

155-PUBLIC SERVICE COMMISSION

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

/002/ ADMINISTRATIVE SERVICES-RECORDS

<u>00002000.</u>	<u>GAS EXPLOSION REPORTS</u>	<u>CR+50</u>	<u>DEST</u>	<u>N</u>
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THESE DOCUMENTS DEAL WITH INCIDENTS THAT OCCURED BECAUSE OF POSSIBLE PIPELINE FAILURES, AND WHICH HAVE ENDANGERED THE PUBLIC SAFETY. THEY INCLUDE SUCH ITEMS AS GAS EXPLOSION REPORTS, PICTURES, DRAWINGS, MAPS, ETC. RECEIVED FROM THE UTILITIES, AS WELL AS COMMISSION WORK PAPERS, INVESTIGATION PAPERS/REPORTS, AND MISCELLANEOUS CORRESPONDENCE.

THESE DOCUMENTS ARE VITAL TO KEEP FOR POSSIBLE LITIGATION MATTERS ASSOCIATED WITH ANY FUTURE INCIDENTS INVOLVING THE SAME UTILITY. THEY ALSO PROVIDE A TRACK RECORD FOR POSSIBLE SAFETY CODE MODIFICATIONS TO CORRECT DANGEROUS SITUATIONS. INFORMATION RECEIVED FROM THESE REPORTS ALSO PROVIDES BACKGROUND FOR EQUIPAGE FAILURE, WHICH IS USEFUL FOR PROJECTING CHANGES TO VALVE AND OTHER EQUIPAGE.

49_CFR 198 - STATES AND GRANTS
WIS. STAT 196.72
WIS. ADMIN. CODE PSC 104.05

THESE REPORTS AND FILES WILL BE KEPT FOR THREE YEARS IN PAPER AND THEN SCANNED, RETAINED FOR 50 YEARS ELECTRONICALLY. PAPER WILL BE DESTROYED UPON VERIFICATION.

EVENT = CR + 50 YEARS AND DESTROY

<u>00003000.</u>	<u>COMMISSION DECISIONS (FORMERLY BLUE X AND LETTER ORDERS)</u>	<u>CR+25</u>	<u>DEST</u>	<u>N</u>
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THESE ARE ORDERS (COMMISSION DECISIONS) ISSUED BY THE PUBLIC SERVICE COMMISSION OF WISCONSIN. THESE ORDERS ARE FOR ALL TYPES (WATER, GAS, ELECTRIC...) OF CASES, INCLUDING RATE REGULATION, CONSTRUCTION, ACQUISITIONS, ABANDONMENTS, ETC., AND MAY INCLUDE APPENDICES WITH REVENUE SUMMARIES, RATE CHANGES, APPEARANCES, ETC. THESE ORDERS OFTEN SUMMARIZE FORMAL CASE FILES AND EXPLAIN THE COMMISSION'S DECISION. BECAUSE OF THE INFORMATION CONTAINED IN THE ORDER, THIS DOCUMENT MAY PROVIDE SUFFICIENT INFORMATION TO RESPOND TO GENERAL INFORMATIONAL REQUESTS AND REDUCE THE NUMBER OF CALL-BACKS FROM THE STATE RECORDS CENTER.

RETENTION: CR+25 YEARS AND DESTROY

<u>00004000.</u>	<u>UTILITY GENERAL CORRESPONDENCE FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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THESE ARE SUBJECT FILES, FILED IN UTILITY NUMBER ORDER, WHICH INCLUDE MISCELLANEOUS CORRESPONDENCE (THAT IS, CORRESPONDENCE NOT ASSOCIATED WITH A FORMAL CASE OR A COMPLAINT FILE), TECHNICAL UTILITY CORRESPONDENCE, ACCIDENT AND INTERRUPTION REPORTS, TECHNICAL MEMORANDA CONCERNING UTILITIES, ETC.

WIS. ADMIN CODE PSC CHAPTERS 2, 8, 104

EVENT = DATE ACCEPTED IN ERF + 5 YEARS AND DESTROY

<u>00006000.</u>	<u>COMMISSION MINUTE BOOKS</u>	<u>EVT+20</u>	<u>SHSW</u>	<u>N</u>
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OFFICIAL MINUTES OF THE PUBLIC SERVICE COMMISSION MEETINGS CONTAINING SUMMARIZED INFORMATION OF ALL COMMISSION ACTIONS: ORDERS, DECISIONS, APPROVALS, DENIALS, AND INSTRUCTIONS TO STAFF. MINUTES RECORD OPINIONS, RESOLUTIONS, AND ACTIONS ON CASES, PROCEDURES AND POLICY.

ORIGINALS ARE BOUND INTO A BOOK ANNUALLY AND MAINTAINED IN INFORMATION RESOURCE CENTER.

EVENT = CLOSED/TERMINATED + 20 YEARS AND TRANSFER TO STATE ARCHIVES (WHS)

<u>00006A00.</u>	<u>COMMISSION AGENDA</u>	<u>EVT+8</u>	<u>DEST</u>	<u>N</u>
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OFFICIAL, FORMAL RECORD OF COMMISSION MEETINGS AT THE PUBLIC SERVICE COMMISSION'S OPEN MEETINGS. THIS IS A COMPLETE, OFFICIAL RECORD OF PUBLIC SERVICE COMMISSION AGENDAS.

WIS. STAT. 19.83

EVENT = CLOSED/TERMINATED + 8 YEARS AND DESTROY

<u>00006C00.</u>	<u>ADDITIONAL COMMISSION CALENDAR ITEMS (MISCELLANEOUS)</u>	<u>EVT+8</u>	<u>DEST</u>	<u>N</u>
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THESE ITEMS CONSIST OF CORRESPONDENCE CREATED FOR ITEMS ON THE AGENDA FOR THE COMMISSION TO CONSIDER AT ITS OPEN MEETINGS, NOT ASSOCIATED WITH A FORMAL DOCKET NUMBER. EACH MISCELLANEOUS ITEM MAY CONSIST OF A COMMISSION MEMO, ATTACHMENTS SUPPORTING THE ISSUE OR REQUEST(S) FROM THE PUBLIC OR

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UTILITY, MINUTES FROM THE MEETING INDICATING THE COMMISSION'S DECISION, AND ANY FOLLOW-UP ACTION TAKEN.
 WIS. STAT 19.83
 EVENT = CLOSED/TERMINATED + 8 YEARS AND DESTROY

00007000. TARIFF FILES EVT+10 DEST N

A TARIFF IS THE COMPILATION OF SCHEDULES OF RZATES, CHARGES, RULES, REGULATIONS, DEFINITIONS, AND REFERENCES WHICH GOVERNS THE PROVISION OF REGULATED UTILITY SERVICES AS REQUIRED BY WIS. STAT. 196.19(1), (2).

TARIFF AMENDMENTS; OBSOLETE TARIFFS; CONTRACT AGREEMENTS BETWEEN UTILITIES AND OTHER ENTITIES; AND RELATED CORRESPONDENCE AND MATERIAL FOR ELECTRIC, STEAM, GAS, SEWER AND COMMUNICATIONS UTILITIES REGULATED BY THE COMMISSION.

EVT+10; EVT = SUPERDEDED; DESTROY

00008000. NONLANDMARK CASES EVT+8 DEST N

NONLANDMARK CASES ARE FILED PURSUANT TO WIS. STATS. CHAPTER 196.

THE FOLLOWING PUBLIC SERVICE COMMISSION CASES ARE NONLANDMARK: RATE, INQUIRY & INVESTIGATION, BUY/SELL/ABANDONMENT, SERVICE, CONSTRUCTION, DEPRECIATION, STOCKS & BOND, STRAY VOLTAGE, RESERVOIR WATER, MERGERS, RULES (ELECTRIC & GAS), AND COURT CASES

EVENT = RETAIN FOR 8 YEARS AFTER CLOSED AND DESTROY

00009000. LANDMARK CASES EVT+8 SHSW N

LANDMARK CASES ARE THOSE THAT ARE DETERMINED TO BE OF HISTORICAL VALUE. ANY TYPE OF CASE (CHAPTER 196, WIS. STATS.) MAY BE LANDMARK, IF IT IS PRECEDENT SETTING, OF SPECIAL PUBLIC INTEREST OR OF RESEARCH VALUE.

ONLY LEGAL COUNSEL OR PSC COMMISSIONER'S OFFICE MAY SELECT LANDMARK CASES FOR INCLUSION IN THIS SERIES.

THEY FOLLOWING TYPES OF CASES ARE LANDMARK: MAJOR TRANSMISSION LINES, PIPELINES, AND ORIGINAL CONSTRUCTION OF POWER PLANTS. HOLDING COMPANY FILES, AND TELEPHONE REORGANIZATION FILES. NECESSITY AND CONVENIENCE FILES.

CASES DETERMINED TO BE LANDMARK WILL BE RETAINED FOR 8 YEARS AFTER CLOSED, THEN TRANSFERRED TO THE STATE HISTORICAL SOCIETY FOR PERMANENT PRESERVATION.

EVENT = CLOSED + 8 YEARS AND TRANSFER TO STATE ARCHIVES (WHS)

00011000. ADMINISTRATIVE CODE FILES CR+25 SHSW N

PROPOSALS TO AMEND PSC ADMINISTRATIVE CODES, TO LEGISLATURE, BACKGROUND MATERIALS, SUPPORTING DOCUMENTS TO DEVELOP OR AMEND WISCONSIN ADMINISTRATIVE CODE AFFECTING REGULATION OF PUBLIC UTILITIES. ALL PSC CODES. INCLUDES TRANSCRIBED PUBLIC HEARING RECORDS OR COMMENTS RECEIVED, ORDERS AND CORRESPONDENCE.

RETAIN COPY OF FILE AT STATE HISTORICAL SOCIETY AND WORKING COPY AT AGENCY.

EVENT = CR + 25 YEARS AND TRANSFER TO STATE ARCHIVES (WHS)

00012000. ELECTRICAL CODE FILES CR+25 DEST N

ELECTRICAL CODE FILES INCLUDE COMPLAINTS AND INQUIRIES RELATED TO STATE AND/OR FEDERAL ELECTRICAL CODE REQUIREMENTS, WAIVERS, AND EXCEPTIONS.

USED TO DOCUMENT AND TRACK COMMISSION ACTIONS AND DECISIONS. ALSO USED AS BACKGROUND AND SUPPORTING MATERIAL TO PROPOSE CHANGES OR AMENDMENTS TO WISCONSIN'S ELECTRICAL CODE.

INCLUDES BACKGROUND MATERIAL, SUPPORTING DOCUMENTS TO DEVELOP OR AMEND THE ELECTRICAL CODE, PROPOSED RULES, ORDERS, AND CORRESPONDENCE.

RETENTION: CR+25 YEARS AND DESTROY

00014000. UTILITY ANNUAL REPORTS CR+20 SHSW N

ANNUAL REPORTS OF ELECTRIC, GAS, HEATING, TELECOMMUNICATIONS, WATER AND JOINT UTILITIES AS REQUIRED BY

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WIS. STAT. 196 AND WIS. ADMIN. CODE CH. 101 THAT ARE FILED TO THE PUBLIC SERVICE COMMISSION BY WISCONSIN UTILITIES. THE ANNUAL REPORT SHOWS ORGANIZATION, OPERATIONS, FINANCES, PHYSICAL PLAN STATISTICS AND RELATED INFORMATION.

RETENTION: CR + 20 YEARS AND TRANSFER TO STATE ARCHIVES (WHS)

00015000. AFFILIATED INTEREST FILES EVT+3 DEST N

AFFILIATED INTEREST FILES ARE CONTRACTS OR ARRANGEMENTS PROVIDING FOR THE FURNISHING OF MANAGEMENT, SUPERVISORY, CONSTRUCTION, ENGINEERING, ACCOUNTING, LEGAL, FINANCIAL OR SIMILAR SERVICES AND ANY CONTRACT OR ARRANGEMENT FOR THE PURCHASE, SALE, LEASE OR EXCHANGE OF ANY PROPERTY, RIGHT OR THING OTHER THAN MANAGEMENT. PER CHAPTER 196.52 OF THE STATUTES, THESE CONTRACTS ARE SUBMITTED TO THE COMMISSION FOR APPROVAL. DOCUMENTS IN THIS SERIES INCLUDE CONTRACT, NOTICE, TRANSCRIBED HEARING NOTES, AND COMMISSION DECISIONS.

RECORDS ARE MAINTAINED IN THE OFFICE THROUGHOUT THE LIFE OF THE CONTRACT, INCLUDING AMENDMENTS, CHANGES, AND REVISIONS.

EVENT = EXPIRATION OF CONTRACT + 3 YEARS AND DESTROY

00015A00. AFFILIATED INTEREST FILES - TELEPHONE EVT+25 DEST N

Affiliated Interest files are contracts or arrangements providing for the furnishing of management, supervisory, construction, engineering, accounting, legal, financial or similar services and any contract or arrangement for the purchase, sale, lease, or exchange of any property, right or thing other than management. Per Chapter 196.52 of the Statutes, these contracts are submitted to the Commission. Documents in this series include the contract.

Records are maintained in the office. Retain 25 years and destroy.

00016000. INTERVENOR COMPENSATION FILES EVT+4 DEST N

INTERVENOR COMPENSATION FILES ARE FORMAL FILES REQUESTING COMPENSATION FOR PARTY INTERVENTION IN A FORMAL CASE BEFORE THE COMMISSION PER CHAPTER PSC 3, WIS. ADMIN. CODE. FILES INCLUDE THE APPLICATION, SUPPORTING DOCUMENTS, AND COMMISSION DECISIONS FOR FINANCING ONLY.

RETAIN 4 YEARS AFTER ALL MONEY IS PAID/DENIED AND ALL APPEALS ARE COMPLETE.

RETENTION: EVENT + 4 YEARS AND DESTROY

00020000. NEWS RELEASES CR+5 SHSW Y

News Releases Are Brief Summaries Of Current Commission Activities That Are Mailed To Utilities, News Media And Interested Persons.

Retain 5 Years And Transfer To State Historical Society With Authority To Weed.

Supersedes Rda 142/80/001.

00021000. INFORMAL CASE FILES CR+3 DEST Y

THIS MATERIAL IS FILED WITH THE COMMISSION AS REQUIRED BY WIS. ADMIN. CODE 113.134, 134.17, 165.053 AND 185.39.

INFORMAL COMPLAINTS FROM THE PUBLIC WHICH THE PUBLIC SERVICE COMMISSION SETTLES. INCLUDES LETTER OF COMPLAINT, INFORMAL COMPLAINT FORM, CORRESPONDENCE AND RELATED MATERIAL CONCERNING THE SETTLEMENT OF COMPLAINT. INFORMAL COMPLAINTS ARE NOT SUBMITTED TO THE COMMISSIONERS. COMPLAINTS ARE RESOLVED BY INDIVIDUAL DIVISION STAFF. SOME INFORMAL COMPLAINTS CONTAIN INFORMATION PROTECTED UNDER WIS. STAT. 49.53. FORMAL COMPLAINTS (LANDMARK AND NON-LANDMARK) ARE COVERED UNDER PSC RDAS 0008 AND 0009.

RETENTION: CR+3 YEARS AND DESTROY CONFIDENTIAL

00022000. OFFICIAL FAX MACHINE LOG CR+1 DEST N

THIS IS A RECORD OF ALL FAXED MATERIALS SENT AND RECEIVED BY DATE/TIME TO THE COMMISSION'S OFFICIAL FAX MACHINE.

RETAIN 1 YEAR AND DESTROY.

00023000. VISITOR LOG CR+1 DEST N

VISITOR LOG - 1995

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THIS IS A LOG INITIATED AND KEPT BY THE PSC TO MONITOR VISITORS FOR SECURITY PURPOSES.

RETAIN 1 YEAR AND DESTROY.

00027000. FOCUS STATEWIDE EVT+5 DEST N

FOCUS ON ENERGY - 196.374

FOCUS ON ENERGY IS A PUBLIC-PRIVATE PARTNERSHIP OFFERING ENERGY INFORMATION AND SERVICE TO ENERGY UTILITY CUSTOMERS THROUGH WISCONSIN. THE GOALS OF THIS PROGRAM ARE TO ENCOURAGE ENERGY EFFICIENCY AND USE OF RENEWABLE ENERGY, ENHANCE THE ENVIRONMENT, AND ENSURE THE FUTURE SUPPLY OF ENERGY IN WISCONSIN. THESE SERVICES ARE DELIVERED BY A GROUP OF FIRMS CONTRACTED BY THE STATEWIDE ENERGY EFFICIENCY AND RENEWABLE ADMINISTRATION WITH PUBLIC SERVICE COMMISSION OF WISCONSIN OVERSIGHT.

THE AVERAGE FILE CONSISTS OF: CONTRACTUAL AGREEMENT WITH GRANT RECIPIENT, AMENDMENTS, BUDGETS, PURCHASE ORDERS, PROPOSALS, WORKPLANS, PROGRESS REPORTS, BACKGROUND AND WORKING PAPERS, INVOICES, AND RELATED MATERIALS AND CORRESPONDENCE.

RETAIN 5 YEARS FROM CLOSING DATE OF CONTRACT AND DESTROY.

00028000. RECORDS SUBJECT TO NON-DISCLOSURE AND CONFIDENTIALITY AGREEM EVT DEST N

PSC RECEIVES SENSITIVE RECORDS FROM TIME-TO-TIME, INCLUDING RECORDS RELATED TO CRITICAL ENERGY INFRASTRUCTURE INFORMATION (CEII), FROM GOVERNMENT ENTITIES AND VARIOUS STAKEHOLDERS THAT ARE SUBJECT TO NON-DISCLOSURE AGREEMENTS (NDA) OR CONFIDENTIALITY AGREEMENTS. FOR EXAMPLE, PSC RECEIVES CRITICAL ENERGY INFRASTRUCTURE INFORMATION (CEII). THE FEDERAL ENERGY REGULATORY COMMISSION BELIEVES THAT RELEASE OF CEII MAY ALLOW TERRORISTS TO SYSTEMATICALLY TARGET THE NATION'S ELECTRIC GRID AND THEREFORE GENERALLY REFUSES TO RELEASE CEII UNDER THE FOIA UNDER THE EXCEPTION FOR DATA THAT "COULD REASONABLY BE EXPECTED TO ENDANGER THE LIFE OR PHYSICAL SAFETY OF ANY INDIVIDUAL.: 5 U.S.C. 522(B)(7)(F). UNDER FERC'S RULES, CEII CAN ONLY BE RELEASED SUBJECT TO A CONFIDENTIALITY AGREEMENT. 18 C.F.R. SS 388.113.

* SEVERAL OF THESE AGREEMENTS REQUIRE THE COMMISSION TO RETURN OR DESTROY RECORDS UPON DEMAND. RECORDS THAT ARE SUBJECT TO NDAS SHALL BE MAINTAINED SECURELY BY COMMISSION STAFF MEMBERS WHO ARE AUTHORIZED TO ACCESS THE RECORDS. SUBJECT TO THE REQUIREMENTS OF WIS. STAT SS 19.35, RECORDS SUBJECT TO SUCH AGREEMENTS MAY BE DESTROYED AT WILL OR UPON DEMAND OF PARTY TO THE AGREEMENT WITHOUT REGARD TO THE LENGTH OF TIME THE RECORD HAS BEEN RETAINED.

THIS RECORD SERIES DOES NOT INCLUDE RECORDS GRANTED CONFIDENTIAL HANDLING UNDER WIS. ADMIN. CODE CH PSC2, UNLESS THOSE RECORDS ARE ALSO SUBJECT TO A FORMAL, WRITTEN NON-DISCLOSURE OR CONFIDENTIALITY AGREEMENT.

00041000. ENERGY CONTRACT FILES EVT+6 DEST Y

These program files were sent from the Department of Administration to the Public Service Commission in 2015 with the reorganization of the State Energy Office.

The Office of Energy Innovation (aka State Energy Office) performs contractual work with other state agencies, universities, local units of government, businesses, and individuals to implement and promote programs such as energy conservation, energy data collection, alternative energy supplies development, wood waste and waste to energy, wind energy, energy development and demonstration awards, and recycling programs. Under Wis. Stat. § 196.374(7)(e)3 the Public Service Commission is required to maintain reports from municipal utilities and cooperatives related to Focus on Energy for six years.

The average contract file consists of: contractual agreement with award recipient, amendments, budgets, purchase orders, proposals, work plans, progress reports, background and working papers, invoices, and related material and correspondence.

Under 2 C.F.R. § 200.333, "Financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award must be retained for a period of three years from the date of submission of the final expenditure report"...

EVENT: Closing date of the contract

00002000. ANNUAL REPORTS OF RAILROAD COMPANIES CR+2 SHSW N

FILE CONTAINS REPORTS OF RAILROAD COMPANIES ON ICC PRINTED FORMS SHOWING COMPANY HISTORY, DIRECTORS AND OFFICERS, CORPORATE STRUCTURE, REVENUES, EXPENSES, INCOME STATEMENT, BALANCE SHEET, PROPERTY ACCOUNTS, TRAFFIC AND OPERATING STATISTICS AND RELATED INFORMATION. FILE MAINTAINED FOR REFERENCE BY STAFF AND OTHER STATE AGENCIES REGARDING SERVICE AND RATE APPLICATIONS UNDER WIS. STATS. 195.03(8).

EVENT = CR + 2 YEARS AND TRANSFER TO STATE ARCHIVES (WHS).

00003000. ANNUAL REPORTS OF RAILWAY COMPANIES TO STOCKHOLDERS CR+2 DEST N

/155R/ PSC-RAILROADS, OFF. OF THE COMMISSIONER

FILED BY RAILROADS OPERATING IN WISCONSIN AS REQUIRED BY WIS. STATS. S. 190.13. THE FILE CONTAINS REPORTS SHOWING LIABILITIES, ASSETS, CAPITAL STOCK AND FUNDED DEBT, INCOME STATEMENTS SHOWING OPERATING REVENUES, OPERATING EXPENSES, GROSS AND NET INCOME, DIRECTORS, OFFICERS AND RELATED MATERIAL. FILE MAINTAINED FOR REFERENCE FOR INQUIRIES OF GENERAL PUBLIC. FILE MAINTAINED FOR REFERENCE FOR INQUIRIES OF GENERAL PUBLIC.

EVENT = CR + 2 YEARS AND DESTROY.

00004000. RAILROAD FORMAL CASE FILES EVT+7 SHSW Y

CASES RELATE TO FORMAL INVESTIGATIONS OF CROSSINGS, CLEARANCES, SAFETY MATTERS, RIGHTS-OF-WAY CONDITION/MAINTENANCE, EXEMPTIONS, ETC. FILES CONTAIN DOCUMENTATION (PETITIONS, CORRESPONDENCE, NOTICES, ORDERS, TRANSCRIPTS, EXHIBITS, [PV CONTACT DATE: 02/28/1994] MEMORANDA, CIRCUIT PLANS, AND RELATED MATERIAL) OF INVESTIGATIONS

PURSUANT TO WIS. STATS. S. 195.046.

RETAIN FOR 5 YEARS AFTER ISSUE OF THE LAST ORDER AND ALSO ON THE CONDITION THAT THE CASE IS INACTIVE (NO CORRESPONDENCE) FOR AT LEAST 2 YEARS BEFORE TRANSFER TO STATE HISTORICAL SOCIETY.

IN THE EVENT OF NEW CORRESPONDENCE, THE FILE IS ACTIVE FOR TWO MORE YEARS.

EVEN T= ISSUE OF THE LAST ORDER + 7 YEARS AND TRANSFER TO STATE ARCHIVES (WHS)

00005000. RAILROAD INFORMAL CASE FILES EVT+2 DEST N

DIGITAL DATABASE FILE CONTAINS CORRESPONDENCE, MEMORANDA, INVESTIGATION REPORTS, AND RELATED MATERIALS GENERATED IN THE PROCESS OF SETTLING COMPLAINTS WITHOUT FORMAL PROCEDURE. FILE CREATED UNDER WIS. STATS. S. 195.046 AND MAINTAINED FOR INQUIRIES FROM THE GENERAL PUBLIC.

DESTROY 2 YEARS AFTER CLOSED.

CASE IS CLOSED WHEN THE COMPLAINT IS RESOLVED TO THE SATISFACTION OF THE OFFICE AND ON THE CONDITION THAT THE COMPLAINT DOES NOT RECUR (NO CORRESPONDENCE) WITHIN THE RETENTION PERIOD.

EVENT = CASE CLOSED + 2 YEARS AND DESTROY.

00006000. RAILROAD OATHS - POLICE EVT+2 DEST N

FILE CONTAINS SIGNED OATH OF RAILROAD POLICE AS REQUIRED BY S. 192.47 WIS. STATS., AND IS MAINTAINED FOR USE BY STAFF AND GENERAL PUBLIC.

EVT=TERMINATION OF EMPLOYMENT WITH THE RAILROAD.

EVENT = TERMINATION OF EMPLOYMENT + 2 YEARS AND DESTROY.

00008000. RAILROAD DOCKET BOOKS CR+5 DEST N

THE DOCKET BOOKS ARE A DIGITAL DATABASE MAINTAINED FOR ASSIGNING DOCKET NUMBERS TO BOTH FORMAL AND INFORMAL INVESTIGATION CASES. FILE CONTAINS THE DATE THE CASE WAS DOCKETED, AND GIVES A SHORT DESCRIPTION OF THE PETITION. STAFF USES THE FILE AS A CROSS-REFERENCING INDEX.

OCR NOW USES AN ELECTRONIC DATABASE.

EVENT = CR + 5 YEARS AND DESTROY.

00009000. HEARING CALENDAR CR+2 DEST N

FILE CONSISTS OF WEEKLY CALENDARS LISTING BOTH RAILROAD AND DOT REFERRAL HEARINGS THAT WILL BE HELD IN THE NEXT WEEK, IN ACCORDANCE WITH WIS. STATS. 195.043. FILE MAINTAINED FOR USE BY STAFF AND GENERAL PUBLIC. RETAIN FOR 2 YEARS AFTER CREATION AND DESTROY.

EVENT = CR + 2 YEARS AND DESTROY.

00012000. OFFICE ORDERS/DECISIONS - RAILROAD EVT+1 DEST N

FILE CONTAINS COPIES OF OFFICE ORDERS/DECISIONS AND ORDERS ISSUED BY BOTH THE TRANSPORTATION COMMISSION AND THE PUBLIC SERVICE COMMISSION PRIOR TO THE CREATION OF THE OFFICE OF THE COMMISSIONER OF TRANSPORTATION. ORDERS AUTHORIZE DEVIATION FROM STATUTORY REQUIREMENTS REGARDING RAILROAD MATTERS. THE ORDERS ARE THE CULMINATION OF INVESTIGATIONS AND DOCUMENT THE ACHIEVEMENT OF THE OFFICE'S MISSION WITH REGARD TO RAILROAD REGULATION. THE FILE IS MAINTAINED FOR REFERENCE WITH REGARD TO INQUIRIES FROM OTHER AGENCIES AND THE GENERAL PUBLIC, AND IN LITIGATION REGARDING ACCIDENTS AT RAILROAD CROSSINGS.

/155R/ PSC-RAILROADS, OFF. OF THE COMMISSIONER

RETAIN FOR 1 YEAR AFTER ENTERED INTO DATA SYSTEM AND DESTROY.

00013000. GENERAL RAILROAD CORRESPONDENCE CR+2 DEST N

FILE CONSISTS OF CORRESPONDENCE AND MEMORANDA REGARDING RAILROAD REGULATION MATTERS THAT ARE NOT RELATED TO REGULAR CASE FILES. FILE IS MAINTAINED FOR STAFF REFERENCE PURPOSES ONLY.

RETAIN FOR 2 YEARS AFTER CREATION AND DESTROY.

00016000. WATER CARRIER AUTHORITIES EVT+5 DEST N

WATER CARRIERS (FERRIES) WISHING TO OPERATE IN WISCONSIN ARE REQUIRED UNDER WIS. STATS. S. 195.45 TO OBTAIN SPECIAL AUTHORITY TO DO SO. FILE CONTAINS ORIGINAL ORDERS GRANTING AUTHORITY TO OPERATE AND IS MAINTAINED FOR STAFF AND PUBLIC REFERENCE.

DESTROY 5 YEARS AFTER CANCELLATION.

00017000. WATER CARRIER FORMAL CASE FILES EVT+2 SHSW N

FILE CONTAINS APPLICATIONS, COMPLAINTS, NOTICES, HEARING DOCUMENTATION, MEMORANDA AND RELATED CORRESPONDENCE, UNDER WIS. STATS. 195.046 AND 195.02(5). FILE MAINTAINED FOR USE BY OTHER STATE AGENCIES, CARRIERS AND THE PUBLIC.

RETAIN FOR 2 YEARS AFTER CLOSED AND TRANSFER TO SHS.

CASE IS CLOSED WHEN THE COMPLAINT IS RESOLVED TO THE SATISFACTION OF THE OFFICE AND ON THE CONDITION THAT THE COMPLAINT DOES NOT RECUR (NO CORRESPONDENCE) WITHIN THE RETENTION PERIOD. IN THE EVENT OF NEW CORRESPONDENCE, THE FILE IS ACTIVE FOR TWO MORE YEARS.

EVENT = TWO YEARS AFTER CLOSED + 2 YEARS AND TRANSFER TO STATE ARCHIVES (WHS)

00019000. LANDMARK HEARING CASES EVT+25 SHSW N

FILE INCLUDES HEARINGS INVOLVING RAILROAD AND DOT REFERRAL (SEE RDA# 395-0018) CASES THAT HAVE EITHER HIGH IMPACT ON THE FUNCTION OF THE OFFICE OR ARE PRECEDENT-SETTERS. MANY OF THE CASES CONTAIN OCT DECISIONS THAT WERE CHALLENGED IN COURT, AND SERVE TO DEMONSTRATE THE EXTENT OF THE OFFICE'S POWER AND/OR SERVE AS A REFERENCE FOR THE INTERPRETATION OF LAW.

RETAIN FOR 25 YEARS AFTER CLOSED AND TRANSFER TO STATE HISTORICAL SOCIETY.

00022000. RAILROAD CROSSING FILE CR+5 DEST N

DIGITAL FILE CONTAINS A LIST OF THE RAILROAD CROSSINGS IN THE STATE, WITH INFORMATION SUCH AS OPERATING RAILROAD, LOCATION, PROTECTIVE DEVICES, AND TECHNICAL INFORMATION. THE FILE ALSO CONTAINS REPORTS FILED WITH THE OFFICE UNDER WIS. STATS S. 195.34 THAT RAILROADS SUBMIT AFTER A TRAIN/PEDESTRIAN/AUTO ACCIDENT OR DERAILMENT, AND IS MAINTAINED FOR REFERENCE BY STAFF.

RETAIN FOR 5 YEARS AFTER CREATION AND DESTROY.

OCR NOW USES AN ELECTRONIC DATABASE.

00030000. CENTRAL INDEX TO RAILROAD RECORDS EVT+49 SHSW N

THIS RECORD SERIES CONSISTS OF AN ALPHABETICAL INDEX OF INDIVIDUAL RAILROADS AND INCLUDES AN ENTRY FOR EACH CHARTER DOCUMENT, RESOLUTION, UCC FILING OR OTHER INSTRUMENTS FILED WITH RESPECT TO AN INDIVIDUAL RAILROAD ENTITY. ENTRIES UNDER EACH RAILROAD NAME APPEAR IN CHRONOLOGICAL ORDER AND DESCRIBE THE INSTRUMENT FILED, THE DATE FILED AND THE BOOK, VOLUME AND PAGE NUMBERS IN WHICH EACH INSTRUMENT IS FILED.

PAPER RECORDS WILL BE RETAINED ON-SITE FOR SIX(6) MONTHS AFTER ENTRY IN THE ELECTRONIC INDEX SYSTEM AND QUALITY CONTROL, THEN TRANSFER ELECTRONIC/DIGITAL FILES TO STATE ARCHIVES.

RETENTION: EVENT(DATE FILED WITH AGENCY) + 49 YEARS AND TRANSFER TO STATE ARCHIVES(WHS)

00032000. RAILROAD PATENTS EVT+49 SHSW N

EACH PAGE OF THE BOOKLETS (TWO VOLUMES) IS THE CERTIFICATE OF INCORPORATION (PATENT) ISSUED TO A PARTICULAR RAILROAD, NAMING THE RAILROAD AND THE ROUTES IT MAY OPERATE. PATENTS ARE ARRANGED CHRONOLOGICALLY BY DATE OF ISSUANCE. DISCONTINUED IN 1929, TRANSFER TO STATE ARCHIVES.

RETENTION: EVENT(DATE PATENT WAS ISSUED) + 49 YEARS AND TRANSFER TO STATE ARCHIVES (WHS)

Dept. #	Department Name	Retention	Disposition	PII
RDA #	RDA Title			

/155R/ PSC-RAILROADS, OFF. OF THE COMMISSIONER

00033000. RAILROAD INCORPORATIONS, RESOLUTIONS AND CHARTER DOCUMENTS EVT+7 SHSW N

TRANSACTION OF ARTICLES OR ORGANIZATION, AMENDMENTS, CONSOLIDATIONS, MERGERS AND SIMILAR CHARTER DOCUMENTS AND RESOLUTIONS REGARDING ESTBALISHMENT, EXTENSION AND ABANDONMENT OF OPERATING LINES, RECORDED IN CHRONOLOGICAL ORDER BY DATE OF FILING WIHT THE AGENCY. CHARTER DOCUMENTS FOR RAILROADS INCLUDING ARTICLES OF INCORPORATIONS AND AMENDATORY DOCUMENTS, INCLUDING OVERSIZED MAPS FILED UNDER WIS. STAT.. 190.11. RETAIN FOR SEVEN YEARS AFTER DATE OF DISSOLUTION, THEN TRANSFER TO STATE ARCHIVES.

RETENTION: EVENT(DATE OF DISSOLUTION) + 7 YEARS AND TRANSFER TO STATE ARCHIVES(WHS)

00035000. RAILROAD MORTGAGES AND TRUST DEEDS EVT+49 SHSW N

TRANSCRIPTIONS OF MORTGAGES AND OTHER INSTRUMENTS, CAPTIONED WITH THE TITLE OF THE INSTRUMENT, THE NAME OF THE RAILROAD AND OTHER PARTIES TO THE TRANSACTION AND THE DATE FILED (EVENT) UNDER WIS. STAT. SS. 190.11. TRANSFER ELECTRONIC FILES TO STATE ARCHIVES.

RETENTION: EVENT(FILING DATE) + 49 YERAS AND TRANSFER TO STATE ARCHIVES(WHS).

00036000. QUIET ZONE FILES EVT+3 DEST N

FILES CONTAIN NOTICES OF INTENT, NOTICES OF CONTINUATION/AFFIRMATION, AND NOTICES ESTABLISHING QUIET ZONES FROM MUNICIPALITIES TO THE OFFICE REGARDING THE CREATION OR MAINTENANCE OF FEDERALLY ESTABLISHED QUIET ZONES. FILES CREATED UNDER CODE OF FEDERAL REGULATIONS 49 CFR SS 222 AND 229. FILE WILL BE MAINTAINED ELECTRONICALLY FOR THREE YEARS AS REFERENCE WITH REGARD TO PUBLIC INQUIRIES AND MAINTENANCE OF THE OFFICE'S RAILROAD CROSSING DATABASE. RAILROADS REFILE NEW DATA EVERY THREE YEARS.

RETENTION: EVENT(DATE OF ISSUANCE) + 3 YEARS AND DESTROY.

00037000. SIGNAL MAINTENANCE REPORTS CR+7 DEST N

FILES CONTAIN RAILROAD ANNUAL SIGNAL MAINTENANCE REPORTS, CORRESPONDENCE AND COPIES OF CHECKS ISSUED BY DEPARTMENT OF TRANSPORTATION. SIGNAL MAINTENANCE REPORTS ARE FILED UNDER WIS. STAT. 195.28(3).

RETENTION: CREATION + 7 YEARS AND DESTROY