUDICATION SCHEDULING APPLICATION RECORDS</u>	<u>CR+0/9</u>	<u>DEST</u>	<u>Y</u>
	<p>Adjudication Scheduling Application contains information relating to UI:</p> <ul style="list-style-type: none"> • Adjudication Claimant Interview Schedules • Claimant (who and type of interview) • Profiling Orientation Schedule, based on certain claimant profiles. <p>Some profiles are targeted for additional reemployment services and scheduled orientation session.</p> <p>CR + 9 mos; destroy confidential</p>			
<u>00389000.</u>	<u>COED - CONDITIONS OF EMPLOYMENT DATA AND REPORT</u>	<u>CY+6</u>	<u>DEST</u>	<u>Y</u>
	<p>The Conditions of Employment (CoED) data is archived files containing estimates of labor market data needed to resolve benefit eligibility and is the primary source for UI to obtain Labor Market Information. The basic structure of the COED system contains three modules: 1) Able & Available Issues; 2) Job Offer/Quit Issues; and 3) Mean Travel Distance</p> <p>Wage data is a main component of COED. The original source of this wage data comes from the annual federal OES Wage and Occupational Survey (OES). UI's source for this data, in a highly modified form, comes from the Labor Market, LMI ALMSHEMA, and Oracle data store.</p> <p>The CoED 2.0 application is an Excel Spreadsheet. Occupational titles are chosen from a DOL website (O*Netonline.org). Wage and hour data is entered onto the spreadsheet and CoED 2.0 creates a certified report. The report reflects the change from shifts to accustomed hours and provides a breakdown of the number of hours worked per week for similar work in the labor market.</p> <p>EVENT: Superseded; EVT+current year, plus 6 addtl years; Destroy confidential</p>			
<u>00394000.</u>	<u>APPEALS CASE MANAGEMENT SYSTEM (ACMS)</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
	<p>The Appeals Case Management System provides case tracking, hearing scheduling, mainframe update, and management information for UI Benefits and Tax appeals handled by BOLA (Bureau of Legal Affairs) and LIRC (Labor Industry Review Commission).</p> <p>ACMS consists of over 60 Customer Information Control Systems (CICS) screens and over 60 batch jobs and provides the on-line capability to request and print hearing-related documents locally or centrally.</p> <p>Records include appeals documentation, such as:</p> <ul style="list-style-type: none"> • Confirmation of appeal • Administrative Law Judge schedule • Notice of hearing • Other appeal related information <p>ACMS updates the UI Benefits System for Appeal Tribunal Decisions that affirm or result in an affirmation of initial determinations. Hearing Office, BOLA, LIRC and Tax Attorneys Code tables (e.g. Issue Codes) are also maintained through the ACMS system.</p> <p>ACMS runs on a CICS mainframe operating system. It was developed using Cobol as the major programming language. Data is stored on a DB2 database. ACMS interfaces with Benefits & Tax SUITES application systems.</p> <p>EVENT = After final appeal period has ended</p>			
<u>00395000.</u>	<u>BENEFIT ACCURACY MEASUREMENT (BAM) INVESTIGATION VERIFICATION</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
	<p>BAM Investigation Verification (Audit) Case Files including:</p> <ul style="list-style-type: none"> ** PCA (Paid Claims Accuracy) data ** DCA (Denied Claims Accuracy) data ** Verification and OQC standard investigation forms ** Claimant questionnaire ** Audit decision ** Corrective action; and ** Concealed earning files <p>Assesses the accuracy with which claims for unemployment insurance benefits are paid and denied. Provides statistically reliable estimates of the impact of erroneously paid and denied claims, utilizing BAM field methodology. Case Files are created in the Menomonee Falls, Madison, and Eau Claire offices, then stored digitally authorized retention period.</p>			

RDA #	RDA Title	Retention	Disposition	PII
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EVENT = After investigation is complete

<u>00395A00.</u>	<u>BENEFIT ACCURACY MEASUREMENT (BAM) UNITED STATES DEPARTMENT</u>	<u>CR+4</u>	<u>DEST</u>	<u>Y</u>
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Audit investigation case file data is entered into USDOL's Sun Benefit Accuracy Measurement (BAM) computer system and transmitted to USDOL daily. However, not all data is transmitted and the state maintains the official record for the authorized retention period.

EVENT = Creation

<u>00395B00.</u>	<u>BENEFIT ACCURACY MEASUREMENT (BAM) WISCONSIN EXECUTIVE SUMM</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Report statistical data is derived from BAM (Audit) Case Files and compiled at the end of October for the preceding Improper Payments Information Act (IPIA) year ending June 30th, reviewed by states and then included in the USDOL BAM Annual Report.

The BAM Annual Report is posted on the federal Employment and Training Administration (ETA) web site each March of the following year. It includes a compendium of all states' BAM PCA (Paid Claims Accuracy) and DCA (Denied Claims Accuracy) data, as well as various types of analyses.

Office of Quality Control (OQC) generates Wisconsin's annual report data printouts to ensure program results are the same as the USDOL before it is included in the national BAM Annual Report. Reports are retained by OQC to compare data from year-to-year to track long-term error trends and to develop an Executive Summary analysis, which is shared with UI Administration and Benefit managers.

DOL maintains the records for the federal BAM Annual Report and Wisconsin UI maintains the records for the Wisconsin Executive Summary.

EVENT = until report is superseded

<u>00396000.</u>	<u>TAX PERFORMANCE SYSTEM (TPS) PROCESSED CASES, FILES, AND ANNU.</u>	<u>CR+4</u>	<u>DEST</u>	<u>Y</u>
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TPS provides accurate program information upon which program and law decisions can be based.

TPS uses an internal audit approach and through small acceptance samples, system reviews and methods surveys, etc., determines whether there is reasonable assurance of quality in that particular function.

This program looks at 14 different revenue functions. TPS became mandatory as of calendar year 1996. Each May, TPS issues an Annual Report covering the prior calendar year.

Records contain:

Claimant Information:

- Names
- SSN's
- Eligibility information
- Quarterly Gross Income
- Benefit History

Employer Information

- Names
- FEIN's
- Ownership Information
- Employer History and Records
- Payment Records
- Billing Records
- Credit Records
- Payroll quarterly records
- Rate Records

Tax Performance System (TPS) Files may include selected TPS Cases, Summary Sheets, and printouts, Sun System data screen prints, printed copies for auditors/Legislative Audit Bureau (LAB) and TPS Federal Review (TPS Reviewers) details.

Tax Performance System (TPS) Annual Reports contain minimal PII information. Most references are only by case number and employer UI number. US DOL receives a copy of reports annually.

TPS records are created and maintained at the Madison Office.

EVENT = Creation

<u>00396A00.</u>	<u>TAX PERFORMANCE SYSTEM (TPS) UNIVERSE DATA FILES</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
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Universe data files contain raw data text files as defined in RDA 00396.

EVENT = Creation

RDA # RDA Title Retention Disposition PII

00436000. UI SSA QUERIES AUDIT TRAIL (UIQ) EVT+7 DEST Y

UIQ Audit Trail records relating to Social Security Administration (SSA) verification data and queries sent to the Social Security Administration. Data is cross matched and used to verify UI Claimant Social Security Numbers against the SSA records.

Data is stored on IDMS and Oracle servers and a DB2 datastore which all reside in secured computer facilities. SSA data is exchanged between DWD-UI and SSA mainframe datastore using CICS and an ISC connection.

WI DWD and UI entered into a computer matching agreement in 1999 which allows DWD to obtain SSA data. During the pilot project, a State Online Query (SOLQ) program was used. The pilot program was discontinued on September 14, 2007 and migrated to the Unemployment Information Query (UIQ) System 4/1/2008.

Program Contact: Jeff Becker, 608-266-3272
Jeff.Becker@dwd.wisconsin.gov

00465000. IRS (INTERNAL REVENUE SERVICE) FEDERAL TAX INFORMATION EVT+6 DEST Y

Treasury Offset Program (TOP) and Government Liaison Data Exchange Program (GLDEP) Extracts, and 1099 data.

TOP is a Federal program that interfaces with UI SUITES to enable Federal Tax Intercept. TOP data is also copied into the CEDARS data warehouse.

TOP has considerable security restrictions for data, hardware, access and audit reports. Security actions allow UI to work with the IRS to intercept tax refunds for UI collectibles.

Output - The Notification of Intent to Intercept Federal (IRS) Income Tax Refund letters (one output from TOP).

GLDEP Extracts are IRS files received by UI that provide employer related information used as Tax and Benefit Collections and Employer Account Management Tools. Extracts include: BMF: Business Master File data; BRTF: Business Retention Transfer File data; Corporate Affiliation data; FEIN: Federal Employer Identification Number; Levy: Employer Bank Account data (Levy parties); Military Combat Zone data. GLDEP extract data exists in U:\Prod\UI\Data\IRS_FTI, in SUITES, and in paper for the Levy extract in very limited volume.

1099 data is stored and accessed via the proprietary 1099 Application.

EVENT: Completion of Federal Tax Information (FTI) audit and information stored in the TOP system

00465A00. IRS FEDERAL TAX INFORMATION AUDIT LOGS EVT+7 DEST Y

Audit trail logging of IRS-supplied Federal Tax Information (FTI) is recorded every time FTI is created, a user accesses existing FTI, and when it is purged from the DWD network.

These logs contain a date/time stamp, the user who accessed the FTI, and details of what FTI was created/accessed/deleted. FTI occurs within the SUITES application, UI's 1099 application, the CEDARS data warehouse, and on one DWD shared network drive where FTI is stored.

IRS Federal Tax Information (FTI) has considerable security restrictions for data, hardware, access and audit reports.

Per IRS Publication 1075 (revision effective 9/30/16), FTI audit logs are required to be retained for 7 years. Records are now retained to meet the IRS requirement.

EVENT = Disposition of the Federal Tax Information (FTI) recorded on the log

00468000. CHILD SUPPORT ORDERS FOR WITHHOLDINGS FROM BENEFIT PAYMENTS EVT+4 DEST Y

Child Support Orders are received from the court with child support jurisdiction. These records are retained during the entire life in which the order is in effect and are the documentation used to support the withholding or benefit payments.

Note: no open order may be purged. Once the order is closed (superseded or completed), it may be purged after it meets the retention time period.

Program contact: Barbara A. Foulk, 608-266-3253

Dept #: 620/ Department Name: UNEMPLOYMENT INSURANCE

RDA # RDA Title Retention Disposition PII

Barb.foulk@dwd.wisconsin.gov

EVENT = After the court order closed date

00475000. BENEFIT CLAIMANT DIRECT DEPOSIT AUTHORIZATIONS EVT DEST Y

Direct Deposit Authorizations allow UI to deposit UI Benefit Claimant checks into a claimant's specified bank account.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 90 days after entry into the system and verified.

EVENT: When new direct deposit request is received or death of claimant; EVT + 0; destroy confidential

00489000. UI BENEFITS ARCHIVED RECORDS CR+15 DEST Y

Records related to UI Benefits data which are purged from application tables may be archived into separate, non-system archive tables. These data are used for research and statistical purposes and are not part of the UI Benefit Application System.

Records are archived into separate, non-system archive tables. Once archived, the data record is not part of the UI Benefit Application System.

NOTE: Archived data currently rolled off for two UI Benefit application system tables, specifically cc_image and client_info

Program Contact: Janet Sausen, 608-267-9807
Janet.Sausen@dwd.Wisconsin.gov

EVENT = Creation

00490000. IRS FTI USER ACKNOWLEDGEMENTS EVT+5 DEST N

UI Staff with access to Federal Tax Information supplied by IRS are required to receive annual training and to sign an acknowledgement that they understand the IRS safeguard requirements. UI Staff with access to Federal Tax Information supplied by IRS are required to receive annual training and to sign an acknowledgement that they understand the IRS safeguard requirements.

Records are now retained to meet the IRS requirement.

Program Contact: Jeff Becker, Phone: 608-261-0210
JeffreyBecker@dwd.wisconsin.gov

EVENT = After acknowledgement signature date

Dept #: 700/ Department Name: ADMINISTRATORS OFFICE

RDA # RDA Title Retention Disposition PII

00279000. FOCUS GROUPS AND LISTENING SESSIONS - MATERIALS AND REPORTS EVT+7 DEST N

Consists of material from focus groups and listening sessions with partners, other governmental agencies, and groups outside the Division which may include, but is not limited to, moderator's notes, discussion worksheets, evaluation, comment sheets or any other working papers; and reports summarizing results of these groups.

EVENT: Date of last event in sessions series.

00284000. PROMOTIONAL MATERIAL CR+1 DEST N

Material describing conferences and events offered by DET. May include flyers, posters, notices, mailings, and websites.

00334000. WISCONSIN EMPLOYER AND JOB POSTINGS EVT+3 SHSW N

Wisconsin employer and job posting records are maintained via the JCW Business(JCWB) and Job Center of Wisconsin (JCW) systems.

The Employer Record System (ERS) contains demographic and labor market information relating to over 150,000 employer sites in Wisconsin, including most employers covered by the Unemployment Insurance System. Job Postings are displayed publicly in Job Center of Wisconsin, internally within JCW Business, and uploaded to U. S. Jobs

and America's Job Exchange nightly.

An automated process runs a series of batch jobs monthly to purge or archive Employer and Job Order data which have met disposal requirements. Final deletion of the public Job Order data occurs the month following the monthly purge/archive process, which removes it from ERS and transfers the data to WHS, to allow time to validate a successful transfer of data between agencies. This subset of data is the record and is sent to the Wisconsin Historical Society in .csv format. Data elements include the following:

Job Order Number
 Company Legal Name
 Employer Trade Name
 Alternate Trade Name
 Address line 1, Address line 2
 City, State, Zip Code, Zip +4
 County Code
 Job Title
 Number of Openings
 Work Week, Minimum Hours, Maximum Hours
 Minimum Pay, Work Unit
 Maximum Pay, Work Unit
 Benefits, and Compensation Information

JCW Business is a secured web-based system written in VB.net and implemented October, 2005. JCW Business security is strictly enforced, and information can be accessed via the Internet by Job Center Staff and Department of Employment and Training (DET) Partner Agencies based on permissions granted by DET Security. JCW is a public-facing web-based system, implemented September 15, 2008. JCW security is maintained via on-line user logon/password account creation, and employer permissions granted through DET.

The three systems provide statewide comprehensive data about employers and job postings as well as links to job seeker data within ERS and from the Automated System Support for Employment and Training (ASSET) system (RDA00433) to allow the match of participants to job postings. Federal deliverables are electronically transmitted to Department of Labor (DOL) quarterly and an annual report is submitted via a secured DOL website. Retention requirements are described in 20 C.F.R. § 652(8) for federal reporting purposes.

Confidential Employer data is deleted immediately upon running of the monthly purge/archive process.

EVENT = Off JCW-No-Reopen Status

<u>00334C00.</u>	<u>JOB CENTER OF WISCONSIN POSTINGS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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This job search information is specific to individual job seekers. Job seekers own the data. They enter it, update it, and may delete it. Examples may include, but are not limited to: resumes, cover letters, work applications, etc.

This record series contains confidential information per Wis. Stat. § 19.36(10).

EVENT = Expired status or Job Seeker self-deletion

<u>00439000.</u>	<u>PROGRAM SURVEYS - PAPER</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>N</u>
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Records consist of paper surveys on various subjects, such as the Survey of the State's Registered Nurses and Licensed Practical Nurses where DWD has been assigned responsibility for conducting such surveys and analyzing the results.

Once the counted surveys are reconciled with the Department of Safety and Professional Services (DSPS) counts, the survey forms can be destroyed since they have no further value.

Note: The Nursing survey contained wage and earnings information with a pledge that the information collected would be kept strictly confidential.

EVENT = Date Reconciled

<u>00441000.</u>	<u>PROGRAM SURVEYS - FINAL DATA FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
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Records Consist of final data files extracted from surveys completed online. Surveys are completed by workers in a variety of occupations to provide a comprehensive profile of the current workforce.

Note: The Nursing survey contained wage and earnings information with a pledge that the information collected would be strictly confidential.

EVENT = Creation of the final dataset

Dept #: 700/ Department Name: ADMINISTRATORS OFFICE

RDA # RDA Title Retention Disposition PII

00442000. FINAL SURVEY RESULTS EVT+10 SHSW N

Records consist of final reports analyzing the results of the surveys. The final results of some surveys are published in the biennial report to the State Legislature, some results are used for internal analysis and decision making.

Note: Copies of final publications may be transferred to the Wisconsin Historical Society any time after completion.

EVENT = Date of publication of the final survey results.

00476000. SCREENING MATERIALS CR+1 DEST Y

Material collected from job seekers prior to, or during, Job Fairs, Career Expos, and other employment events used to determine appropriateness for hire and/or eligibility to participate in the event.

May include, but is not limited to, resumes, scores to Department- administered tests, and professional credentials.

00477000. REGISTRATIONS CR+1 DEST Y

Information submitted by businesses and/or attendees participating in DWD sponsored events.

Businesses may submit information about the business, names of staff attending, and general information about hiring goals. This series may also include correspondence with business representatives related to participation interest and goals.

Attendee information may include name, address, contact information, education information, and credit card information.

00478000. LABOR LAW TRAINING SEMINARS EVT+2 DEST N

Educational seminars offered in person or as webinars which are open to the public and feature DWD staff explaining many of the laws and rules the agency administers. This series consists of presentations and handouts distributed to attendees. Topics include Labor Laws, Fair Employment, Worker's Compensation, Labor Standards, Unemployment Insurance and Employment and Training.

Program contact: Dom Tervalon, 608 267-7259

EVENT: Date of seminar

00479000. CONFERENCE PLANNING AND HOSTING EVT+2 DEST N

Planning for conferences including, but not limited to, Youth Apprenticeship forums, Apprenticeship Conferences, LVER Conferences, and workforce program conferences/roundtable events. Includes material related to logistics, catering choices, travel arrangements, scheduling, presentations, brochures, invitations, acceptances or regrets, notices, speaker arrangements, and facilities set up.

May also include correspondence with attendees/presenters, the conference facility, and staff involved in the conference.

EVENT: Date of conference

Dept #: 701/ Department Name: DET ADMINISTRATOR'S OFFICE - WI FAST FORWARD

RDA # RDA Title Retention Disposition PII

00469000. GPA RELEASE, GPA'S, APPLICANT AND GRANTEE FILES EVT+4 DEST Y

The GPA (Grant Program Announcement) is the way in which grant applications are solicited. Applications will be accepted, evaluated, and awarded under specific GPAs. GPAs are released in rounds together.

Each GPA release includes a batch of GPAs, and each GPA includes a batch of applications/awards.

GPA Release File contents include, but are not limited to:

- Summary of GPAs in the round
- Reports concerning the aggregate of the applicants/awardees under the round
- Due diligence reports from other agencies concerning applicants under the round
- The instruction documents for the GPA round application

GPA File contents include, but are not limited to:

- Documents related to the research behind the final Grant Announcement Proposals
- Reports concerning the applicants under the GPA
- Data for the evaluation process of the GPA

Applicant and Grantee file contents include, but are not limited to:

Grant applications related attachments/addenda and associated working papers such as reviewer score sheet summaries; contracts and memos of understanding; grant award notices, grant approval letters, original and continuing applications, denial letters, etc.

- Records related to implementing individual grants: trainee reports including trainee SS#, race, ethnicity, gender, etc.; program assessments and evaluations, budget worksheets, purchase orders, expenditure/financial reports (except for financial reports defined in ADM00013), annual performance evaluations, program analyses, etc.
- Records related to evaluating and closing out individual grants: program evaluation, non-financial final reports, etc.
- Non-financial reports generated at the request of the secretary's office or administrators.
- Non-funding related correspondence to and from the grantor and/or grantees (may include e-mail), performance reports, records regarding entities that perform the program's work, etc.
- An inquiry file, if there was one that led to that particular application.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

EVT = After GPA release they are connected with is closed by the final closeout of the last grant associated with that GPA release and then destroy; EVT + 4 yrs; destroy

<u>00470000.</u>	<u>INQUIRY FILES</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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The Inquiry Files document requests for information about the program and how the Office of Skills Development handled them. Inquiry files that result in an application will be included in the applicant/grant case file described in RDA469. This refers to inquiries that are closed through partner assistance, referral or short-term contact determining it is not appropriate to Wisconsin Fast Forward. This may include:

- Information about the business(es)
- Records of phone calls, emails, visits

The official record will be maintained electronically for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

EVT = after end of fiscal year in which the file was closed; EVT + 4 yrs; destroy

<u>00501000.</u>	<u>EMPLOYER PARTICIPANTS</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>N</u>
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Employers post internships directly through the WisConnect or Job Center of Wisconsin (JCW) systems.

Records include profile information, including links to company websites, and internship openings.

Reason for creation: new program

EVT = employer account is deactivated; EVT + 3 months; destroy confidential

<u>00502000.</u>	<u>COLLEGE STUDENT PARTICIPANTS</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
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Students create a WisConnect account in order to:

- Access vital resources on how to search, apply, interview and prepare for an internship position.
- Search employers by company name and search internship opportunities by location.
- Upload portfolio items

Records include: resumes and other portfolio items such as references, cover letters, school information, major areas of study, etc. to market themselves to potential employers.

Reason for creation: new program

EVT = student account is deactivated; EVT + 3 months; destroy confidential

<u>00503000.</u>	<u>CAREER SERVICE ADVISORS</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
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Advisors search WisConnect for students from their university/college who have registered and created a WisConnect profile and for relevant internships posted by Employer Participants.

Records include the name, email address and/or telephone, and affiliated education system and institution of advisors.

Reason for creation: new program

EVT = account is deactivated; EVT = 3 months; destroy confidential

Dept #: 730/ Department Name: BWITS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>00346000.</u>	<u>QCEW EXTRACTS - FILE / DATA EXCHANGE</u> UI Administrative Data (Employer tax data) includes employer name, trade name, legal mailing address, employment, wage, ownership, predecessor, and successor information. EVT = Superseded nightly during active tax-expo interface data exchange; destroy confidential	<u>EVT</u>	<u>DEST</u>	<u>N</u>
<u>00346A00.</u>	<u>QCEW EXTRACTS - MAINFRAME GENERATION DATA GROUPS (GDG)</u> Nightly extract from UI Tax. CR + 6 months; destroy confidential	<u>CR+0/6</u>	<u>DEST</u>	<u>N</u>
<u>00346B00.</u>	<u>QCEW MULTIPLE WORKSITE REPORTS</u> BLS Supplemental Reports hard copy (paper) reports are mailed quarterly to employers that meet "multiple worksite" criteria (e.g. employers with more than one worksite and which meet a minimum employment threshold). Employer completes and mails the report to DET. Cover letters are reviewed annually by state, regional office, and national office. Electronic files sent by BLS are imported into the EXPO application. CR + 2 yrs; destroy confidential	<u>CR+2</u>	<u>DEST</u>	<u>N</u>
<u>00346D00.</u>	<u>QCEW ANNUAL RE-FILING SURVEY (ARS) - PAPER AND ELECTRONIC</u> ARS surveys employers to verify industry and geography and to obtain multiple worksite report information. BLS vendor prints cover letters. Sample of about 1/3 of the WI employer database each year, which is about 40-50,000 units surveyed annually. Includes paper Re-filing Survey and monthly electronic updates from DOL received through BLS' touch-tone telephone input. EVT + 3 yrs = when form is received; destroy confidential	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
<u>00346F00.</u>	<u>QCEW HISTORY EMPLOYEE WAGE DATA DETAIL FILE (NAICS) - MAINFRAM</u> QCEW creates a state specific detail file which is used to create a series of products for publication and distribution. The detail file is also used to create confidential files which are distributed to internal customers and other state agencies. CR + 10 yrs; destroy confidential	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
<u>00346H00.</u>	<u>QCEW UI / LMI REPORTS</u> Unemployment Insurance (UI) provides Domestic Employers, Transferred Business, Internet Employer Registration files and related reports created from the State Unemployment Insurance Tax Enterprise System (SUITES) to LMI for reference and assurance that SUITES processing is complete. (Reference RDA339 UI-BTA.) In addition, UI mails out DETI-14168 Wisconsin Employer Report to newly subject businesses. The businesses return the completed form to LMI to assign location and industry codes. CR + 3 yrs; destroy confidential	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
<u>00346J00.</u>	<u>LONGITUDINAL EMPLOYER-HOUSEHOLD DYNAMICS (LEHD)</u> QCEW program manager is the US Census LEHD technical liaison. Each quarter, confidential QCEW data (which is the current quarter Enhanced Quarterly Unemployment Insurance (EQUI)) and confidential current and prior Unemployment Insurance (UI) wage record data are transmitted to US Census. These data sets are created as a result of DWD mainframe jobs and are exported to a secure folder on a server for maintenance. CR + 11 yrs; transfer to the Wisconsin Historical Society	<u>CR+11</u>	<u>SHSW</u>	<u>Y</u>
<u>00346K00.</u>	<u>QCEW OFFICIAL PUBLISHED OUTPUT</u> These PDF products display state and county data by employment size cell or by NAICS. CR + 25 yrs; transfer to the Wisconsin Historical Society	<u>CR+25</u>	<u>SHSW</u>	<u>N</u>
<u>00347C00.</u>	<u>AUTOMATED CURRENT EMPLOYMENT STATISTICS (ACES) ACESWEB</u> ACESweb is a website maintained by the State of Iowa through an agreement with the Bureau of Labor Statistics. WI LMI staff use the ACESweb website to input, review and extract WI-specific data. This RDA applies to the following types of data stored electronically in ACES, which acts as an agent for DWD.	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>

RDA #	RDA Title	Retention	Disposition	PII
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ACES contains four basic types of data:

1. Registry Data is information about the employer, including address, phone & fax numbers, physical location, type of business based on NAICS code, UI number and Employer Identification Number (EIN).
2. Micro Data varies according to type of survey completed by the employer, but may include number of employees, wages, hours and gross monthly earnings. Data elements collected may change periodically, but not more often than every six months.
3. Estimate Data, also called Macro Data, is the calculated total number (employment, wages, hours, etc.) based on the sample results.
4. Benchmark Data are the revised Macro Data based on verified employment numbers.

The registry data is no longer a responsibility of the state. Microdata is not available in a format that can be downloaded. Monthly estimates and benchmark data are maintained in ACESweb and available through WORKnet, Wisconsin's public facing website.

EVT+ 3 yrs = Superseded; destroy confidential

<u>00347D00.</u>	<u>CES REPORTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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A number of monthly and annual reports are generated for analysis and summary of the survey data. The data is distributed to both internal and external customers.

EVT + 3 yrs = close of Cooperative Agreement period; destroy

<u>00348000.</u>	<u>LAUS DETAIL FILES / INPUT FILES</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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Detail files are created from:

- Electronic data files provided by BLS
- Current Population Survey (CPS) data which is conducted by the Census Bureau and samples 60,000 households, with approximately 985 in WI
- Current Employment Statistics (CES) program data
- State Unemployment Insurance system continued claims and final payment data; and from other states

Data is imported into the web-based STARS and LAUS systems to create monthly LAUS estimates. These systems export data to DOU/BLS and for publication through the Workforce Information Database (WID).

CR + 3 yrs; destroy confidential

<u>00348A00.</u>	<u>LAUS REPORTS AND FINAL PRODUCTS</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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Monthly and annual reports generated for analysis and distributed to both internal and external customers.

CR + 3 yrs; destroy

<u>00348E00.</u>	<u>LAUS FOLDERS</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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Folders contain working documents and other confidential data (e.g. Unemployment Insurance data) and other data used/maintained by LAUS Program Manager.

CR + 3 yrs; destroy confidential

<u>00348F00.</u>	<u>LAUS ANNUAL PROCESSING</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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Every year updated data (Ref. RDA348) becomes available and is incorporated into revised estimates. Annual Processing makes it possible to compare the original civilian labor force, employment, unemployment, and unemployment rate estimates with the more complete data sources.

CR + 3 yrs; destroy confidential

<u>00348G00.</u>	<u>LAUS MONTHLY PROCESSES</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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Input files and data are processed via mainframe jobs, Access programs, and Excel macros.

CR + 3 yrs; destroy confidential

<u>00349000.</u>	<u>OES CENTRAL OFFICE COLLECTIONS (COC)</u>	<u>CR+4</u>	<u>DEST</u>	<u>Y</u>
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BLS Data Files. DOL Regional office data files that contain survey information gathered from large corporate businesses with multiple offices that choose to participate in the program in this way. The result is a small sampling of the total data collected.

CR + 4; destroy confidential

<u>00349A00.</u>	<u>OES SPAM (SURVEY PROCESSING AND MANAGEMENT) APPLICATION REC</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Survey data and COC (Central Office Collections) data are stored to the OES SPAM database. The database runs on computer

RDA #	RDA Title	Retention	Disposition	PII
	hard-drives and is backed-up to the network. EVT = Superseded; destroy confidential			
<u>00349C00.</u>	<u>OES MASTER FILE</u>	<u>CR+4</u>	<u>DEST</u>	<u>Y</u>
	Final data file downloaded from SPAM to create a master file that is sent to the Department of Labor (DOL). Contains raw microdata prior to suppression. CR + 4 yrs; destroy confidential			
<u>00349D00.</u>	<u>OES SURVEY DATA COLLECTION</u>	<u>CR+4</u>	<u>DEST</u>	<u>Y</u>
	Twice a year, OES surveys are mailed to 5,000 selected WI Companies/Employers, a total of 10,000 surveys annually. Employers mail back surveys, e-file response from their computer file, or fax in their survey response to DET. If no response is received, technicians call employers to encourage participation; technicians may collect data over the phone. PI/: Employer contact info including name & address, UI account # and NAICS code CR + 4 yrs; destroy confidential			
<u>00397000.</u>	<u>PROGRAM HISTORY FILES - MASTER DATA SETS</u>	<u>CR+25</u>	<u>DEST</u>	<u>N</u>
	Data sets stored in one secure location for program management and historical trend analysis purposes. Data may be received from either internal DWD sources or external sources such as US Census, US Department of Labor, and other state agencies. Examples include, but are not limited to: Unemployment Rate and Labor Force Tables; Employment by Industry; Short- and Long-term Occupational and Employment Projections; Affirmative Action Data; Wages; Per Capita Personal Income; Regional and County Information; Wisconsin Economic Indicators (also called Leading Indicators). If OEA needed to reproduce a public document (publication) from scratch, they would need the master data sets to do so. EVENT = Creation			
<u>00398000.</u>	<u>SUPPORTING DATA SETS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
	Data sets that an individual or a work team extracts from a program history file for any number of purposes such as preliminary analysis, snapshot queries and ad hoc reports. EVENT = Superseded			
<u>00399000.</u>	<u>OFFICIAL PUBLISHED OUTPUT</u>	<u>CR+25</u>	<u>DEST</u>	<u>N</u>
	These electronic products are created by OEA and made available to the public. They display such information as: Unemployment Rates for the State and Local Areas; Historical Unemployment Rates and Labor Force Estimates; County Workforce Profiles; Occupational and Employment Projections. EVENT = Creation			
<u>00421000.</u>	<u>LEHD WAGE FILE CREATION</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
	JM1852 (generation data groups (GDG)-mainframe files) created quarterly and sent via FTP to a secure Census Bureau URL. PI/: SSN, name, UI account #, reporting unit #, Employer Identification Number (EIN), workers quarterly wages CR+ 3 yrs; destroy confidential			
<u>00421A00.</u>	<u>LEHD EQUI FILE CREATION</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
	JM1864 (generation data groups (GDG)-mainframe files) created quarterly and sent via FTP to a secure Census Bureau URL. PI/: UI account #, reporting unit #, Employer Identification Number (EIN), predecessor/successor account #'s, employment, total and taxable wages, date of initial liability taxes due CR + 3 yrs; destroy confidential			
<u>00473000.</u>	<u>LEWIS ESTIMATES, BLS PUBLICATION FILES AND MICRODATA FILES</u>	<u>CR+25</u>	<u>SHSW</u>	<u>Y</u>
	Annually, BLS creates a second final set (_allsupp) of suppressed data files that are processed in LEWIS at the State, MSA and BOS levels. The results are submitted to BLS for review. Approved SOC occupation, employment and wage estimates are then published			

Dept #: 730/ Department Name: BWITS

RDA # RDA Title Retention Disposition PII

and made available to the public. In addition, microdata files (.dat) are used to report and publish estimates at smaller geographic levels for Wisconsin.

CR + 25 yrs; transfer published output to the Wisconsin Historical Society

00474000. TARGETED EMPLOYMENT AREA (TEA) CERTIFICATION LETTERS EVT DEST N

A TEA is an area experiencing unemployment of at least 150 percent of the national unemployment rate. Areas in WI qualify as TEAs based on the current Local Area Unemployment Statistics (LAUS) and American Community Survey (ACS [Census Bureau]) estimates.

Requesters submit electronic forms (DETI-17791-E) for certification letters, which are printed and signed, then scanned and emailed to requesters, and the paper version destroyed. Documentation for verifying certified areas is maintained electronically.

A program year is generally May - April. Data is updated every spring for use in upcoming certifications.

EVT = Superseded by next program year; destroy

Dept #: 750/ Department Name: WORKFORCE TRAINING

RDA # RDA Title Retention Disposition PII

00345000. WISCONSIN'S WAGE RECORD INTERCHANGE SYSTEM (WRIS) CR+5 DEST Y

WRIS facilitates the interstate exchange of UI wage data that participating states use to report performance and program outcomes under WIOA. The programs that are authorized to use WRIS data are:

- WIA Title 1 Adult, Dislocated Worker and Youth
- WIA Title 3 Labor Exchange and Veterans
- National Emergency Grants and Special Response Grants
- Trade Adjustment Assistance Program (TAA)

WRIC data may include: Social Security Numbers and reported wages of employees and the quarter in which the wages were earned. Employer name(s), FEIN and industry code who have reported such wages, and the State Employment Security Agency (SESA) reporting the wages.

WRIS data subjects include: customers who have relocated and become employed in another state; resident customers employed across state lines; and resident customers with multiple jobs inside and outside the state. Unemployment insurance (UI) Employer Wage Record Data, including Wisconsin and other states UI data received by the Department of Workforce Development.

EVENT = Creation

00351000. WORKNET_INFO (NARRATIVE) EVT DEST N

THE COMPONENT OF THE WORKNET APPLICATION THAT IS CREATED AND SUPPORTED BY FRONT PAGE SOFTWARE AND IS MANAGED BY STAFF IN THE LMI UNIT.

THE EXCEL, TXT, PDF, GIF, AND JPG, FILES ARE CONSIDERED COURTESY COPIES; ORIGINALS REMAIN WITH THE SOURCE PROVIDER.

RETAIN UNTIL (EVENT) SUPERSEDED AND DESTROY.

00351A00. WORKNET PUBLICATIONS , PRESENTATIONS, REPORTS AND ARTICLES ON EVT DEST N

THESE FILES ARE PUBLISHED ON THE WORKNET WEB AND ARE CONSIDERED CONVENIENCE COPIES (OFFICIAL RECORDS ARE MAINTAINED IN DET SECURED FILES).

FILES CHANGE MONTHLY, QUARTERLY, AND ANNUALLY DEPENDING UPON THE BUSINESS LIFE CYCLE FOR THE DATA/INFORMATION. THEY ARE USED BY CUSTOMERS TO MAKE INFORMED DECISIONS ON JOBS, WAGES, WORKFORCE, AND ECONOMIC ISSUES.

RETAIN UNTIL (EVENT) SUPERSEDED.

00351C00. GEOGRAPHY PORTRAIT EVT DEST N

MAPS ARE CONVENIENCE COPIES AND ORIGINAL IS MAINTAINED BY SOURCE/PROVIDER; GUIDE IS AN ORIGINAL FILE CREATED IN WORKNET_INFO AND DESCRIBES HOW TO USE THE GEOGRAPHY PORTRAIT MODULE.

RDA #	RDA Title	Retention	Disposition	PII
	RETAIN UNTIL (EVENT) SUPERSEDED AND DESTROY.			
<u>00351F00.</u>	<u>WORKNET WORKFORCE SYSTEM</u> (PRIOR TO OCTOBER 2006, THIS DATABASE WAS CALLED ALMIS-AMERICA'S LABOR MARKET INFORMATION SYSTEM) THE COMPONENT OF THE WORKNET APPLICATION THAT IS THE CENTRAL REPOSITORY FOR ALL WORKNET DATA, INCLUDING EXTERNAL INPUTS. IT IS THE BACKBONE OF WORKNET. DWD BUREAU OF INFORMATION TECHNOLOGY (BITS) MAINTAINS THE DATABASE AS DIRECTED BY DOL/ETA. THE DATABASE HAS A NORMALIZED, RELATIONAL DATABASE STRUCTURE DEVELOPED FOR STORAGE AND MAINTENANCE OF LABOR MARKET, ECONOMIC, DEMOGRAPHIC AND OCCUPATIONAL INFORMATION. THE DATABASE HOUSES FEDERAL AND OTHER DATA WHICH IS MADE AVAILABLE TO DOL UPON REQUEST. RETAIN DATA TABLES 10 YEARS AND DESTROY CONFIDENTIAL	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
<u>00351G00.</u>	<u>WORKNET & RELATED PROGRAM "POINT-IN-TIME" DATA</u> PRELIMINARY, BENCHMARK, AND REVISED BENCHMARK DATA SNAPSHOT QUERIES AND REPORTS PRODUCED TO CONDUCT COMPARATIVE ANALYSIS. RETAIN UNTIL (EVENT) SUPERSEDED AND DESTROY	<u>EVT</u>	<u>DEST</u>	<u>N</u>
<u>00351H00.</u>	<u>WORKNET "INTERNAL" PROGRAM WORKING FILES</u> "INTERNAL" DET PROGRAMS DESCRIBED THROUGHOUT THIS FUNCTIONAL RDA, WHICH MAY INCLUDE CES, QCEW, LAUS, OES, CW&E, PROJECTIONS, WORKSTOP (STRIKES & LOCKOUTS) AND NMCIE PROGRAMS OR THEIR EQUIVALENT THAT FEED WORKNET. DATA IS RECEIVED FROM PROGRAM AREAS MONTHLY, QUARTERLY, OR ANNUALLY AND STORED IN A TEMPORARY LOCATION WHERE JOBS/DATA GET LOADED INTO THE WORKFOCE INFORMATION DATABASE. RETAIN UNTIL (EVENT) SUPERSEDED AND DESTROY CONFIDENTIAL.	<u>EVT</u>	<u>DEST</u>	<u>N</u>
<u>00351I00.</u>	<u>WORKNET "INTERNAL" PROGRAM HISTORY FILES</u> AFTER DATA IS LOADED INTO WID (SEE RDA 351H), THE FILES ARE STORED IN ONE SOURCE LOCATION. RETAIN FOR 3 YEARS AND DESTROY CONFIDENTIAL.	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
<u>00351J00.</u>	<u>WORKNET "EXTERNAL" WORKING FILES</u> "EXTERNAL" FILES INCLUDE UNITED STATES AND WISCONSIN SOURCE FILES WHICH MAY INCLUDE: TOTAL AND PER CAPITAL INCOME, BUILDING PERMITS, CURRENT EMPLOYMENT STATISTICS, COMMUTING PATTERNS, LAUS, LICENSED OCCUPATIONS, CENSUS POPULATION, POST-SECONDARY SCHOOL PROGRAMS, PROPERTY VALUE FORM THE WI REALTORS ASSN., AND K-12 AND POST SECONDARY SCHOOLS OR THEIR EQUIVALENTS. DATA IS RECEIVED FROM PROGRAM AREAS MONTHLY, QUARTERLY, ANNUALLY, OR AS NEW DATA IS GENERATED (E.G. EVERY 10 YEARS FOR CENSUS DATA). DATA IS STORED IN A TEMPORARY LOCATION WHERE JOBS/DATA GET LOADED INTO THE WORKFORCE INFORMATION DATABASE. RETAIN UNTIL (EVENT) SUPERSEDED AND DESTROY.	<u>EVT</u>	<u>DEST</u>	<u>N</u>
<u>00351K00.</u>	<u>WORKNET "EXTERNAL" PROGRAM HISTORY FILES</u> AFTER DATA IS LOADED INTO WID (SEE RDA 351J) THE FILES ARE STORED IN ONE SECURE LOCATION. RETAIN FOR 3 YEARS AND DESTROY.	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
<u>00351M00.</u>	<u>QCEW QUARTERLY AND ANNUAL UPDATES TO WORKNET</u> ABOUT SIX JOBS ARE RUN TO EXTRACT DATA FROM THE DETAIL FILE TO CREATE FILES BY INDUSTRY AND SIZE FOR THE WID, TO UPDATE WORKNET QUARTERLY AND ANNUALLY. - ANNUAL INDUSTRY CHANGE FILES - INDUSTRY AND SIZE FILES - SNAPALM (LARGE EMPLOYER/STFIRMS TABLE) RETAIN UNTIL SUPERSEDED AND DESTROY	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
<u>00351N00.</u>	<u>CES ELECTRONIC FILES FOR WORKNET</u> MONTHLY TOTAL NON-FARM AND INDUSTRY DETAIL ESTIMATES FOR THE STATE AND METROPOLITAN STATISTICAL	<u>EVT</u>	<u>DEST</u>	<u>N</u>

RDA #	RDA Title	Retention	Disposition	PII
	AREAS. ORIGINALS ARE RETAINED BY SOURCE PROVIDER. RETAIN UNTIL SUPERSEDED AND DESTROY.			
<u>00351O00.</u>	<u>LAUS ELECTRONIC FILES FOR WORKNET</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
	MONTHLY AND ANNUAL AVERAGE LABOR FORCE, EMPLOYMENT, UNEMPLOYMENT, AND UNEMPLOYMENT RATE ESTIMATES FOR THE STATE, METRO AREAS, COUNTIES, AND LARGE CITIES. ORIGINALS ARE RETAINED BY SOURCE PROVIDER. RETAIN UNTIL SUPERSEDED AND DESTROY.			
<u>00351Q00.</u>	<u>OES ESTIMATES FOR WORKNET</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
	SURVEY INFORMATION SENT TO FEDS. THEY GENERATE ESTIMATES OF OCCUPATIONAL WAGES AND EMPLOYMENT AND SEND BACK TO THE STATE VIA A WID FILE. STATE REVIEWS ESTIMATES, MAKES NECESSARY SUPPRESSIONS IN PREPARATION FOR DISPLAY THROUGH WORKNET. MISSING COMPONENTS OR GEOGRAPHIES ARE OBTAINED FROM THE NATIONAL CROSSWALK SERVICE CENTER. ORIGINALS ARE RETAINED BY SOURCE PROVIDER. RETAIN UNTIL SUPERSEDED AND DESTROY.			
<u>00351R00.</u>	<u>CWEO ESTIMATES FOR WORKNET</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
	STATE, METROPOLITAN STATISTICAL AREA, BALANCE OF STATE AND COUNTY EXCEL DATA FILES OBTAINED THROUGH ESTIMATES DELIVERY SYSTEM (EDS). ORIGINALS ARE RETAINED BY SOURCE PROVIDER. RETAIN UNTIL SUPERSEDED AND DESTROY.			
<u>00390000.</u>	<u>RAPID RESPONSE EVENTS TRACKING SYSTEM (RRETS)</u>	<u>EVT+25</u>	<u>DEST</u>	<u>N</u>
	The Rapid Response Events Tracking System (RRETS) is a centralized information management system for dislocation (layoff) events in Wisconsin. Information captured for a layoff event includes records such as: <ul style="list-style-type: none">• layoff event details• planned and actual rapid response services• transition strategy This information is used by division staff for compliance and monitoring, continuous improvement, federal reporting, and longitudinal analysis. EVENT = Dislocation Event Status = "Closed"			
<u>00391000.</u>	<u>LIST OF LAYOFF NOTICES</u>	<u>CR+5</u>	<u>SHSW</u>	<u>N</u>
	A web page listing the business plant closing and mass layoff notices filed with DWD. The web page displays a table format for each calendar month that contains information about new layoff notices and updates to previously filed notices. The web page also links to a scanned image of the actual layoff notice filed with DWD (pdf format). http://dwd.wisconsin.gov/dislocatedworker/warn/ EVENT = Creation			
<u>00392000.</u>	<u>RAPID RESPONSE REPORTS</u>	<u>CR+5</u>	<u>DEST</u>	<u>N</u>
	Rapid Response reports are created using a datamart that draws live information from Rapid Response Events Tracking System (RRETS). This data and related correspondence is used for internal and external reporting. EVENT = Creation			
<u>00404000.</u>	<u>INDIVIDUAL TRAINING ACCOUNT (ITA) / EDUCATIONAL TRAINING PROVIDER</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
<u>00429000.</u>	<u>STATE PLAN FOR WIOA PROGRAM</u>	<u>CR+10</u>	<u>SHSW</u>	<u>N</u>
	Includes U.S. Department of Labor (DOL) approval letter, Governor's submittal, and the current state plan. This plan contains details on performance standards and procedures on how funds are allocated to the Local Workforce Development Boards. Current approved			

RDA #	RDA Title	Retention	Disposition	PII
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plan covers WIOA Program Years 16-18 (July 1, 2016-June 30, 2020). Current and prior plans are published on the DWD web site. The current plan is due for a modification in 2018. This series also may include waivers and federal approvals if requested and approved by the U.S. Department of Labor.

EVENT = Creation

<u>00431000.</u>	<u>WIOA ANNUAL REPORTS</u>	<u>CR+10</u>	<u>SHSW</u>	<u>N</u>
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Each state that receives an allotment under the Workforce Investment Act Section 127 (Youth Activities) or Section 132 (Adult and Dislocated Worker Activities) must prepare and submit an Annual Report of performance progress to the Secretary of the U.S. Department of Labor in accordance with the Act's Sections 136 and 185. Latest report published on the web is for program year 2012. Reports are on the web for years from 2000 through 2015.

Summary information about program participants who receive funding under WIA are pulled from the Automated System Support for Employment and Training (ASSET) application maintained by DWD.

EVENT = Creation

<u>00433000.</u>	<u>PROGRAM PARTICIPANT CASE RECORDS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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A base customer record is created for each program participant receiving assistance under the WIOA program. The record contains demographics, employment status, SSN, race/ethnicity, military status and age.

Supplemental information is also maintained on participants such as employment history, assessments, credentials and case notes, the specific grants provided under WIOA funding for the education and training services provided to participants and exit follow-up information.

Case records are tracked within the ASSET reporting system. Workforce Development Board staff and local service providers are required to enter participant information into the reporting system at the conclusion or exit from receiving an identified service.

Resumes reside strictly on Job Center of Wisconsin and are controlled by applicant; they are not part of ASSET.

WIOA Policy Update 07-05 dated May 24, 2007 establishes the requirement that all program participant files must be maintained for seven consecutive years after the participant exits from US DOL funded programs.

EVENT = Date participant exits the program

<u>00434000.</u>	<u>PROGRAM PARTICIPANT COMPLAINTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Department of Labor regulations require that each state program has a complaint processing system. Complaints are not maintained as part of the ASSET application.

EVENT = Complaint resolution

<u>00435000.</u>	<u>WIOA PROGRAM POLICY AND PROCEDURES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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Includes manuals such as the Workforce Program Guide; ASSET Guide: WIA Title 1 Performance Measure Map and other materials issued to assist DWD, WDBs and contractors comply with various administrative requirements.

Policy and procedures are based on DOL Training and Employment Guidance Letters (TEGLs), Training Employment Notices (TENs), and other federal guidance.

EVENT = Date the procedures are superseded or obsolete

<u>00443000.</u>	<u>FIDELITY BOND REQUESTS AND APPROVALS / DENIALS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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BONDING REPRESENTATIVES ARE ASSIGNED IN EACH JOB SERVICE OFFICE. AFTER AN APPLICANT REGISTERS WITH THE OFFICE AND THEN RECEIVES A JOB OFFER WITH A SPECIFIC START DATE, THE BONDING REPRESENTATIVE SUBMITS THE PAPER WORK TO THE JOB SERVICE CENTRAL OFFICE. THE CENTRAL OFFICE STAFF THEN REQUESTS THAT THE MCLAUGHLIN COMPANY ISSUE THE EMPLOYER A FIDELITY BOND INSURANCE POLICY FOR 6 MONTHS COVERING THE WORKER. THE POLICY IS UNDERWRITTEN THROUGH THE TRAVELER'S PROPERTY CASUALTY INSURANCE COMPANY.

BETWEEN 20 AND 50 BONDS ARE ISSUED STATEWIDE EACH YEAR. TO DATE THERE HAVE BEEN NO CLAIMS IN WISCONSIN UNDER THE FIDELITY BONDING PROGRAM, NOR HAS ANY FIDELITY BOND REQUESTOR BEEN DENIED BONDING.

NO INFORMATION IS ENTERED INTO THE AUTOMATED SYSTEM SUPPORT FOR EMPLOYMENT AND TRAINING (ASSET) SYSTEM ABOUT THE INDIVIDUALS WHO OBTAIN FIDELITY BONDS.

PII AND PROGRAM CONTACT: GLENN OLSEN, 608-264-8164
GLENN.OLSEN@DWD.WISCONSIN.GOV

Dept #: 750/ Department Name: WORKFORCE TRAINING

RDA # RDA Title Retention Disposition PII

EVENT = RETAIN 3 YEARS AFTER THE DATE THE BOND IS ISSUED (EVENT) AND THEN DESTROY CONFIDENTIAL

00444000. LETTER TO EMPLOYERS CONFIRMING ISSUANCE OF FIDELITY BOND CR+1 DEST N

LETTERS ARE SENT BY LOCAL JOB CENTER BONDING REPRESENTATIVE TO EACH EMPLOYER AFTER THE FIDELITY BOND HAS BEEN ISSUED. THE LETTER STATES THE EFFECTIVE AND EXPIRATION DATE OF THE BOND, AS WELL AS INFORMATION ON HOW TO FILE A CLAIM OR EXTEND THE BOND AFTER THE INITIAL 6-MONTH TERM.

PII AND PROGRAM CONTACT IS THE DESIGNATED BONDING REPRESENTATIVE IN EACH JOB CENTER OFFICE.

EVENT = RETAIN 1 YEAR AFTER CREATION AND THEN DESTROY

00487000. WIOA MONITORING EVT+7 SHSW Y

WIOA mandates annual on-site program, fiscal, and equal opportunity monitoring of each local Workforce Development Board (WDB). Any findings, areas of concern, and positive practices are identified and compiled into a written report that is communicated to the Chief Elected Official (CEO) of each WDB. The WDB has 45 business days to respond to any findings and /or areas of concern. A closure letter is sent to the WDB after all corrective action has been identified and approved by DWD staff.

EVENT = Date of closure letter

00496000. RAPID RESPONSE PROGRAM OUTCOMES CR+25 DEST N

Longitudinal analysis on the outcomes (e.g. wages and duration of employment) of program participants vs. comparison groups for purposes of continuous improvement of and strategic planning for program services. The data is derived from source data and gathered into a data warehouse. These studies will help the State meet its evaluation requirements under WIOA, 29 U.S.C. § 3141 (e).

Reason for creation: New records identified

EVENT = Creation

00497000. PROGRAM SURVEYS - FINAL ELECTRONIC DATA FILES (DISLOCATED WOR CR+10 DEST Y

Records consist of final electronic data files extracted from paper surveys completed by workers that have been or will be laid off from their employer. Paper surveys are scanned and destroyed per RDA439.

Reason for creation: New records identified

EVENT = Creation

Dept #: 760/ Department Name: JOB SERVICE

RDA # RDA Title Retention Disposition PII

00291000. TRADE ADJUSTMENT ACT PROGRAM PARTICIPANT FILES EVT+7 DEST Y

THE TRADE ACT OF 1974 PROVIDES SPECIAL ASSISTANCE FOR WORKERS WHO LOSE THEIR JOBS OR WHOSE HOURS OF WORK AND WAGES ARE REDUCED AS A RESULT OF INCREASED FOREIGN IMPORTS.

TRADE ADJUSTMENT ASSISTANCE (TAA) INCLUDES A VARIETY OF BENEFITS AND SERVICES TO HELP WORKERS PREPARE FOR AND OBTAIN NEW EMPLOYMENT. IT PAYS FOR THE EXPENSE OF JOB TRAINING, SEEKING WORK AND RELOCATING TO ACCEPT NEW WORK. WORKERS MAY ALSO RECEIVE EXTRA WEEKLY UNEMPLOYMENT PAYMENTS KNOWN AS TRADE READJUSTMENT ALLOWANCES (TRA) AFTER ALL REGULAR STATE UNEMPLOYMENT INSURANCE AND OTHER EXTENDED BENEFITS HAVE BEEN PAID.

WISCONSIN UNEMPLOYMENT INSURANCE (UI) AND THE DIVISION OF EMPLOYMENT & TRAINING (DET) ACT AS AGENTS OF THE U.S. DEPARTMENT OF LABOR IN ADMINISTERING THE TAA/TRA PROGRAM.

THESE FILES COVER RECORDS ASSOCIATED WITH ADMINISTRATION OF THIS FEDERAL PROGRAM, AND INFORMATION COLLECTED TO ASSIST IN THE TRAINING AND REEMPLOYMENT OF WORKERS.

EVENT = OTHER - SPECIFY: COMPLETION OF THEIR TRAINING AND/OR OTHER SERVICES THAT CONSTITUTE OFFICIAL PARTICIPATION IN THE TAA PROGRAM.

00405000. WOTC APPLICATIONS ELIGIBLE FOR CERTIFICATES AND WITHDRAWN CER EVT+4 DEST Y

Consists of completed Internal Revenue Service (IRS) form 8850 and Individual Characteristics Form (ICF) Work Opportunity Tax Credit

RDA #	RDA Title	Retention	Disposition	PII
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(Federal Department of Labor) form submitted by employers or on behalf of employers by their power of attorneys. The documentation of applications is completed Employment and Training Administration (ETA) Form 9065 Agency Declaration of Verification Results, Work Opportunity and Welfare to Work Tax Credits or comparable form or Form 9062, Conditional Certification Form, if completed and provided by participating agency such as Job Center staff.

Paper applications and withdrawn certificates are destroyed 3 months after they are scanned and verified.

EVENT = Date of certification or date of issuance of the determinations which do not result in Certification (Per ETA handbook #408)

<u>00406000.</u>	<u>WOTC APPLICATIONS INELIGIBLE OR INVALIDATED APPLICATIONS-IMAGEI</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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Consists of completed IRS form 8850 and Individual Characteristics Form (ICF) Work Opportunity Tax Credit (Federal Department of Labor) form submitted by employers or on behalf of employers by their power of attorneys. The documentation of applications is completed ET A Form 9065 Agency Declaration of Verification Results, Work Opportunity and Welfare to Work Tax Credits or comparable form or Form 9062 Conditional Certification Form if completed and provided by participating agency such as Job Center staff.

If the application is determined to be ineligible and either further action is needed or an appeal is pending, the records need to be maintained long enough to determine whether the application will be certified (RDA405) or remain ineligible (RDA406) and be maintained/moved to the appropriate RDA.

Paper applications are destroyed 3 months after they are scanned and verified.

EVENT = Date the application is deemed ineligible or after further action is completed (Per Handbook #408)

<u>00407000.</u>	<u>POWER OF ATTORNEY DELEGATIONS (POAS)</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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Consists of documentation of companies granting power of attorney authority by completing Form 2848, Power of Attorney and Declaration of Representative. This allows these organizations, for the stated time period, in the agreement to submit Form 8850's on behalf of employers.

When the Power-of-Attorney is properly filed, DWD is obligated to honor it and conduct WOTC business with the representative as though she/he were the employer. It is the responsibility of the DWD program management and not the IRS to track Powers of Attorney, whether or not the IRS Form 2848 is used, and make sure they are updated upon expiration. DWD program management is required to make all efforts to have valid and active POAs on file. The POAs are mailed, emailed, or uploaded by consultants into eWOTC.

EVENT = Date the POA expires (Per ETA Handbook #408)

<u>00408000.</u>	<u>TECHNICAL ASSISTANCE AND COMPLIANCE REVIEWS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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Reports prepared by the US Department of Labor/ETA on Wisconsin's administration of the program. Includes checklists, findings and corrective action plans, if appropriate. These are identified as state records because the state as the entity reviewed would be expected to respond in a formal manner to any such compliance review.

EVENT = Date of issuance of final federal report

<u>00417000.</u>	<u>CASE FILE FOR EACH EMPLOYER</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>Y</u>
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A file is maintained each year for each employer in the State requesting to bring foreign workers into the US. Each year there are between 50-100 employers requesting the use of foreign labor in agriculture via the H- 2A visa program. An unknown number of temporary non-agricultural employers request temporary employees under the H-28 visa program. A case file is maintained for employers of both programs.

Components of the case file include, but are not limited to, both federal and state documentation such as:

- Completed Application forms required by US DOL for H-2A and H-28 programs, including the following: ETA 790, ETA 790 Attachments,

RDA # RDA Title Retention Disposition PII

ETA 9141 and ETA 9142.

- Instructions from the US DOL to DWD in relation to the application, including compliance with the federal regulations for the program that have been delegated to the state. These include advertising the open positions for US citizens to apply and inspection of the housing facilities to be provided to the agricultural workers.

- The completed job description and related information such as number of positions, work location, pay and minimum requirements that apply for the job as entered into the state's labor exchange, JobCenterofWisconsin.com (JCW).

- Correspondence between DWD and the US DOL and the employer or the employer's designated agent.

- Internal DWD correspondence requesting housing inspection and the resulting housing inspections, once completed, indicating that such housing is partially or fully certified for occupancy.

Resumes of referred U.S. applicants. Applicants apply to a state contact person in DWD who then forwards applications to the employers.

EVT + 5 yrs = date that DOL either issues the final determination or disapproves the application; transfer to the Wisconsin Historical Society

00418000. **FOREIGN LABOR CERTIFICATION QUARTERLY ACTIVITY REPORT (FORM ET CR+10** **DEST** **N**

A summary report prepared each quarter by DWD on foreign labor certification program activities submitted to the federal Department of Labor.

CR + 10 yrs; destroy

00419000. **STATEWIDE PREVAILING WAGE SURVEYS AND PREVAILING PRACTICE SUR** **EVT+10** **DEST** **Y**

Prevailing wage surveys and prevailing practice surveys are performed by state staff to establish benchmarks of wages, benefits and ancillary services such as meals and housing provided to employees for comparable jobs by employers who do not use foreign workers. Such wages, benefits and ancillary services may vary by the type of work performed and within the agriculture sector, even by the type of crop that is being planted or harvested.

Paper surveys may be destroyed 60 days after they are scanned and verified.

EVT + 10 yrs = completion of each prevailing practice survey; destroy

00445000. **COMPLAINTS** **EVT+5** **SHSW** **Y**

Per 20 C.F.R. § 658.410, the state agency shall establish and maintain a Job Service complaint system, documenting complaints and actions taken, including referrals.

MLE inspectors investigate complaints filed with the department pursuant to Wis. Stat. § 103.905.

Records include forms, reports and any related documentation, a list of actions taken, and records of related telephone calls, and are not limited to:

- ETA Form 8429
- DET Complaint Process Database
- Central Complaint Log

EVT + 5 yrs = date of complaint resolution; transfer to the Wisconsin Historical Society

00446000. **MONITORING ACTIVITIES** **EVT+5** **SHSW** **N**

Per 20 C.F.R. § 653.108, state agencies shall monitor their own compliance with regulations in serving MSFWs. The State Monitor Advocate participates with USDOL and/or conducts ongoing review of the delivery of services and protections afforded to MSFWs by the state agency and local offices; and advises the state agency and local offices of problems, deficiencies, or improper practices in the delivery of services and protections and the means to improve such delivery.

Records may include notes from field visits, data reviewed, conclusions, and recommendations of the USDOL Regional or the State Monitor Advocate, and include, but are not limited to:

- USDOL or SMA Monitoring Report
- State's or local office's formal response
- Improvement Plan by state or local office to address findings
- Other documentation generated by Monitoring Activities

EVT + 5 = date each monitoring report is completed; transfer to the Wisconsin Historical Society

00447000. **US DOL QUARTERLY LEARS REPORT, ETA-5148** **CR+10** **DEST** **N**

RDA # RDA Title Retention Disposition PII

Per 20 C.F.R. § 653.109, the state agencies shall collect data on MSFWs, including USDOL designated equity and service level indicators, agricultural clearance orders (including field checks), MSFW complaints, monitoring activities, demographic information, etc. A summary of the data is reported quarterly in a database hosted by USDOL.

Records include, but are not limited to:

- LEARS Report, ETA-5148
- Supporting documentation

CR+10 yrs: destroy

00448000. **FIELD CHECKS** **CR+5** **DEST** **N**

Per 20 C.F.R. § 653.503, the state agency shall conduct random, unannounced field checks at a significant number of agricultural worksites to which Job Service placements have been made through the intrastate or interstate clearance system.

Records include, but are not limited to:

- Related forms
- Supporting documentation

CR+5; destroy

00449000. **OUTREACH ACTIVITIES** **EVT+5** **DEST** **N**

Per 20 C.F.R. § 653.107, the state agency shall operate an outreach program in order to locate and to contact MSFWs who are not being reached by the normal intake activities conducted by the local offices. Records include, but are not limited to, forms and documentation associated with planning and recording outreach visits made by outreach workers to MSFWs such as:

- Statewide and Local Outreach Plan
- Logs and tallies of daily contacts
- Pre and Post Season Reports
- Other documentation needed for follow-up activities

EVT + 5 yrs = end of growing season each year; destroy

00450000. **REFERRALS OF POSSIBLE VIOLATIONS** **EVT+5** **DEST** **Y**

Per 20 C.F.R. § 658.419, if a state agency employee observes, has reason to believe, or is in receipt of information regarding a suspected violation, the employee shall document the suspected violation and make an appropriate referral.

Records include, but are not limited to:

- Referral forms
- Documentation of the apparent violation

EVT + 5 yrs = date of complaint resolution; destroy confidential

00452000. **TECHNICAL ASSISTANCE MATERIALS** **EVT** **DEST** **N**

Training and technical assistance information is developed by the state agency for staff, stakeholders and partners, job seekers, and other interested parties.

Records in this category may include, but are not limited to:

- Compliance information
- Recording and reporting Information

EVT = when superseded or no longer needed; destroy

00453000. **MIGRANT LABOR CONTRACTORS** **EVT+10** **DEST** **Y**

Per Wis. Stat § 103.91 and Wis. Admin. Code Ch. DWD 301.05, all individuals who perform recruitment activities involving migrant seasonal farm workers must obtain a certificate of registration from DWD before commencing these activities. Migrant Labor Contractor's activities are monitored by DWD.

Records include forms, fees, documentation, and correspondence associated with registration and monitoring of migrant labor contractors in Wisconsin including, but not limited to:

RDA # RDA Title Retention Disposition PII

- DWEM 5234 - Application for Migrant Labor Contractor Certificate of Registration
- DETM 5304 ,... DWD Migrant Labor Contractor Certificate
- DETM 5504 - Compliance Review and Orders
- Proof of Insurance
- WH-530- Application for a Farm Labor Contractor or Farm Labor Contractor Employee Certificate of Registration
- WH-514 Vehicle Mechanical Inspection Report
- DETM 5504 - Compliance Report & Orders

See Wis. Stat. § 103.90(4) and 103.91, and Wis. Admin. Code Ch. DWD 301.05.

EVT + 10 yrs = date the recruiter no longer recruits MSFWs; destroy confidential

00454000. **NON-STANDARD MIGRANT LABOR WORKER AGREEMENT / CONTRACT - AP** **EVT+10** **DEST** **Y**

Per Wis. Stat § 103.915 and Wis. Admin. Code Ch. DWD 301.06, employers who elect to use a form other than the standard work agreement made available by DWD must submit such proposed forms to the Department for approval prior to use.

Records include forms, documentation, and correspondence associated with obtaining DWD permission to use non-standard worker agreements including, but not limited to:

- Non-standard worker agreement/contract
- DWD approval of non-standard work contract

EVT + 10 yrs = the employer stops issuing the non-standard worker agreement/ contract; destroy confidential

00455000. **NON-STANDARD MIGRANT LABOR WORKER AGREEMENT / CONTRACT - NC** **EVT+2** **DEST** **Y**

Per Wis. Stat. § 103.915 and Wis. Admin. Code Ch. DWD 301.06, employers who elect to use a form other than the standard work agreement made available by DWD must submit such proposed forms to the Department for approval prior to use.

Records include forms, documentation, and correspondence associated with obtaining DWD permission to use non-standard work agreements including but not limited to:

- Non-standard worker agreement/contract
- DWD denial of request for approval of non-standard work contract

EVT + 2 yrs = date of denial of the non-standard worker agreement/ contract; destroy confidential

00456000. **APPLICATION FOR PERMIT TO OPERATE A MIGRANT LABOR CAMP** **EVT+2** **SHSW** **Y**

Per Wis. Stat. § 103.92 and Wis. Admin. Code Ch. DWD 301.07, operators of migrant labor camps must submit to the Department on an annual basis an application and applicable fees for a permit to operate a camp. A separate application must be submitted for each separate migrant labor camp that the camp operator maintains.

Records include forms, fees, documentation, and correspondence associated with obtaining DWD permission to operate a migrant labor camp including, but not limited to:

- DETM-4849 - Application for Permit to Operate a Migrant Labor
- Fees required to obtain the inspection are forwarded to the DWD Bureau of Finance and classified as financial source documents under the Fiscal and Accounting General Records Schedule (FIS00020).

EVT + 2 yrs = date the application is signed by the camp operator; transfer to the Wisconsin Historical Society

00457000. **MIGRANT LABOR CAMPS** **EVT+10** **DEST** **Y**

The Department must register and inspect all migrant labor camps prior to operation and must monitor camps during operation to ensure that conditions comply with Wis. Stat. §§ 103.90-103.97 and Wis. Admin. Code Ch. DWD 301.

Records include forms, fees, documentation, and correspondence associated with migrant labor camps including, but not limited to:

- DETM 5085 - Inspection Report and Orders
- DETM 5085-2 Inspection Report and Orders - Camp Closing
- DWSM 5523 - Authorization for Camp Certification
- DWDM 5519 - Camp Capacity Checklist
- DETM 5024 - Camp Certificate
- Penalty Form - (for all violations) - no form number
- Employer Attestation of Correction of Violations
- Plans, blueprints, specifications, and DWD approval related to the construction of new labor camps

EVT + 10 yrs = date the camp is closed; destroy confidentially

RDA # RDA Title Retention Disposition PII

00458000. **PAYROLL REVIEW INSPECTION REPORT AND ORDERS** **EVT+10** **DEST** **Y**

Migrant Labor Enforcement Inspectors review MSFW employers' payroll records to ensure that wages are paid to workers in compliance with worker agreements/contracts, per Wis. Stat. §§ 103.90-103.13 and Wis. Admin. Code Ch. DWD 301.

Records include forms, documentation, and correspondence associated with payroll reviews including, but not limited to:

- DETM 5504 - Compliance Review Report and Orders
- Correspondence
- Payroll records
- Time cards
- Payroll spreadsheets

EVT + 10 yrs = date the payroll review is conducted; destroy confidential

00459000. **VARIANCES - APPROVED** **EVT+10** **SHSW** **Y**

Per Wis. Admin. Code Ch. DWD 301.07 and 301.09, DWD may grant variances to the standards for migrant labor camps and field sanitation facilities required in the Administrative Code.

Records include forms, documentation, and correspondence associated with variance petitions and permits including, but not limited to:

- Documentation that substantiates the need for a variance in order to obtain beneficial use of an existing facility and to prevent a practical difficulty or unnecessary hardship
- Documentation of alternative health and safety measures implemented
- Documentation substantiating that the petition establishes equivalent protection which meets the intent of the applicable provision
- Conditions of the variance stipulated by DWD
- DWD variance approval

EVT + 10 yrs = date the variance is no longer in effect; transfer to Wisconsin Historical Society

00460000. **VARIANCES - NOT APPROVED** **EVT+2** **DEST** **Y**

Per Wis. Admin. Code Ch. DWD 301.07 and 301.09, DWD may grant variances to the standards for migrant labor camps and field sanitation facilities required in the Administrative Code

Records include forms, documentation, and correspondence associated with variance petitions and permits including, but not limited to:

- DWEM 5942 - Petition for Variance Application
- Documentation that substantiates the need for a variance in order to obtain beneficial use of an existing facility and to prevent a practical difficulty or unnecessary hardship
- Documentation of alternative health and safety measures implemented
- Documentation substantiating that the petition establishes equivalent protection which meets the intent of the applicable provision
- Conditions of the variance stipulated by DWD
- DWD variance denial
- Written appeals of variance applications denied by DWD
- Documents related to appeal reviews and hearings

EVT + 2 yrs = date of denial of the variance or after further action or appeal is completed; destroy confidential

00461000. **FIELD SANITATION INSPECTION REPORT AND ORDERS** **EVT+10** **SHSW** **Y**

Employers who hire 6 or more migrant workers who are engaged in hand labor must provide sanitation facilities. DWD is responsible to ensure that field sanitation facilities are provided and must inspect those facilities to ensure they are kept clean and in sanitary condition.

Records include forms, fees, photos, documentation, and correspondence associated with field sanitation including, but not limited to:

- DETM-5085- Inspection Orders & Report
- DWEM 7598 - Field Sanitation Checklist
- Field maps
- Documentation verifying remedy of violations

EVT + 10 yrs = date of the field sanitation inspection; transfer to the Wisconsin Historical Society

00462000. **PROVISION OF INFORMATION TO THE COUNCIL ON MIGRANT LABOR** **EVT+10** **SHSW** **Y**

Dept #: 760/ Department Name: JOB SERVICE

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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Per Wis. Stat § 103.905 and Wis. Admin. Code Ch. DWD 301.02, DWD submits information relevant to Wis. Stat. §§ 103.90-103.97 and Wis. Admin. Code Ch. DWD 301 and an annual report on migrant labor activities to the Council on Migrant Labor.

Records include reports, statistics, documentation, and correspondence associated with migrant and seasonal farm workers including but not limited to the following:

- Annual Report
- Camp Status Report
- Population Report
- Critical indicators data
- Complaint Reports
- Employer lists
- Migrant Labor Contractor lists
- Agendas and minutes
- Member listings

EVT + 10 yrs = date of issuance of the report; transfer to the Wisconsin Historical Society

<u>00498000.</u>	<u>ACT FINAL REPORT</u>	<u>CR+5</u>	<u>DEST</u>	<u>N</u>
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Content validation report that provides the results of an ACT WorkKeys Job profile (job analysis). Provides the employer with task lists and skill level necessary for a particular job.

These reports are entered into the external ACT system SkillPro®. DWD generates a final report and provides that to ACT and to the employer.

These records were discovered in an agency review of files.

CR + 5; destroy confidential

<u>00499000.</u>	<u>WORKKEYS ANALYSIS FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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Files are created during the job profiling process and may include notes regarding the:

- Client Contact and Tour
- Subject Matter Expert interview notes
- Initial Task List Preparation
- Task Analysis
- Skill Analysis

Final documentation is provided in the ACT Final Report.

These records were discovered in an agency review of files

EVT + 5 = ACT final report is complete; destroy confidential

Dept #: 770/ Department Name: APPRENTICESHIP STANDARDS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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<u>00410000.</u>	<u>APPRENTICE APPLICATIONS AND CONTRACTS</u>	<u>EVT+60</u>	<u>DEST</u>	<u>Y</u>
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The application process is different for each type of apprenticeship. Applications may include an aptitude test, an interview with the Committee, high school transcript, proof of graduation or equivalent, birth certificate, valid driver's license, and a recognized substance abuse test.

The categories of apprenticeship application and contract correspondence:

- Pending applications
- Active - assigned a sponsor
- Unassigned - contract suspended after unemployed 30+ days
- Completed
- Denied

Contracts include apprentice and sponsor names and signatures, departmental approval, sponsor contact information, parent signature (if apprentice is a minor), apprentice date of birth and social security number, occupation, and term of apprenticeship.

Reports and mailings are generated from the Oracle database via both the Bureau of Apprenticeship Information System (BASIS) client application and Apprenticeship web applications.

RDA #	RDA Title	Retention	Disposition	PII
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Long Term Retention Justification: The Bureau of Apprenticeship Standards views itself as providing a service for apprentices during their entire working career. An apprenticeship may begin when an individual is 16 and perhaps such an apprentice may work for 40 years. Since there is no practical way to know when an apprentice has died, retired or left the state, the simplest course of action is to retain these records for 60 years which can be reasonably assumed will span the career of program participants.

EVENT = Date apprentice contract is completed; EVT + 60 yrs; destroy confidential

<u>00410A00.</u>	<u>CANCELLED/DENIED APPRENTICE APPLICATIONS AND CONTRACTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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The application process is different for each type of apprenticeship. Applications may include an aptitude test, an interview with the Committee, high school transcript, proof of graduation or equivalent, birth certificate, valid driver's license, and a recognized substance abuse test.

Contracts include apprentice and sponsor names and signatures, departmental approval, sponsor contact information, parent signature (if apprentice is a minor), apprentice date of birth and social security number, occupation, and term of apprenticeship.

This series covers denied applications and contracts that are canceled.

EVENT = date the application is denied or the contract is canceled; EVT + 10 yrs; destroy confidential

<u>00411000.</u>	<u>APPRENTICESHIP SPONSORS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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A sponsor is any employer, organization of employees, association of employers, committee, or other person operating an apprenticeship program and in whose name the apprenticeship program is approved by the department.

This record series contains detailed information about employers including contact information, Unemployment Insurance account numbers, business details, any trade unions with employee members, and name and license numbers of any skilled workers and apprentices currently employed. It also includes the Affirmative Action Plan, compliance reviews, and selection procedures.

EVENT = Date the employer apprentice sponsor no longer participates as a sponsor; EVT + 10 yrs; destroy confidential

<u>00412000.</u>	<u>APPRENTICESHIP COMMITTEES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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There are 15 active state trade and over 100 local apprentice committees. Committees are required to track affirmative action compliance within their respective trades. Affirmative Action compliance of committees is subject to further review by the BAS. Records in this series relate to the Committee's Affirmative Action compliance tracking.

EVENT = Date that a committee becomes inactive; EVT + 10 yrs; destroy confidential

<u>00412A00.</u>	<u>OFFICIAL COMMITTEE BOOKS</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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Apprentice Training Representatives (ATRs) have the official Committee book, which contains:

- Current and Past Rosters of Voting Members
- Approved Committee Standards
- Selection Procedures
- Affirmative Action Plan for the Committee
- Correspondence with the Committee
- Committee Minutes

EVENT = Date that committee becomes inactive; EVT + 10 yrs; transfer to the Wisconsin Historical Society

<u>00415000.</u>	<u>EXCEPTIONS OR MODIFICATIONS RELATING TO EMPLOYMENT OF APPREN</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Effective January 1, 2010 per 2009 Wisconsin Act 28 DWD must post information about exceptions and modifications to any requirements in a contract for work performed on a state public works or highway construction project related to the employment of apprentices along with a detailed explanation of why the exception or modification was granted. However, the department may not post the name of the apprentice or any other personally identifiable information (PII).

EVENT = Date of approval of exception or modification

<u>00484000.</u>	<u>APPRENTICE COMPLETION AWARD PROGRAM</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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The Bureau of Apprenticeship Standards is directed by law (2013 Act 57) to administer the Apprentice Completion Award Program (ACAP), which partially reimburses certain costs incurred during participation in a Wisconsin registered apprenticeship.

Records include:

Awards and Denials linked to apprentice contracts.

Dept #: /770/ Department Name: APPRENTICESHIP STANDARDS

RDA # RDA Title Retention Disposition PII

Creation + 10 yrs; destroy confidential

00485000. **COMPLAINTS AND APPEALS** **EVT+6** **DEST** **Y**

The Bureau of Apprenticeship Standards (BAS) investigates complaints and appeals received by the apprenticeship community.

A complaint is a question or request for assistance to solve a problem, or alleged problem, regarding any part of the apprenticeship program.

An appeal is a request made of the BAS for reconsideration of an action or a pending action. An appeal differs from a complaint by virtue of the fact the appeal causes the Bureau to review its actions, or pending actions, whereas a complaint results in the Bureau reviewing someone else's action(s).

An appeal may be the result of the Bureau's inability to resolve a complaint. Investigation and resolution files are maintained and contain comprehensive notes and relevant documents.

EVT=final resolution of complaint and any appeals; EVT + 6 yrs; destroy confidential

Dept #: /771/ Department Name: YOUTH APPRENTICESHIP

RDA # RDA Title Retention Disposition PII

00328000. **STUDENT RECORDS** **EVT+50** **DEST** **Y**

Material documenting the student's participation in the Youth Apprenticeship program. The series includes student registration, termination and change forms, competency checklist, skill standards checklist, classroom competencies, certification of occupational proficiency, Academic and Career Plan (ACP), Education and Training Agreement (DETW-9471).

Also tracked is school-related information such as grade, confirmed disability and associated Individualized Education Program (IEP) information, if the student is considered at risk, grade point average (GPA), estimated graduation date, high school name and district, participation in the High School Pupil Program including career cluster and reason student terminated participation (if applicable).

Employer data is also recorded in the student record including contact information, identification number, and mentor name.

Also includes program completion information and any certificate(s) issued.

The data is entered into YODA by Youth Apprenticeship Coordinators and Youth Apprenticeship staff members.

A 50-year retention is necessary for these records as they contain potential research material and documentation regarding program outcome from the beginning of the Youth Apprenticeship program in 1991.

Event+50 years and then destroy confidential

Event is the end of apprenticeship

00463000. **WISCONSIN YOUTH APPRENTICESHIP PROGRAM OPERATIONS DOCUMENT** **EVT+7** **SHSW** **N**

This RDA covers all program manuals, development, resource materials, program marketing, and success stories written for the YA program including, but not limited to, the Program Operations Manual, School-To-Work Opportunities Act, Tech Prep, and Industry Partnerships. Manuals explain policy and procedures for the program(s) for which they are written. Development materials may include program detail and support information such as curriculum and other related materials.

Event+7 years and then transfer to the State Historical Society

Event is material revised

Dept #: /800/ Department Name: WORKER'S COMPENSATION

RDA # RDA Title Retention Disposition PII

00098000. **COURT REPORTER STENOGRAPHIC NOTES** **EVT+12** **DEST** **Y**

RDA #	RDA Title	Retention	Disposition	PII
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STENOGRAPHIC NOTES TAKEN ON ON PROCEEDINGS AT FORMAL WORKER'S COMPENSATION HEARINGS. STENOGRAPHIC NOTES ARE TAKEN AT ALL HEARINGS AND THE RECORD MAY NEED TO BE ACCESSED IF A TRANSCRIPT IS REQUESTED BY PARTIES IN LITIGATION SUBSEQUENT TO THE ORIGINAL HEARING.

INFORMATION CONTAINED ON STENOGRAPHIC NOTES INCLUDES:

- * DATE OF HEARING
- * CITY WHERE HEARING HELD
- * NAME OF PRESIDING JUDGE
- * NAME OF APPLICANT
- * NAME OF EMPLOYER
- * NAME OF INSURANCE CARRIER
- * NAME OF WITNESS
- * TESTIMONY OF WITNESSES AT HEARINGS
- * AND OTHER PERTINENT INFORMATION

RETAIN 12 YEARS AFTER CLAIM CLOSED AND DESTROY CONFIDENTIAL.

<u>00126000.</u>	<u>WORKER'S COMPENSATION SELF-INSURANCE & DIVIDED INSURANCE FILE</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
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SELF-INSURANCE AND DIVIDED-INSURANCE UNDER THE WORKER'S COMPENSATION ACT, CHAPTER 102 OF WISCONSIN STATUTES, AND VARIOUS ADMINISTRATIVE RULES.

THESE RECORDS PROVIDE INFORMATION ABOUT EMPLOYERS WHO APPLIED FOR SELF-INSURANCE PRIVILEGES AND THE RESULTS (GRANTED OR NOT AND WHY) OF THESE APPLICATIONS. IF EMPLOYERS ARE GRANTED SELF-INSURANCE/DIVIDED INSURANCE, THESE EMPLOYERS ARE RESPONSIBLE FOR WORKER'S COMPENSATION LIABILITIES FOR A PERIOD LONGER THAN THE 12 YEAR STATUTE OF LIMITATIONS THAT APPLIES TO EMPLOYERS WITH AN INDIVIDUAL INSURANCE COMPANY WORKER'S COMPENSATION POLICY.

CASES MAY BE REOPENED WHEN THE ISSUE PERTAINS TO OCCUPATIONAL DISEASE/ILLNESSES OR TRAUMATIC INJURIES AND WOULD BE SUBJECT TO S.102.17(4) AND S.102.66, WIS. STATS. COURT DECISIONS IN THESE CASES HAVE RULED THAT THE STATUTE OF LIMITATIONS DOES NOT APPLY UNTIL THE EMPLOYEE KNOWS S/HE HAS THE ILLNESS OR S/HE DIES. CLAIMS MAY BE REOPENED FOR AN INDEFINITE PERIOD IF AN INTERLOCUTORY ORDER WAS ENTERED BY THE ADMINISTRATIVE LAW JUDGE (S. 102.18(1)(B), WIS. STATS.).

RECORDS INCLUDE:

- * INITIAL AND RENEWAL APPLICATION
- * SPECIAL ORDERS
- * GUARANTEES
- * DEPOSIT AGREEMENTS/BONDS
- * FINANCIAL REPORTS
- * ANNUAL REPORTS
- * EXECUTIVE BOARD RESOLUTIONS
- * OTHER RELATED MATERIALS

RETAIN 50 YEARS AFTER THE DATE THE EMPLOYER IS NO LONGER SELF-INSURED AND DESTROY CONFIDENTIAL.

<u>00126A00.</u>	<u>WORKER'S COMPENSATION SELF-INSURANCE & DIVIDED INSURANCE REL/</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
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SYSTEM FILES RELATING TO SELF-INSURANCE AND DIVIDED-INSURANCE UNDER THE WORKER'S COMPENSATION ACT, CHAPTER 102 OF WISCONSIN STATUTES, AND VARIOUS ADMINISTRATIVE RULES. THESE RECORDS PROVIDE INFORMATION ABOUT EMPLOYERS WHO APPLIED FOR SELF-INSURANCE PRIVILEGES AND THE RESULTS (GRANTED OR NOT AND WHY) OF THESE APPLICATIONS. IF EMPLOYERS ARE GRANTED SELF - INSURANCE/DIVIDED INSURANCE, THESE EMPLOYERS ARE RESPONSIBLE FOR WORKER'S COMPENSATION LIABILITIES FOR A PERIOD LONGER THAN THE 12 YEAR STATUTE OF LIMITATIONS THAT APPLIES TO EMPLOYERS WITH AN INDIVIDUAL INSURANCE COMPANY WORKER'S COMPENSATION POLICY.

CASES MAY BE REOPENED WHEN THE ISSUE PERATINS TO OCCUPATIONAL DISEASE/ILLNESSES OR TRAUMATIC INJURIES AND WOULD BE SUBJECT TO S.102.17(4) AND S.102.66, WIS. STATS. COURT DECISIONS IN THESE CASES HAVE RULED THAT THE STATUTE OF LIMITATIONS DOES NOT APPLY UNTIL THE EMPLOYEE KNOWS S/HE HAS THE ILLNESS OR S/HE DIES. CLAIMS MAY BE REOPENED FOR AN INDEFINITE PERIOD IF AN INTERLOCUTORY ORDER WAS ENTERED BY THE ADMINISTRATIVE LAW JUDGE (S.102.18(1)(B), WIS. STATS.).

RECORDS INCLUDE:

- * INITIAL AND RENWAL APPLICATION
- * SPECIAL ORDERS
- * GUARANTEES
- * DEPOSIT AGREEMENTS/BONDS
- * FINANCIAL REPORTS
- * ANNUAL REPORTS
- * EXECUTIVE BOARD RESOLUTIONS
- * AND OTHER RELATED MATERIAL.

RETAIN 50 YEARS FROM SELF INSURANCE OR DIVIDED INSURANCE END DATE AND DESTROY CONFIDENTIAL.

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00126B00. **WORKER'S COMPENSATION SELF-INSURANCE COUNCIL MINUTES AND REL** **EVT+50** **SHSW** **Y**

THE SELF-INSURER'S COUNCIL IS A FIVE-MEMBER BODY APPOINTED BY THE SECRETARY OF THE DEPARTMENT OF WORKFORCE DEVELOPMENT TO ASSIST AND ADVISE ON THE ADMINISTRATION OF THE SELF-INSURANCE PROGRAM.

THE 1913 WISCONSIN STATUTES CONTAINED A PROVISION THAT ALLOWED THE DEPARTMENT TO EXEMPT EMPLOYERS FROM THEIR DUTY TO PURCHASE WORKER'S COMPENSATION INSURANCE IF THE EMPLOYER COULD DEMONSTRATE THAT THEY HAD THE FINANCIAL ABILITY TO PAY ALL CLAIMS ARISING FROM INJURIES OCCURRING IN THEIR WORKPLACE. THIS PROVISION CREATED THE SELF-INSURANCE PROGRAM; AND, SUBSEQUENTLY THE SELF-INSURER'S COUNCIL. THE COUNCIL PLAYS AN INSTRUMENTAL ROLE IN ENSURING THAT THOSE EMPLOYERS APPLYING FOR SELF-INSURANCE ARE FINANCIALLY VIABLE. THE COUNCIL ALSO MONITORS, IN CONJUNCTION WITH THE DIVISION, THE FINANCIAL STATUS OF EMPLOYERS THAT ARE IN THE SELF-INSURANCE POOL.

WORKER'S COMPENSATION SELF-INSURER'S COUNCIL (SI COUNCIL) WORKING PAPERS, MINUTES, ETC. THESE DOCUMENTS INCLUDE RECORDS OF COUNCIL MEETINGS AND STUDY GROUPS ESTABLISHED BY THE COUNCIL. IT IS NECESSARY TO RETAIN THESE RECORDS ON SITE FOR SUCH A LENGTHY TIME, BECAUSE THEY ARE FREQUENTLY USED BY STAFF OR RESEARCH AND FOR HISTORICAL REFERENCE PURPOSES, TO DETERMINE OR REMEMBER THE INTENT OF PREVIOUSLY ENACTED DECISIONS, LAWS, AND ADMINISTRATIVE RULES.

RECORDS CONTAINED IN THIS SERIES INCLUDE:

1. MINUTES OF SI COUNCIL MEETINGS AND STUDY GROUPS
2. SI COUNCIL WORKING PAPERS
3. BACKGROUND CORRESPONDENCE
4. SUPPORTIVE POLICY AND PROCEDURE/INFORMATION
5. DEPARTMENT OF WORKFORCE DEVELOPMENT CORRESPONDENCE
6. OTHER RELATED MATERIALS

RECORDS ARE MAINTAINED BY THE WORKER'S COMPENSATION DIVISION'S (WCD) MADISON OFFICE LOCATED IN ROOM C100, GEF-1, 201 E WASHINGTON AVE., MADISON, WI. RECORDS FROM 1982 TO PRESENT ARE STORED IN ONE (1) DRAWER OF A FIVE (5) DRAWER METAL FILE CABINET. WCD STAFF REVIEW SI COUNCIL RECORDS PERIODICALLY. THE RECORDS ARE STORED IN A SAFE, CLEAN AND TEMPERATURE CONTROLLED OFFICE ENVIRONMENT.

RETAIN 50 YEARS FROM DOCUMENT OR RECORD CREATION DATE AND TRANSFER TO WISCONSIN HISTORICAL SOCIETY.

00127000. **WORKERS COMPENSATION (WC) CLAIM FILES FOLDERS** **EVT+12** **DEST** **Y**

Documents of WC claims involving payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial disabilities and disputed cases. Cases may be reopened within a 12-year period from the last date compensation was paid.

- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses).
- Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b)).

Information on these files may include:

- Employee's name, address and social security number
- Employer's FEIN, name and address
- Employer's Insurance company FEIN, name and address
- Physicians' reports
- First Report of Injury (WKC-12 or equivalent)
- Supplemental Report (WKC-13 or equivalent)
- Wage Information (WKC-13A or equivalent)
- Physicians' Report(s) (WKC-168 or equivalent)
- Application for Hearing (WKC-7 or equivalent)
- Reports of Violation (regarding safety and minors)
- Synopsis and transcript of hearing, and other pertinent information
- Second Injury and Children's Death Benefit Fund Documents

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401.

EVENT = Date last compensation (other than treatment or burial expense) was paid; EVT + 12 yrs; destroy confidential

00127B00. **WORKERS COMPENSATION CLAIM RECORDS - INTEGRATED CLAIM MANAG** **EVT+12** **DEST** **Y**

Active and inactive computer records of worker's compensation claims beginning with 1987 and ongoing. The computer record is created from multiple sources including Internet Insurer Entry (i.e., Internet 12, Internet 13, Internet 13-A, Internet TPD (Temporary Partial Disability Worksheet), Internet Wage Worksheet or equivalent, State Connect on-line entry, and EDI (Electronic Data Interchange) submitted by insurance companies or self-insured employers.

Claims involve payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial

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disabilities and disputed cases. Cases may be reopened within a 12-year period from the last date compensation was paid.

- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses)
- Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b)).

Data contained in these records may include:

- Employee's name, address and social security number
- Employer's FEIN, name and address
- Employer's insurance company FEIN, name and address
- Wage information
- Worker's Compensation payments to the injured employee
- Correspondence and medical documents relating to each claim
- Extent of disability involved in each claim
- Other related data

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stats §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images are electronically stored and the quality of these images is acceptable.

The input record will be destroyed confidentially 2 months after entry into the system and verified.

EVENT = Date last compensation (other than treatment or burial expenses) was paid; EVT + 12 yrs; destroy confidential

<u>00127C00.</u>	<u>PURGED WORKER'S COMPENSATION CLAIM RECORDS - PRGSKEL</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
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Purged computer records of worker's compensation claims beginning with 1987 and ongoing, including closed or reclosed claims. The original computer record was created from multiple source documents (i.e., WKC- 12, WKC-13, or equivalent) submitted by insurance companies or self- insured employers.

Claims involve payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial disabilities and disputed cases. Cases are closed or reclosed after all activity is completed and all claims in a "closed or reclosed" status are purged annually from computer database.

Cases may be reopened within a 12-year period from the last date compensation was paid.

- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses)
- Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b)).

Data contained in these computer records may include:

- Employee's name, address, and social security number
- Employer's FEIN, name and address
- Employer's insurance company FEIN, name and address
- Wage information
- Worker's Compensation payments to the injured employee
- Correspondence and medical documents relating to each claim
- Extent of disability involved in each claim
- Other related data

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401.

EVENT = Date last compensation (other than treatment or burial expenses) was paid; EVT + 12 yrs; destroy confidential

<u>00127F00.</u>	<u>WORKERS COMPENSATION CLAIM DOCUMENTS-IMAGED</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
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Document images and profile records on central storage disk for WC claims involving payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial disabilities and disputed cases. NOTE: Cases may be reopened within a 12-year period from the last date compensation was paid.

- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses)
- Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. §

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102.18(1)(b).

Information in these documents may include:

- Employee's name, address and social security number
- Employer's FEIN, name and address
- Employer's insurance company FEIN, name and address
- Physicians' reports
- First Report of Injury (WKC-12 or equivalent)
- Supplemental Report (WKC-13 or equivalent)
- Wage Information (WKC-13A or equivalent)
- Reports of Violation (regarding safety and minors)
- Second Injury and Children's Death Benefit Fund documents
- Documents from a litigated case

Profile information for images contains the file locations and names of the corresponding documents stored in a database:

- Records are folder and document profile records consisting of WC Claim Number, Claimant Name, Date of Injury, Employer Name, Claimant Social Security Number and Claimant Zip Code.

Integrated Claim Management System (ICMS), imaged data and paper file folder purges should occur simultaneously.

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401.

EVENT = Date last compensation (other than treatment or burial expenses) was paid; EVT + 12 yrs; destroy confidential

<u>00127G00.</u>	<u>WORKER'S COMPENSATION LITIGATED CLAIM DOCUMENTS - TO BE IMAGE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Litigated claim documents received or generated which need to be imaged but will not be part of a paper file. Records involve payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Diseases), Permanent Partial disabilities and disputed cases. Cases may be reopened within a 12-year period from the last date compensation was paid.

- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses)
- Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b)).

Information on these files may include:

- Employee's name, address, and social security number
- Employer's FEIN, name and address
- Employer's insurance company FEIN, name and address
- Physicians' reports
- First Report of Injury (WKC-12 or equivalent)
- Supplemental Report (WKC-13 or equivalent)
- Wage Information (WKC-13A or equivalent)
- Reports of Violation (regarding safety and minors)
- Second Injury and Children's Death Benefit Fund documents
- Documents from a litigated case

This record series has been created to accommodate the request of the Department of Administration, Division of Hearings and Appeals, to maintain the paper records for 3 years after scanning.

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401

EVT= when entered into system; EVT + 3 yrs; destroy confidential

<u>00128000.</u>	<u>INSURANCE COVERAGE RECORDS</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
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INSURANCE COVERAGE RECORDS FILED UNDER CHAPTER 102 AND SECTION 331.37 OF THE WISCONSIN STATUTES. DOCUMENTS INDICATE WHETHER AN EMPLOYEE IS LEGALLY EXEMPT OR IS CLAIMING EXEMPTION FROM WORKER'S COMPENSATION COVERAGE.

RECORDS INCLUDE:

- * NOTICE OF NONELECTION OF OFFICER OF CORPORATION
- * NOTICE OF ELECTION OF OFFICER OF CORPORATION (WKC-63 AND 63A OR ITS EQUIVALENT)
- * EMPLOYEE'S PARTIAL NONELECTION OF WORKER'S COMPENSATION ACT (EPILEPSY OR TOTAL BLINDNESS)
- * EMPLOYER'S NONELECTION OR WITHDRAWAL FROM THE WORKER'S COMPENSATION ACT (WKC-70 OR EQUIVALENT)
- * EMPLOYER'S ELECTION NOT TO BE SUBJECT TO WISCONSIN STATUTE RELATING TO CHRISTIAN SCIENCE TREATMENT.

RETAIN 50 YEARS AFTER BUSINESS IS CLOSED OR THERE IS NO LONGER AN ACTIVE NON-ELECTION AND DESTROY

RDA #	RDA Title	Retention	Disposition	PII
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<u>00132000.</u>	<u>WC 2ND INJURIES AND CHILDREN'S ADDITIONAL DEATH BENEFIT FUND</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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Records generated from the Worker's Compensation administration of the WC Second Injury and Children's Additional Death Benefit Fund. The fund monitors the monthly payments for Second Injury and minor children of the deceased employee under Wis. Stat. §§ 102.49 and 102.59.

Records may contain:

- Claimant name, address and social security number
- Monthly & one-time payee name and address (FEIN if applicable)
- Name and Date of Birth for minors
- Listings and tabulations
- Worksheets
- Office Records
- Payment voucher and check number information
- Other related materials

Payees become inactive after the terminal payment has been made or when the WC Division orders a lump sum payment be made for the remainder of the balance.

EVENT = terminal payment date or payee inactive date; EVT + 7 yrs; destroy confidential

<u>00133000.</u>	<u>CIRCUIT COURT APPEAL BOOK</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
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TRACKS CASES APPEALED TO A HIGHER AUTHORITY AND CONTAIN THE CIRCUIT COURT APPEAL MEMOS FROM THE LABOR AND INDUSTRY REVIEW COMMISSION AND THE DIVISION ACTIVITY LOG WHICH INCLUDES:

- * CLAIM NUMBER
- * PLAINTIFF AND DEFENDANT NAMES
- * COUNTY AND CASE NUMBER ASSIGNED
- * APPEAL DATE
- * DATE WC COURT FILE SENT AND RETURNED
- * COURT DECISION DATES (STORED IN ICMS)
- * NUMBER OF PAGES OF TRANSCRIPT
- * COST BILLED TO THE PLAINTIFF/DATE PAYMENT RECEIVED
- * OTHER RELATED MATERIALS

RETAIN 12 YEARS AFTER CLAIM CLOSED AND DESTROY CONFIDENTIAL.

<u>00134000.</u>	<u>HEARING CALENDARS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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COMPUTER-GENERATED HEARING CALENDARS FOR WORKER'S COMPENSATION CASES HEARD BY THE ADMINISTRATIVE LAW JUDGES, SHOWING:

- * DATE, PLACE/LOCATION, AND TIME OF HEARING
- * PARTIES INVOLVED
- * CLAIM NUMBER
- * INSURER NAME(S), BY WEEKS SCHEDULED FOR A PARTICULAR ADMINISTRATIVE LAW JUDGE AND COURT REPORTER
- * OTHER RELATED MATERIALS

RETAIN 5 YEARS AFTER SCHEDULED EVENT DATE AND DESTROY CONFIDENTIAL.

<u>00135000.</u>	<u>NOT REPORT MATTERS - INQUIRIES OR POTENTIAL CLAIMS FILE</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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Correspondence and reports with injured employees, employers, attorneys, doctors, etc., which may become potential claims or questions concerning the Worker's Compensation Act.

No claim file is created for these records.

EVENT = date of last communication/correspondence between the WC Division and interested party; EVT + 2 yrs; destroy confidential

<u>00172000.</u>	<u>WC ADVISORY COUNCIL FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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WORKER'S COMPENSATION ADVISORY COUNCIL (WCAC) WORKING PAPERS, MINUTES, ETC., USED FOR THE FORMULATION OF STATUTORY LAW AND ADMINISTRATIVE RULE CHANGES. THESE DOCUMENTS INCLUDE RECORDS OF SUBCOMMITTEES AND STUDY GROUPS ESTABLISHED BY THE COUNCIL. IT IS NECESSARY TO PERMANENTLY RETAIN THESE RECORDS ON SITE BECAUSE THEY ARE FREQUENTLY USED BY STAFF AND THE PUBLIC FOR RESEARCH TO DETERMINE OR REMEMBER THE INTENT OF PREVIOUSLY ENACTED LAWS AND ADMINISTRATIVE RULES AS WELL AS PENDING LEGISLATION AND RULES AND RETAINED FOR HISTORICAL REFERENCE PURPOSES.

RECORDS CONTAINED IN THIS SERIES INCLUDE:

- * MINUTES OF WCAC MEETINGS, SUBCOMMITTEES AND STUDY GROUPS

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- * LEGISLATIVE BILL RECORDS/MATERIALS
- * FISCAL NOTES OF PROPOSED LEGISLATION AND ADMINISTRATIVE RULES
- * BACKGROUND CORRESPONDENCE
- * ADMINISTRATIVE RECORDS/INFORMATION
- * SUPPORTIVE POLICY AND PROCEDURE/INFORMATION
- * WCD COPIES OF ADMINISTRATIVE RULES
- * PROPOSED LAW CHANGES
- * CONFERENCE AND OTHER RELATED MESSAGES
- * DEPARTMENT OF LABOR CORRESPONDENCE
- * OTHER RELATED MATERIALS

THESE RECORDS ARE MAINTAINED IN THE WORKER'S COMPENSATION DIVISION'S (WCD) MADISON OFFICE LOCATED IN RM C100, GEF - 1, 201 E WASHINGTON AVE, MADISON, WI. RECORDS FROM 1943 TO 1985 ARE STORED IN FOUR (4) DRAWERS OF A FIVE (5) DRAWER METAL FILE CABINET. REMAINING RECORDS ARE STORED ON TWO (2) SHELVES OF A THREE (3) SHELF BOOKCASE. WCD STAFF NEED TO REVIEW WCAC RECORDS ON AT LEAST A WEEKLY BASIS. IT WOULD NOT BE POSSIBLE TO ADMINISTER CHAPTER 102 WIS. STATS., WITHOUT ACCESS TO THESE RECORDS. THE RECORDS ARE STORED IN A SAFE, CLEAN AND TEMPERATURE CONTROLLED OFFICE ENVIRONMENT.

ATTORNEYS, REPRESENTATIVES OF UNIONS, EMPLOYEE ADVOCACY GROUPS, INSURERES, EMPLOYERS, HEALTH CARE PROVIDERS AND OTHER MEMBERS OF THE PUBLIC MAY REQUEST ACCESS TO THESE RECORDS BY CONTACTING THE WCD. THE WCD PROVIDES ACCESS BY ALLOWING PEOPLE TO PERSONALLY REVIEW RECORDS IN A CONFERENCE ROOM (ROOM C106) LOCATED NEAR THE RECEPTIONIST IN THE MADISON OFFICE DURING REGULAR BUSINESS HOURS FROM 7:45 AM TO 4:30 PM, MONDAY - FRIDAY.

RECORDS MUST BE REVIEWED OR INSPECTED UNDER THE SUPERVISION OF WCD STAFF TO ENSURE SECURITY. REQUESTERS ARE NOT PERMITTED TO REMOVE THESE RECORDS FROM THE WCD OFFICE. ANYONE WISHING TO MAKE COPIES OF RECORDS MAY DO SO UNDER THE SUPERVISION OF WCD STAFF ON A COIN OPERATED COPY MACHINE AVAILABLE FOR THAT PURPOSE.

PERMANENT

00175000. LICENSE HOLDER FILES EVT DEST N

LICENSES TO APPEAR BEFORE THE DEPARTMENT UNDER PROVISIONS OF THE WORKER'S COMPENSATION ACT, S.102.17(1)(C), WIS. STATS. AND DWD. 80.20 OF THE WISCONSIN ADMINISTRATIVE CODE.

RECORDS CONTAINED IN THE SERIES INCLUDE:

- * NAME, AGE AND OTHER PERTINENT INFORMATION ABOUT THE APPLICANT AS REQUIRED BY LAW
- * APPLICATIONS FOR LICENSE, WKC-34, OR ITS EQUIVALENT
- * APPLICATIONS FOR PERMIT TO APPEAR, WKC-35, OR ITS EQUIVALENT.

RETAIN UNTIL SUPERSEDED.

00177000. INSURANCE BULLETIN LETTER FILES CR+3 DEST Y

LETTERS GOING OUT TO WISCONSIN COMPENSATION INSURANCE CARRIERS AND SELF-INSURED EMPLOYERS REGARDING CHANGES IN WORKER'S COMPENSATION LAWS/RULES/POLICIES.

RECORDS CONTAINED IN THE SERIES INCLUDE:

- * PROMPTNESS OF FIRST PAYMENT LETTER
- * ASSESSMENT LETTERS
- * WAGE AND RATE CHARTS
- * EMERGENCY RULE RELATING TO THE NECESSITY OF TREATMENT RESOLUTION PROCESS.
- * STATUTORY CHANGES
- * REIMBURSEMENT OF SUPPLEMENTAL PAYMENTS AND PAYMENT ADJUSTMENTS.

RETAIN 3 YEARS AND DESTROY.

00216000. WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND UNCOLLECTIBLE EVT+10 DEST Y

WC DIVISION UNINSURED EMPLOYER'S UNCOLLECTIBLE ACCOUNTS RECEIVABLE CASE FILES.

RECORDS ARE HARD COPY DOCUMENTS OF WC EMPLOYER FILES INVOLVING PENALTIES ASSESSED BY THE UNINSURED EMPLOYERS UNIT FOR VIOLATIONS UNDER S. 102.82(A), WIS. STATS. OF THE WORKER'S COMPENSATION ACT. CASE FILES ARE CLOSED AFTER AN INVESTIGATION DETERMINES THE ACCOUNT TO BE UNCOLLECTIBLE. CASES MAY BE REOPENED IF THE BUSINESS IS REACTIVATED, REORGANIZED, OR COMES OUT OF BANKRUPTCY WITH COLLECTIBLE ASSETS.

INFORMATION CONTAINED IN A FILED MAY INCLUDE:

- * COLLECTION CORRESPONDENCE, CORRESPONDENCE FROM EMPLOYER/ EMPLOYER REPRESENTATIVES, INSURANCE COMPANIES, THE WISCONSIN COMPENSATION RATING BUREAU, THE OFFICE OF THE COMMISSIONER OF INSURANCE, THE GOVERNOR'S OFFICE, THE DWD SECRETARY'S OFFICE, LEGISLATORS, THE WB ADMINISTRATOR, BUREAU

RDA #	RDA Title	Retention	Disposition	PII
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DIRECTOR AND SECTION CHIEF

* ASSORTED INVESTIGATOR CORRESPONDENCE (E-3, WKC-53, WKC-175, WKC-175-F, E-20, E-20-F, C-1, E-24, E-32, GL-63, OR THEIR EQUIVALENTS)

* ASSORTED REPORTS (EMPLOYER LAPSE, EMPLOYER INSURANCE RISK) AND ORDERS (CLOSURE)

* PAYMENT PLAN AGREEMENT AND ACCOUNT STATEMENT HISTORY

* ALL OTHER PERTINENT INFORMATION

RETAIN 10 YEARS AFTER CLOSED OR DEEMED UNCOLLECTIBLE AND DESTROY CONFIDENTIAL.

<u>00217000.</u>	<u>WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND CLOSED CASI</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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WC DIVISION UNINSURED EMPLOYER'S FUND CLOSED CASE FILES OF PAID OR RESCINDED PENALTY ACCOUNT CASE FILES.

RECORDS ARE HARD COPY DOCUMENTS OF WC EMPLOYER FILES INVOLVING PENALTIES ASSESSED BY THE UNINSURED EMPLOYERS UNIT FOR VIOLATIONS UNDER S. 102.82(A), WIS. STATS. OF THE WORKER'S COMPENSATION ACT. CASE FILES ARE CLOSED AFTER THE PENALTY IS PAID IN FULL OR PENALTY IS RESCINDED.

INFORMATION CONTAINED IN A FILE MAY INCLUDE:

* COLLECTION CORRESPONDENCE, CORRESPONDENCE FROM EMPLOYER/EMPLOYER REPRESENTATIVES, INSURANCE COMPANIES, THE WISCONSIN COMPENSATION RATING BUREAU, THE OFFICE OF THE COMMISSIONER OF INSURANCE, THE GOVERNOR'S OFFICE, THE DWD SECRETARY'S OFFICE, LEGISLATORS, THE WC ADMINISTRATOR, BUREAU DIRECTOR AND SECTION CHIEF

* ASSORTED INVESTIGATOR CORRESPONDENCE (E-3, WKC-53, WKC-175, WKC-175-F, E-20, E-20-F, C-1, E-24, E-32, GL-63, OR THEIR EQUIVALENTS)

* ASSORTED REPORTS (EMPLOYER LAPSE, EMPLOYER INSURANCE RISK) AND ORDERS (CLOSURE)

* PAYMENT PLAN AGREEMENT AND ACCOUNT STATEMENT HISTORY

* ALL OTHER PERTINENT INFORMATION

RETAIN 3 YEARS AFTER CLOSED AND ENTERED INTO DATA SYSTEM AND DESTROY CONFIDENTIAL.

<u>00217A00.</u>	<u>WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND APPLICATION</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
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WC DIVISION UNINSURED EMPLOYER'S FUND CLAIM APPLICATIONS AND REQUIRED DOCUMENTATION FILED BY AN INJURED WORKER MUST INCLUDE RELEVANT PAYROLL CHECKS, CHECK STUBS, BANK RECORDS, WAGE STATEMENTS, TAX RETRUNS OR OTHER SIMILAR DOCUMENTATION TO HELP DETERMINE WHETHER THEIR EMPLOYEE IS LIABLE FOR THE INJURY. A CLAIMANT IS ALSO REQUIRED TO DOCUMENT ANY MEDICAL TREATMENT, VOCATIONAL REHABILITATION SERVICES AND OTHER BILLS OR EXPENSES RELATED TO A CLAIM.

UEF CLAIM APPLICATIONS ARE ENTERED INTO THE UEF CLAIM PAYMENTS WEB APPLICATION.

THE UNINSURED EMPLOYERS FUND (UEF) PAYS WORKER'S COMPENSATION BENEFITS ON VALID CLAIMS FILED BY EMPLOYEES WHO ARE INJURED WHILE WORKING FOR ILLEGALLY UNINSURED WISCONSIN EMPLOYEE. WHEN A COMPENSABLE CLAIM IS FILED, THE UEF PAYS THE INJURED EMPLOYEE WORKER'S COMPENSATION BENEFITS AS IF THE UNINSURED EMPLOYER HAD BEEN INSURED.

UEF IS FUNDED THROUGH PENALTEIS ASSESSED AGAINST EMPLOYERS FOR ILLEGALLY OPERATING A BUSINESS WITHOUT WORKER'S COMPENSATION INSURANCE. THE PENALTIES ARE MANDATORY AND NON-NEGOTIABLE. IN ADDITION, THE DEPARTMENT PURSUES REIMBURSEMENT FROM EACH UNINSURED EMPLOYER OF BENEFIT PAYMENTS MADE BY THE UEF UNDER S. 102.81(1), WIS. STATS., TO THE EMPLOYEE OF THAT UNINSURED EMPLOYER OR TO THE EMPLOYEE'S DEPENDENTS. THE UEF USES AGGRESSIVE COLLECTION ACTION (INCLUDING WARRANTS, LEVIES, GARNISHMENT AND EXECUTION AGAINST PROPERTY) TO SECURE SATISFACTION OF PENALTY ASSESSMENTS AND REIMBURSEMENT OF CLAIMS PAID BY THE FUND.

THE UEF APPLIES ONLY TO INJURIES OCCURING ON OR AFTER JULY 1, 1996. UNINSURED EMPLOYERS FUND CLAIMS FILED FOR INJURIES OCCURING PRIOR TO JULY 1, 1996 ARE NOT VALID AND WILL BE DENIED.

RETAIN 50 YEARS AFTER ENTERED INTO DATA SYSTEM AND DESTROY CONFIDENTIAL.

<u>00217B00.</u>	<u>WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND ACCOUNTS RI</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
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WC DIVISION UNINSURED EMPLOYER'S FUND ACCOUNTS RECEIVABLE LEVY AND WARRANT SYSTEM. THE CICS MAINFRAME SYSTEM CONTAINS DATA ABOUT UEF COLLECTIONS FROM ILLEGALLY UNINSURED WISCONSIN EMPLOYERS AS ASSESSED BY THE UNINSURED EMPLOYERS UNIT FOR VIOLATIONS UNDER S.102.82(A), WIS. STATS., OF THE WORKER'S COMPENSATION ACT.

RDA #	RDA Title	Retention	Disposition	PII
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THE ACCOUNTS RECEIVABLE SYSTEM CONTAINS UEF PENALTY ASSESSMENT, COLLECTION INFORMATION AND HISTORY.

IN ADDITION TO THE MAINFRAME SYSTEM, IMAGED DOCUMENTS OF WARRANT, SATISFACTION AND VOID REPORTS ARE STORED ON CENTRAL STORAGE DISK. PROFILE INFORMATION FOR IMAGES CONTAINS THE FILE LOCATIONS AND NAMES OF THE CORRESPONDING DOCUMENTS IN THE IMAGING SYSTEM.

* RECORDS ARE FOLDER AND DOCUMENT PROFILE RECORDS CONSISTING OF THE YEAR, MONTH AND COUNTY. IMAGES AND PROFILES WOULD BE DESTROYED WITH THE INVESTIGATION SYSTEM DATA.

MAINFRAME AND IMAGED DATA PURGES SHOULD OCCUR SIMULTANEOUSLY.

RETAIN 50 YEARS AFTER PENALTY IS PAID IN FULL OR PENALTY IS RESCINDED AND DESTROY CONFIDENTIAL.

00217C00. **WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND (UEF) INVESTI** **EVT+50** **DEST** **Y**

THE WC INVESTIGATION SYSTEM CONTAINS DATA FOR CREATING AND TRACKING WORKER'S COMPENSATION INSURANCE COMPLIANCE INVESTIGATIONS.

RECORDS MAY INCLUDE:

- * BUSINESS NAME AND ADDRESS
- * RECORDS OF INSURANCE COVERAGE OR LAPSE OF COVERAGE.
- * NOTES ASSOCIATED WITH THE INVESTIGATION
- * ASSORTED INVESTIGATOR CORRESPONDENCE (MC1, M90, CNE, E32, E70, E11,E60,WKC53,E33, E2-FARM, E20 OR THEIR EQUIVALENTS)

OUT-GOING CORRESPONDENCE FROM THE WC INVESTIGATION SYSTEM IS IMAGED AND STORED ON CENTRAL STORAGE DISK. PROFILE INFORMATION FOR IMAGES CONTAINS THE FILE LOCATIONS AND NAMES OF THE CORRESPONDING DOCUMENTS STORED IN THE IMAGING SYSTEM.

* RECORDS ARE FOLDER AND DOCUMENT PROFILE RECORDS CONSISTING OF THE BIP NUMBER, INVESTIGATION ID, EMPLOYER FEIN, EMPLOYER NAME, EMPLOYER DBA AND LETTER ID. IMAGES AND PROFILES WOULD BE DESTROYED WITH THE WC INVESTIGATION SYSTEM DATA.

INVESTIGATION AND IMAGED DATA PURGES SHOULD OCCUR SIMULTANEOUSLY.

RETAIN 50 YEARS AFTER PENALTY IS PAID IN FULL OR PENALTY IS RESCINDED AND DESTROY CONFIDENTIAL.

00217D00. **WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND (UEF) CLAIMS** **EVT+50** **DEST** **Y**

THE UEF PAYMENTS SYSTEM CONTAINS RECORDS RELATED TO UNINSURED EMPLOYERS FUND CLAIMS, INCLUDING APPLICATION INFORMATION, CLAIM PAYMENTS, CLAIM RESERVES, CLAIMS RECOVERIES AND UEF VENDORS.

CASES MAY BE REOPENED WITHIN A 12-YEAR PERIOD FROM THE LAST DATE COMPENSATION WAS PAID.

* ALL CLAIMS WITH THE EXCEPTION OF THE INTERLOCUTORY ORDER ARE RETAINED FOR 12 YEARS FROM THE DATE COMPENSATION WAS PAID (OTHER THAN TREATMENT OR BURIAL EXPENSES).

* CLAIMS MAY BE REOPENED FOR AN INDEFINITE PERIOD IF AN INTERLOCUTORY ORDER WAS ENTERED BY THE ADMINISTRATIVE LAW JUDGE (SECTION 102.18(1)(B), WIS. STATS.).

NOTE: NO RETENTION LIMIT ON OCCUPATIONAL DISEASE CLAIMS OR ON TRAUMATIC INJURIES AS DEFINED IN S.102.17(4), WIS. STATS.

RETAIN 50 YEARS AFTER LAST COMPENSATION PAYMENT TO INJURED WORKER AND DESTROY CONFIDENTIAL.

00217E00. **WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND (UEF) CLOSUF** **EVT+50** **DEST** **Y**

THE SYSTEM CONTAINS BASIC INFORMATION ON CLOSURE FILES THAT HAVE BEEN REFERRED TO THE DEPARTMENT OF JUSTICE (DOJ) FOR CLOSURE ACTION DUE TO NON-COMPLIANCE WITH THE INSURANCE REQUIREMENTS OF THE WORKER'S COMPENSATION LAW.

DATA CONSISTS OF BASIC EMPLOYER, REFERRAL AND RESOLUTION INFORMATION.

RETAIN 50 YEARS AFTER REFERRAL TO DOJ AND DESTROY CONFIDENTIAL.

00217F00. **WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND (UEF) REPORT1** **EVT** **DEST** **Y**

CICS MAINFRAME BATCH JOBS ARE RUN DAILY TO REFRESH THE SYSTEM FILES. UEF REPORTS IS USED TO GENERATE MONTHLY REPORTS.

NOTE: PAPER REPORTS MAY BE GENERATED FROM THESE FILES. THEY ARE USED AS WORKING DOCUMENTS AND DESTROYED AFTER USE.

Dept #: /800/

Department Name: WORKER'S COMPENSATION

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RETAIN UNTIL SUPERSEDED AND DESTROY CONFIDENTIAL.

00217G00. **WORKER'S COMPENSATION UNINSURED EMPLOYER'S FUND (UEF) CLOSE** **EVT+12** **DEST** **Y**

THESE ARE PAPER FILES CREATED BY THE UEF'S THIRD PARTY CLAIMS ADMINISTRATOR (RELATED TO UEF CLAIMS FILED WITH THE WC DIVISION). RECORDS ARE HARD COPY DOCUMENTS OF UEF-WC CLAIMS INVOLVING PAYMENT OF TEMPORARY TOTAL, TEMPORARY PARTIAL, PERMANENT TOTAL (INCLUDING OCCUPATIONAL DISEASE), PERMANENT PARTIAL DISABILITIES, MEDICAL ONLY AND DISPUTED AND DENIED CASES. CASES MAY BE REOPENED WITHIN A 12-YEAR PERIOD FROM THE LAST DATE COMPENSATION WAS PAID.

* ALL CLAIMS WITH THE EXCEPTION OF THE INTERLOCUTORY ORDER ARE RETAINED FOR 12 YEARS FROM THE DATE COMPENSATION WAS PAID (OTHER THAN TREATMENT OR BURIAL EXPENSES).

* CLAIM MAY BE REOPENED FOR AN INDEFINITE PERIOD IF AN INTERLOCUTORY ORDER WAS ENTERED BY THE ADMINISTRATIVE LAW JUDGE (SECTION 102.81(1)(B), WIS. STATS.).

INFORMATION CONTAINED IN A FILE MAY INCLUDE:

- * EMPLOYEE'S NAME
- * EMPLOYER'S NAME AND ADDRESS
- * UEF CLAIM APPLICATION
- * PHYSICIAN'S REPORT
- * WAGE INFORMATION
- * SYNOPSIS AND TRANSCRIPT OF HEARING, AND OTHER PERTINENT INFORMATION
- * CLAIM INVESTIGATION NOTES AND DOCUMENTS
- * EMPLOYER SUBJECTIVITY INVESTIGATION NOTES AND DOCUMENTS
- * MEDICAL INVOICES
- * OTHER PERTINENT CLAIM INFORMATION

NOTE: NO RETENTION LIMIT ON OCCUPATIONAL DISEASE CLAIMS OR ON TRAUMATIC INJURIES AS DEFINED IN S.102.17(4), WIS. STATS.

RETAIN 12 YEARS FROM DATE LAST COMPENSATION (OTHER THAN TREATMENT OR BURIAL EXPENSES) WAS PAID AND DESTROY CONFIDENTIAL.

00218000. **WORKER'S COMPENSATION HEALTH COST DISPUTES CLAIM FILE-NECESSI** **EVT+0/3** **DEST** **Y**

HARD COPY FILE FOLDER DOCUMENTS FOR NECESSITY DISPUTES RELATED TO A LITIGATED WC CLAIM OR THOSE SENT FOR REVIEW. THE DISPUTE ARISES WHEN THE INSURANCE COMPANY DOES NOT PAY WHAT THE PROVIDER HAS CHARGED. THE NECESSITY DISPUTES MAY GO TO AN IMPARTIAL REVIEW ORGANIZATION OR PANEL OF EXPERTS TO DETERMINE IF CHIROPRACTIC OR OTHER MEDICAL TREATMENT WAS NECESSARY.

INFORMATION IN THESE FILES MAY INCLUDE:

- * THE DISPUTE APPLICATION INCLUDING:
 - EMPLOYEE NMAE AND SOCIAL SECURITY NUMBER
 - DATE OF INJURY AND/OR TREATMENT DATE
 - PROVIDER'S NAME AND ADDRESS
 - INSURANCE COMPANY NAME AND ADDRESS
 - EMPLOYER NAME
 - TYPE AND DATE OF SERVICE AND CPT CODE
 - AMOUNT CHARGED BY PROVIDER
 - AMOUNT PAID BY INSURANCE COMPANY
 - DISPUTE AMOUNT

* GUIDE LETTER (GL92/GL97) NOTIFYING INSURANCE COMPANY OF DISPUTE

* INSURANCE COMPANY RESPONSE TO THE GL92/GL97 AND OTHER CORRESPONDENCE ON THE DISPUTE.

* ORDER GENERATED BY WC

SOME DECISIONS ON NECESSITY HEALTH COST DISPUTES WILL BE MADE BY THE IMPARTIAL REVIEW ORGANIZATION AND PANEL OF EXPERTS. WC DIVISION HOLDS DISPUTES UNTIL A DECISION IS MADE.

A WORKER'S COMPENSATION LITIGATED CASE MUST BE SETTLED/CLOSED BEFORE ANY HEALTH COST DISPUTE CAN BE PROCESSED.

RETAIN 3 MONTHS AFTER IMAGED AND IMAGE IS VERIFIED AND DESTROY CONFIDENTIAL.

00218C00. **WORKER'S COMPENSATION HEALTH COST DISPUTES CLAIM FILES -NECES** **EVT+12** **DEST** **Y**

DOCUMENT IMAGES AND PROFILE RECORDS ON CENTRAL STORAGE DISK FOR NECESSITY HEALTH COSTS.

INFORMATION IN THESE DOCUMENTS MAY INCLUDE:

RDA #	RDA Title	Retention	Disposition	PII
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- * THE DISPUTE APPLICATION INCLUDING:
 - EMPLOYEE NAME AND SOCIAL SECURITY NUMBER
 - DATE OF INJURY AND/OR TREATMENT DATE
 - EMPLOYER NAME
 - PROVIDER AND INSURANCE COMPANY NAMES AND ADDRESSES
 - DATABASE USED, TYPE AND DATE OF SERVICE AND CPT CODE
 - AMOUNT CHARGED BY PROVIDER
 - AMOUNT PAID BY INSURANCE COMPANY
 - DISPUTE AMOUNT

* GUIDE LETTER (GL92/GL97) NOTIFYING INSURANCE COMPANY OF DISPUTE

* INSURANCE COMPANY RESPONSE TO THE GL92/GL97 AND OTHER CORRESPONDENCE ON THE DISPUTE

* ORDER GENERATED BY WC

PROFILE INFORMATION FOR IMAGES CONTAINS THE FILE LOCATIONS AND NAMES OF THE CORRESPONDING DOCUMENTS STORED IN A DATABASE.

* RECORDS ARE FOLDER AND DOCUMENT PROFILE RECORDS CONSISTING OF DISPUTE ID, CLAIMANT NAME, DATE OF INJURY, DATE OF FIRST TREATMENT, EMPLOYER NAME, SOCIAL SECURITY NUMBER AND CLAIMANT ZIP CODE.

ICMS, IMAGED DATA AND PAPER PURGES SHOULD ALL OCCUR SIMULTANEOUSLY.

NOTE: THE 12 YEARS AFTER CLOSED OR DEATH IS A MINIMUM RETENTION REQUIREMENT. THERE IS NO RETENTION LIMIT ON OCCUPATIONAL DISEASE CLAIMS, TRAUMATIC INJURIES AS DEFINED IN S. 102.17(4). INTERLOCUTORY ORDER CLAIMS COVERED UNDER RDA 401.

RETAIN 12 YEARS AFTER DISPUTE CLOSED AND DESTROY CONFIDENTIAL.

<u>00218D00.</u>	<u>WORKER'S COMPENSATION HEALTH COST DISPUTES CLAIM FILES -NECES</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
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MAIN DATABASE RECORDS ON ICMS INVOLVING PAYMENTS FOR HEALTH COSTS. THE DISPUTE ARISES WHEN THE INSURANCE COMPANY DOES NOT PAY WHAT THE PROVIDER HAS CHARGED. THE NECESSITY DISPUTES MAY GO TO AN IMPARTIAL REVIEW ORGANIZATION OR PANEL OF EXPERTS TO DETERMINE IF CHIROPRACTIC OR OTHER MEDICAL TREATMENT WAS NECESSARY.

INFORMATION MAY INCLUDE:

- * THE DISPUTE APPLICATION INCLUDING:
 - EMPLOYEE NAME AND SOCIAL SECURITY NUMBER
 - DATE OF INJURY AND/OR TREATMENT DATE
 - PROVIDER'S NAME AND ADDRESS
 - INSURANCE COMPANY NAME AND ADDRESS
 - EMPLOYER NAME
 - TYPE AND DATE OF SERVICE AND CPT CODE
 - AMOUNT CHARGED BY PROVIDER
 - AMOUNT PAID BY INSURANCE COMPANY
 - DISPUTE AMOUNT

* GUIDE LETTERS (GL92/GL97) NOTIFYING INSURANCE COMPANY OF DISPUTE.

* INSURANCE COMPANY RESPONSE TO THE GL92/GL97 AND OTHER CORRESPONDENCE ON THE DISPUTE.

* ORDER GENERATED BY WC

SOME DECISIONS ON NECESSITY HEALTH COST DISPUTES WILL BE MADE BY THE IMPARTIAL REVIEW ORGANIZATION AND PANEL OF EXPERTS. WC DIVISION HOLDS DISPUTES UNTIL A DECISION IS MADE.

A WORKER'S COMPENSATION LITIGATED CASE MUST BE SETTLED/CLOSED BEFORE ANY HEALTH COST DISPUTE CAN BE PROCESSED.

RETAIN 12 YEARS AFTER DISPUTE CLOSED AND DESTROY CONFIDENTIAL.

<u>00219000.</u>	<u>WORKER'S COMPENSATION HEALTH COST DISPUTES CLAIM FILE FOLDER!</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
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HARD COPY FILE FOLDER DOCUMENTS FOR REASONABLENESS/PHARMACY FEE DISPUTES RELATED TO A LITIGATED WC CLAIM. THE DISPUTE ARISES WHEN THE INSURANCE COMPANY DOES NOT PAY WHAT THE PROVIDER HAS CHARGED.

INFORMATION IN THESE FILES MAY INCLUDE:

- * THE DISPUTE APPLICATION INCLUDING:

Dept #: /800/

Department Name: WORKER'S COMPENSATION

RDA #	RDA Title	Retention	Disposition	PII
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- EMPLOYEE NAME AND SOCIAL SECURITY NUMBER
- DATE OF INJURY AND/OR TREATMENT DATE
- PROVIDER'S NAME AND ADDRESS
- INSURANCE COMPANY NAME AND ADDRESS
- DATABASE USED
- EMPLOYER NAME
- TYPE AND DATE OF SERVICE AND CPT CODE
- AMOUNT CHARGED BY PROVIDER
- AMOUNT PAID BY INSURANCE COMPANY
- DISPUTE AMOUNT

* GUIDE LETTER (GL94) NOTIFYING INSURANCE COMPANY OF DISPUTE.

* INSURANCE COMPANY RESPONSE TO THE GL94 AND OTHER CORRESPONDENCE ON THE DISPUTE.

* ORDER GENERATED BY WC

IN ORDER TO MAKE A DECISION THE DIVISION NEEDS A REPLY FROM THE INSURANCE COMPANY SHOWING WHAT DATABASE WAS USED, AND A REPLY FROM THE HEALTH CARE PROVIDER WITH AN EXPLANATION WHY SOME SERVICES WERE MORE COMPLICATED THAN OTHERS AND A REASON FOR MAKING THAT PAYMENT. WC DIVISION HOLDS DISPUTES UNTIL A DECISION IS MADE.

A WORKER'S COMPENSATION LITIGATED CASE MUST BE SETTLED/CLOSED BEFORE ANY HEALTH COST DISPUTE CAN BE PROCESSED.

RETAIN 3 MONTHS AFTER IMAGED AND IMAGE IS VERIFIED AND DESTROY CONFIDENTIAL.

00219C00.

WORKER'S COMPENSATION HEALTH COST DISPUTES CLAIMS FILE FOLDEI EVT+12

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DOCUMENT IMAGES AND PROFILE RECORDS ON CENTRAL STORAGE DISK FOR REASONABLENESS/PHARMACY FEE HEALTH COSTS.

INFORMATION IN THESE DOCUMENTS MAY INCLUDE:

- * THE DISPUTE APPLICATION INCLUDING:
 - EMPLOYEE NAME AND SOCIAL SECURITY NUMBER
 - DATE OF INJURY AND/OR TREATMENT DATE
 - EMPLOYER NAME
 - PROVIDER AND INSURANCE COMPANY NAME AND ADDRESSES
 - DATABASE USED, TYPE AND DATE OF SERVICE AND CPT CODE
 - AMOUNT CHARGED BY PROVIDER
 - AMOUNT PAID BY INSURANCE COMPANY
 - DISPUTE AMOUNT

* GUIDE LETTER (GL94) NOTIFYING INSURANCE COMPANY OF DISPUTE

* INSURANCE COMPANY RESPONSE TO THE GL94 AND OTHER CORRESPONDENCE ON THE DISPUTE.

* ORDER GENERATED BY WC

PROFILE INFORMATION FOR IMAGES CONTAINS THE FILE LOCATIONS AND NAMES OF THE CORRESPONDING DOCUMENTS STORED IN A DATABASE.

* RECORDS ARE FOLDER AND DOCUMENT PROFILE RECORDS CONSISTING OF DISPUTE ID, CLAIMANT NAME, DATE OF INJURY, DATE OF FIRST TREATMENT, EMPLOYER NAME, SOCIAL SECURITY NUMBER AND CLAIMANT ZIP CODE.

ICMS, IMAGED DATA AND PAPER PURGES SHOULD ALL OCCUR SIMULTANEOUSLY.

NOTE: THE 12 YEARS AFTER CLOSED OR DEATH IS A MINIMUM RETENTION REQUIREMENT. THERE IS NO RETENTION LIMIT ON OCCUPATIONAL DISEASE CLAIMS, TRAUMATIC INJURIES AS DEFINED IN S. 102.17(4). INTERLOCUTORY ORDER CLAIMS COVERED UNDER RDA 401.

RETAIN 12 YEARS AFTER DISPUTE CLOSED AND DESTROY CONFIDENTIAL.

00219D00.

WORKER'S COMPENSATION HEALTH COST DISPUTES CLAIMS FILE FOLDEI EVT+12

DEST

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MAIN DATABASE RECORDS ON ICMS OF DOCUMENTS INVOLVING PAYMENT FOR HEALTH COSTS. THE DISPUTE ARISES WHEN THE INSURANCE COMPANY DOES NOT PAY WHAT THE PROVIDER HAS CHARGED.

INFORMATION IN THESE FILES MAY INCLUDE:

- * THE DISPUTE APPLICATION INCLUDING:
 - EMPLOYEE NAME AND SOCIAL SECURITY NUMBER
 - DATE OF INJURY AND/OR TREATMENT DATE

RDA #	RDA Title	Retention	Disposition	PII
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- PROVIDER'S NAME AND ADDRESS
- INSURANCE COMPANY NAME AND ADDRESS
- DATABASE USED
- EMPLOYER NAME
- TYPE AND DATE OF SERVICE AND CPT CODE
- AMOUNT CHARGED BY PROVIDER
- AMOUNT PAID BY INSURANCE COMPANY
- DISPUTE AMOUNT

* GUIDE LETTER (GL94) NOTIFYING INSURANCE COMPANY OF DISPUTE

* INSURANCE COMPANY RESPONSE TO THE GL94 AND OTHER CORRESPONDENCE ON THE DISPUTE

* ORDER GENERATED BY WC

IN ORDER TO MAKE A DECISION THE DIVISION NEEDS A REPLY FROM THE INSURANCE COMPANY SHOWING WHAT DATABASE WAS USED, AND A REPLY FROM THE HEALTH CARE PROVIDER WITH AN EXPLANATION WHY SOME SERVICES WERE MORE COMPLICATED THAN OTHERS AND A REASON FOR MAKING THAT PAYMENT. WC DIVISION HOLDS DISPUTE UNTIL A DECISION IS MADE.

A WORKER'S COMPENSATION LITIGATED CASE MUST BE SETTLED/CLOSED BEFORE ANY HEALTH COST DISPUTE CAN BE PROCESSED.

RETAIN 12 YEARS AFTER DISPUTE CLOSED AND DESTROY CONFIDENTIAL.

<u>00219E00.</u>	<u>WORKER'S COMPENSATION HEALTH COST DISPUTE DOCUMENTS - TO BE I</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
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HARD COPY DOCUMENTS RECEIVED OR GENERATED WHICH NEED TO BE IMAGED BUT WILL NOT BE PART OF A PAPER FILE FOLDER. RECORDS ARE RELATED TO PAYMENTS FOR NECESSITY, REASONABLENESS AND PHARMACY FEE HEALTH COST DISPUTES. THE DISPUTE ARISES WHEN THE INSURANCE COMPANY DOES NOT PAY WHAT THE PROVIDER HAS CHARGED.

INFORMATION IN THESE FILES MAY INCLUDE:

- * THE DISPUTE APPLICATION INCLUDING:
 - EMPLOYEE NAME AND SOCIAL SECURITY NUMBER
 - DATE OF INJURY AND/OR TREATMENT DATE
 - PROVIDER'S NAME AND ADDRESS
 - INSURANCE COMPANY NAME AND ADDRESS
 - DATABASE USED
 - EMPLOYER NAME
 - TYPE AND DATE OF SERVICE AND CPT CODE
 - AMOUNT CHARGED BY PROVIDER
 - DISPUTE AMOUNT

* GUIDE LETTER (GL92/GL94/GL97) NOTIFYING INSURANCE COMPANY OF DISPUTE

* INSURANCE COMPANY RESPONSE TO THE GL92/GL94/GL97 AND OTHER CORRESPONDENCE ON THE DISPUTE.

* ORDER GENERATED BY WC

RETAIN 3 MONTHS AFTER ENTERED INTO DATA SYSTEM AND DESTROY CONFIDENTIAL.

<u>00342000.</u>	<u>WORKER'S COMPENSATION RELIGIOUS SECT EXEMPTION SYSTEM AND CC</u>	<u>CR+50</u>	<u>DEST</u>	<u>Y</u>
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RELIGIOUS SECT EXEMPTION SYSTEM FILES AND PAPER CORRESPONDENCE GENERATED TO EMPLOYERS REGARDING RELIGIOUS SECT EXEMPTION UNDER S. 102.28(3), WIS. STATS.

RETAIN 50 YEARS FROM EXEMPTION DOCUMENT CREATION DATE AND DESTROY CONFIDENTIAL

<u>00343000.</u>	<u>WORKER'S COMPENSATION WRAP-UP PROGRAM AND RELATED RECORDS</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
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RECORDS INCLUDE THE SYSTEM FILES AND OTHER RECORDS RELATED TO THE WRAP-UP PROJECT, INCLUDING OPERATIONAL RECORDS SUCH AS THE PROJECT SAFETY PLANS AND SAFETY REPORTS FOR CONSTRUCTION PROJECTS WHERE WRAP UP HAS BEEN APPROVED BY THE WORKER'S COMPENSATION DIVISION.

WRAP-UPS OCCUR ONLY ON LARGE CONSTRUCTION PROJECTS WHERE ALL THE CONTRACTORS FOR A PROJECT ARE UNDER ONE INSURANCE POLICY FOR THAT WHICH IS BEING CONSTRUCTED INSTEAD OF INDIVIDUAL INSURANCE COVERAGE FOR EACH CONSTRUCTION EMPLOYEE. RECORDS IN THIS SERIES ARE ALSO USED TO TRACK EMPLOYER'S WORKER'S COMPENSATION INSURANCE COVERAGE TO ENSURE THAT EMPLOYERS AND THEIR COVERED EMPLOYEES ARE REMOVED FROM THE POLICY WHEN THEY LEAVE THE PROJECT.

RETAIN 50 YEARS AFTER THE END DATE OF THE DIVIDED INSURANCE ORDER AND DESTROY CONFIDENTIAL.

RDA # RDA Title Retention Disposition PII

00401000. WORKER'S COMPENSATION INTERLOCUTORY FINDINGS, ORDERS, AND AWARDS EVT+80 DEST Y

Documents of WC claims involving payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial Disabilities and disputed cases.

Within 90 days after the final hearing and/or *close of the record, the department shall make and file its findings upon the ultimate facts involved in the controversy, and its order, which shall state its determination as to the rights of the parties. Pending the final determination of any controversy before it, the department may in its discretion after any hearing make **interlocutory findings, orders, and awards, which may be enforced in the same manner as final awards.

Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b)). The 80-year retention covers the potential lifespan of an individual with a claim.

Information in these files may include:

- Employee's name, address and social security number
- Employer's name, address and FEIN
- Employer's insurance company name, address and FEIN
- Physicians' reports
- First Report of Injury (WKC-12 or equivalent)
- Supplemental Report (WKC-13 or equivalent)
- Wage Information (WKC-13A or equivalent)
- Physicians' Report in Lieu of Testimony (WKC-168 or equivalent)
- Application for Hearing (WKC-7 or equivalent)
- Reports of Violation (regarding safety and minors)
- Synopsis and transcript of hearing, and other pertinent information
- Second Injury and Children's Death Benefit Fund Documents
- Health Cost Disputes

Electronic document profile information for images contains the file locations and names of the corresponding documents stored in a database.

- Records are folder and document profile records consisting of WC Claim Number, Claimant Name, Date of Injury, Employer Name, Claimant Social Security Number and Claimant Zip Code.

Integrated Claim Management System (ICMS) imaged data and paper file folder purges should occur simultaneously.

*Close defined as "when hearing record is completed".

**Interlocutory defined as "pronounced or decided during the course of an action or suit and are temporary or provisional in nature."

NOTE: There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4).

EVENT = Case close date EVT + 80 yrs; destroy confidential

00403000. WORKER'S COMPENSATION INSURANCE COVERAGE INFORMATION AND COVERAGE TERMINATIONS FOR PEO CLIENTS AS REQUIRED UNDER S.102.31(2M)(A), WIS. STATS. AND S.102.315, WIS. STATS. EVT+50 DEST N

FORMS FILED BY PROFESSIONAL EMPLOYER ORGANIZATION (PEO) REPORTING WORKER'S COMPENSATION INSURANCE COVERAGE INFORMATION AND COVERAGE TERMINATIONS FOR PEO CLIENTS AS REQUIRED UNDER S.102.31(2M)(A), WIS. STATS. AND S.102.315, WIS. STATS.

THESE ARE INSURANCE COVERAGE RECORDS FOR THE PROFESSIONAL EMPLOYER ORGANIZATION CLIENTS WHO MAY HAVE CLAIMS ARISE IN THE FUTURE; DISEASE CLAIMS MAY ARISE MANY YEARS AFTER THE WORK IS PERFORMED. THE RECORDS MUST BE MAINTAINED WITHIN THE WORKER'S COMPENSATION DIVISION TO DETERMINE CLIENT INSURANCE COVERAGE.

THERE IS NO CONFIDENTIAL INFORMATION ON THE FORMS RELATED TO EMPLOYEE NAMES OR SOCIAL SECURITY NUMBERS. THE FORMS DO INCLUDE THE PEO AND CLIENT FIEN NUMBER.

ADMINISTRATIVE NOTE:

THIS INFORMATION WAS PREVIOUSLY PART OF RDA#173 (ADMINISTRATOR'S DIVISION OPERATING FILES) WHICH WAS SUPERSEDED BY THE DWD ADOPTION OF THE STATEWIDE ADMINISTRATIVE RECORDS GENERAL SCHEDULE.

RETAIN 50 YEARS AFTER COVERAGE TERMINATION DATE AND DESTROY.

00437000. LEGAL RESEARCH CR+20 DEST Y

CASE SPECIFIC AND TOPICAL LEGAL RESEARCH PERFORMED BY THE WORKERS COMPENSATION LEGAL STAFF. CASE SPECIFIC LEGAL RESEARCH WOULD ALSO BE FILED IN THE SPECIFIC CASE FILE FOR THE WC CLAIMANT. CASE SPECIFIC LEGAL RESEARCH ARE CONFIDENTIAL PURSUANT TO S. 102.33(2)(B), WIS. STATS., BECAUSE THEY REVEAL THE NAME AND PERHAPS OTHER INFORMATION ABOUT THE INJURED EMPLOYEE. TOPICAL LEGAL RESEARCH TOPICS INCLUDE BUT ARE NOT LIMITED TO ANTHRAX; NEEDLE STORAGE; AND UNDOCUMENTED WORKERS SINCE THESE TOPICS RELATE TO THE WORKERS COMPENSATION PROGRAM. IN OTHER WORDS THE NAME OF THE INJURED EMPLOYEE IS NOT

INCLUDED. THIS TYPE OF RESEARCH IS NOT CONFIDENTIAL.

ADMINISTRATIVE NOTE: THESE RECORDS ARE SEPARATE AND DISTINCT FROM BILL ANALYSIS AND FISCAL NOTE PREPARATION OF CHANGES TO THE STATE WC LAW. THESE TYPES OF RECORDS ARE COVERED UNDER AN EXISTING RETENTION POLICY: BUDG006, LEGISLATIVE BILL ANALYSIS FILES, WITH A RETENTION OF THE CURRENT FISCAL YEAR AND 14 BACK FISCAL YEARS (FIS + 14 YEARS)

RETAIN 20 YEARS AFTER CREATION AND DESTROY CONFIDENTIAL.

00438000. **DATA ON CUSTOMARY AND REASONABLE CHARGES FOR MEDICAL SERVICES** **CR+12** **DEST** **N**

IN ORDER TO DETERMINE IF CHARGES FOR SERVICES PROVIDED UNDER WORKERS COMPENSATION CLAIMS ARE REASONABLE, THE DIVISION CERTIFIES DATABASES. THE CERTIFIED DATABASES ARE INGENIX, TRUE COURSE AND THE EMPLOYER HEALTH CARE ALLIANCE COOPERATIVE. DWD 80.73 (8) (B) OF THE WISCONSIN ADMINISTRATIVE CODE PROVIDES THAT IN THE APPLICATION TO BECOME TO BECOME CERTIFIED THE APPLICANT DATABASES SHALL CLEARLY IDENTIFY ANY TRADE SECRETS UNDER S. 19.36 (5), STATS., AND THAT THE DEPARTMENT WILL TREAT ANY INFORMATION MARKED TRADE SECRETS AS CONFIDENTIAL AND SHALL USE IT SOLELY FOR THE PURPOSE OF CERTIFICATION AND SHALL TAKE APPROPRIATE STEPS TO PREVENT ITS RELEASE. THESE DATABASES ARE CONFIDENTIAL, NOT AVAILABLE TO THE GENERAL PUBLIC AND MUST BE PURCHASED FROM THE DATABASE PROVIDERS.

FOR HOSPITAL RADIOLOGICAL SERVICES THE WORKER'S COMPENSATION DIVISION CREATED AND MAINTAINS A SEPARATE DATABASE. THE STATE OF WISCONSIN-HOSPITAL RADIOLOGY DATABASE IS NOT CONFIDENTIAL, IS IN THE PUBLIC DOMAIN AND IS ON THE WC WEBSITE.

THE FEES IN THE DATABASE ARE TO ACCURATELY REFLECT THE AMOUNTS CHARGED BY PROVIDERS FOR HEALTH CARE SERVICES RATHER THAN THE AMOUNTS PAID TO OR COLLECTED BY PROVIDERS, AND THE INFORMATION IN THE DATA BASES IS TO BE UP-DATED AND PUBLISHED/DISTRIBUTED AT LEAST EVERY SIX (6) MONTHS.

EVENT = CR + 12 YEARS AND DESTROY CONFIDENTIAL

00472000. **CENTERS FOR MEDICARE AND MEDICAID SERVICES (CMS) CORRESPONDENCE** **EVT+80** **DEST** **Y**

During review of this functional schedule, Worker's Compensation management identified these records as not fitting under another series or General Schedule.

In 1980, the Medicare Secondary Payer (MSP) statute 42 C.F.R. §422.108 was enacted to protect the fiscal integrity of Medicare by establishing that it is secondary to all other types of insurance. The purpose of Section 111 of the Medicare, Medicaid, and SCHIP Extension Act (MMSEA) of 2007, 42 U.S.C. 1395y (b)(8), is to make it easier for the federal government to enforce its rights under MSP.

The Worker's Compensation Division is a Responsible Reporting Entity under Section 111 because of the payments made out of the Work Injury Supplemental Benefit Fund (WISBF), Uninsured Employer Fund (UEF), and Self-Insured Employers Liability Fund (SIELF) to claimants who are Medicare Beneficiaries.

Every claimant who has a barred traumatic or occupational claim paid out of the WISBF, a claim paid out of the UEF, or a claim paid out of the SIELF needs to be reported to CMS to determine if the claimant is a Medicare beneficiary. If the claimant is a beneficiary then information related to the claimant's injury, Total Payment Obligation to the Claimant (TPOC) out of the WISBF, UEF, or SIELF, and whether or not the paying fund has Ongoing Responsibility for Medicals (ORM) needs to be reported to CMS. The reporting requirement can be one time (TPOC, no ORM, full and final compromise order), last 12 years or less (non-litigated UEF claims with a 12-year statute of limitations that do not re-open, limited compromise order for less than 12 years), or last the length of an interlocutory order (80 years).

Claims involve payment of Temporary Total, Temporary Partial, Permanent Total (including Occupational Disease), Permanent Partial disabilities and disputed cases (formal awards ordered by a WC Division or DOA, Division of Hearings and Appeals Administrative Law Judge).

Cases may be re-opened within a 12-year period from the last date compensation was paid or less than one year after a full and final compromise.

- All claims with the exception of the interlocutory order are retained for 12 years from the date compensation was paid (other than treatment or burial expenses)

Claims may be reopened for an indefinite period if an interlocutory order was entered by the Administrative Law Judge (Wis. Stat. § 102.18(1)(b)). The 80-year retention covers the potential lifespan of an individual with a claim.

Records may contain:

- paper documents
- active and inactive computer records of worker's compensation claims in the Integrated Claim Management System (ICMS)
- document images and profile records on central storage disk (imaged documents)
- spreadsheets containing data output from batch jobs
- spreadsheets containing reporting notes related to the data output from batch jobs
- electronic copies of correspondence from/to CMS

Data contained in these records may include:

RDA #	RDA Title	Retention	Disposition	PII
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- Employee's name, address, social security number, and Medicare status
- Employer's FEIN, name and address
- Employer's insurance company FEIN, name and address
- Wage information
- Worker's Compensation payments to the injured employee
- Correspondence and medical documents relating to each claim
- Extent of disability involved in each claim
- Other related data

NOTE: The 12 years after closed or death is a minimum retention requirement. There is no retention limit on occupational disease claims, traumatic injuries as defined in Wis. Stat. § 102.17(4). Interlocutory order claims covered under RDA 401.

EVENT = case close date; EVT + 80 pts; destroy confidential

00491000. **WORKER'S COMPENSATION VOCATIONAL REHABILITATION SPECIALIST FI** **EVT+6** **DEST** **N**

Vocational Rehabilitation is a benefit under Chapter 102 of the Wisconsin Statutes and Wis. Admin. Code DWD 80.49 for certain workers injured on the job. These workers have the right to pursue services with a private rehabilitation specialist certified by the department (WC Division) if the Division of Vocational Rehabilitation cannot provide the necessary services

An Initial certification application can be submitted at any time; certification renewal applications are submitted every three years. Vocational Rehabilitation benefits, in which a specialist might play a role, are pursued quickly and the maximum dollar amount payable to the specialist is exhausted very quickly. Thus, there is no program need to keep the specialist files for the full 12 years from last date compensation (other than treatment or burial expenses) was paid, which is the normal retention lifespan for injury claim related data.

Specialist files include the WKC-10042 Private Vocational Rehabilitation Specialist Certification Application; WKC-14448 Certification Renewal Request; and a list of specialists by name, address, and telephone number stored in an Access database.

Information in these files may include:

- Private rehabilitation specialist name, address, email address, telephone number, and employer name
- A list of certifications held
- Name, position, and telephone number of three professional references
- Academic qualifications
- Vocational rehabilitation employment history

EVENT = initial or renewal application submission unless superseded by a subsequent renewal application containing the same information as the previously submitted applications; EVT + 6 yrs; destroy confidential

00492000. **DATA OUTPUT FROM THE BI-WEEKLY MATCHING OF DIVISION OF VOCATIO** **EVT+1** **DEST** **Y**

Vocational Rehabilitation is a benefit under Chapter 102 of the Wisconsin Statutes and Wis. Admin. Code DWD 80.49 for certain workers injured on the job. These workers have the right to pursue services with a private rehabilitation specialist certified by the department (Worker's Compensation Division) if the Division of Vocational Rehabilitation (DVR) cannot provide the necessary services. The method of identifying injured workers in this situation is to match DVR's Closed Order of Selection (OOS) list to the claimant data in ICMS.

Files used/obtained include DVR's Closed OOS spreadsheet, ICMS claimant records, and Crystal Report output.

Information in these files include:

- DVR client last name, first name, social security number, date of birth, determined client eligibility date, and Integrated Rehabilitation Information System (IRIS) ID
- Employee (i.e. DVR counselor) name and telephone number
- ICMS claimant last name, first name, social security number, date of birth

EVENT= date of the data match and data output; EVT + 1 yr; destroy confidential