

395-TRANSPORTATION

RDA #	RDA Title	Retention	Disposition	PII
<u>00006A00.</u>	<u>FREEWAY OR EXPRESSWAY DESIGNATION PROCESS DOCUMENTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
	<p>Process documents are created and received in the process of determining whether or not to designate a freeway. Records in this series are a combination of administrative records associated with the designation and detailed background of materials that do not warrant permanent preservation after the designation decision.</p>			
	<p>Records in this series may include, but are not limited to:</p> <ul style="list-style-type: none"> • Project tracking materials information, paper or electronic tracking logs identifying deadlines, key decision dates, action items, project status and summary data about the designation case • Public comments solicited and received including phone logs, letters and e-mail messages • Documentation of meetings with local officials • Correspondence with the public, within WisDOT, or with other agency officials 			
	<p>EVENT = Date of Recording of Finding, Determination, and Order at the County Register of Deeds Office</p>			
<u>00006B00.</u>	<u>FREEWAY OR EXPRESSWAY 84.295 DESIGNATION CASE FILE - ELECTRONIC</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>N</u>
	<p>Wis. Stat. § 84.295 provides that WisDOT may, by legal order, designate a segment of highway to be classified as a freeway or expressway. Legal requirements are specified in the Facilities Development Manual (FDM) 7-40-1.</p>			
	<p>Records in this series may include, but are not limited to:</p> <ul style="list-style-type: none"> • Maps visually depicting the existing and proposed right of way needed for the freeway/expressway and associated roadway alterations. Includes the recording cover memo if the map is recorded at the County Register of Deeds office • Notice of Non-Access to Freeway or Expressway: WisDOT creates documents notifying each property owner that no access is authorized to a freeway or expressway • Related correspondence authorizing access and specifying limitations • Finding, Determination and Order (FD&O): Used to officially designate freeway or expressway under Wis. Stat. section 84.295, recorded with County Registers of Deeds • Public Hearing notices, Record of Public Hearing Proceedings, and proof of publication of hearing notice • Notice and Order Establishing Locations and Right of Way Widths for Future Freeways or Expressways: Used to officially map lands that will be needed for future improvement projects Reason for creation: Records identified during agency review. 			
	<p>EVENT = Date the Expressway/Freeway access control is vacated</p>			
<u>00007000.</u>	<u>UTILITY PERMITS AND CASE FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
	<p>RECORDS IN THIS SERIES ARE THE COMPLETED APPLICATION / PERMIT TO CONSTRUCT AND OPERATE UTILITY FACILITIES ON HIGHWAY RIGHT-OF-WAY (FORM DT1553 OR EQUIVALENT) AND RELATED RECORDS. UNDER SS. 86.07(2), WIS STATS, UTILITY PERMITS ARE REQUIRED TO CONSTRUCT, OPERATE OR MAINTAIN A UTILITY FACILITY WHEN WORK IS PERFORMED IN THE STATE TRUNK HIGHWAY (STH) RIGHT-OF-WAY (R/W). UTILITIES INCLUDE PUBLIC FACILITIES SUCH AS GAS, ELECTRIC, TELEPHONE, CABLE TELEVISION, CELLULAR, FIBER OPTICS, WATER (INCLUDING IRRIGATION LINES), SANITARY SEWER, AND PRIVATE FACILITIES THAT ACT IN THE SAME MANNER AS A PUBLIC FACILITY.</p>			
	<p>UTILITY PERMITS MAY ALSO BE SUBJECT TO TRANS 401, WIS ADM. CODE, OR DNR PERMITS MAY BE REQUIRED UNDER NR 216, WIS ADM CODE. REQUIREMENTS TO CONSTRUCT, OPERATE, AND MAINTAIN UTILITY FACILITIES ON ALL STH'S UNDER WISDOT JURISDICTION ARE SPECIFIED IN A COMPREHENSIVE UTILITY ACCOMMODATION POLICY (UAP), INCLUDING SPECIFIC PERMIT REQUIREMENTS. THE UPA IS KNOWN AS HIGHWAY MAINTENANCE MANUAL CHAPTER 96 IN THE BUREAU OF HIGHWAY OPERATIONS (BHO). RECORDS IN THIS SERIES INCLUDE:</p>			
	<ul style="list-style-type: none"> * AGREEMENTS WITH COMMUNICATION AND CELLULAR COMPANIES, AND THE PERMITS ASSOCIATED WITH THOSE AGREEMENTS, FOR THE LONGITUDINAL OCCUPATION OF WISDOT LIMITED-ACCESS HIGHWAY R/W. * SUPPORTING INFORMATION NECESSARY TO COMPLETE WISDOT'S REQUIREMENTS FOR AGREEMENTS AND PERMITS, E.G. ENVIRONMENTAL REPORTS. * TRACKING LONGITUDINAL OCCUPATION FEES AND BARTER ARRANGEMENTS MADE WITH COMMUNICATION OR CELLULAR COMPANIES. THESE FEES AND ARRANGEMENTS MAY BE MADE ON A 20-,30-, OR 40-YEAR PERIOD. * THE INSTALLATION OF PRIVATELY OWNED FACILITIES SUCH AS IRRIGATION LINES. * ANNUAL SERVICE CONNECTION PERMITS (ASCP'S): A BLANKET UTILITY PERMIT ISSUED IN BHO THAT ENABLES UTILITIES TO SUBMIT BRIEF WORK SKETCHES INSTEAD OF STANDARD PERMIT APPLICATIONS TO REGIONAL OFFICES TO OBTAIN QUICK APPROVAL FOR INSTALLING SERVICE CONNECTIONS ON STH R/W. BHO RETAINS ASCP'S AND SENDS LIST OF APPROVED COMPANIES & PERMIT NUMBERS TO REGION OFFICES. * COMPLIANCE: WISDOT ACTIONS TAKEN TO MONITOR AND RESOLVE NON-COMPLIANT UTILITY INSTALLATIONS AND ENFORCE LAW. TYPICALLY INCLUDES CORRESPONDENCE FILES -- LETTERS TO PROPERTY OWNERS RELATED TO NON-COMPLIANCE WITH PERMITTING REQUIREMENTS, ORDERS TO REMOVE OR MODIFY UTILITIES, APPEALS AND LITIGATION. 			
	<p>REGION OFFICES ISSUE MOST PERMITS. BHO ISSUES PERMITS FOR LONGITUDINAL INSTALLATIONS ON LIMITED-ACCESS HIGHWAYS (FREEWAYS AND EXPRESSWAYS), EXCEPTIONS TO THE UAP AND LONGITUDINAL PRIVATE UTILITIES THAT ALSO REQUIRE FHWA APPROVAL, AND CELLULAR INSTALLATIONS. OFFICIAL COPIES ARE MAINTAINED IN THE ISSUING OFFICE; AND REGION OFFICES ALSO RETAIN COPIES OF BHO-ISSUED PERMITS TO AID IN ISSUING</p>			

OTHER UTILITY PERMITS AND IN DEVELOPMENT OF IMPROVEMENT PROJECT PLANS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

APPROVE PERMITS REMAIN IN EFFECT AS LONG AS THE FACILITY IS OPERATED AND MAINTAINED. THE PERMIT RECORD IS NEEDED FOR ADMINISTRATIVE AND LEGAL PURPOSES FOR AS LONG AS THE FACILITY EXISTS. FOR ABANDONED UNDERGROUND UTILITIES, THE RECORD NEEDS TO BE RETAINED UNTIL THE FACILITY IS REMOVED- EITHER BY THE UTILITY OR VIA A HIGHWAY IMPROVEMENT PROJECT.

EVENT = DATA ENTERED AND DOCUMENTS SCANNED INTO ELECTRONIC FILING SYSTEM, OR FACILITY REMOVED.

00008000. STATE TRUNK HIGHWAY (STH) CONNECTION (DRIVEWAY) PERMITS AND CA EVT+3 DEST Y

THESE PERMITS ARE REQUIRED UNDER SS 86.07(2) WHEN WORK IS PERFORMED IN THE STATE TRUNK HIGHWAY (STH) RIGHT-OF-WAY (R/W) TO:

- * CONSTRUCT A NEW CONNECTION
- * REMOVE, RELOCATE, OR ALTER AN EXISTING CONNECTION ("ALTER" MEANS: WIDEN, PAVE, REPLACE CULVERT, HIGHWAY IMPROVEMENTS, ETC., INCLUDING CHANGE OF USE)
- * VALIDATE AN EXISTING UNPERMITTED CONNECTION (WHEN LEGAL)

A CONNECTION IS A DRIVEWAY, PUBLIC OR PRIVATE ROAD, OR RECREATIONAL TRAIL BETWEEN PROPERTY THAT ABUTS STH R/W AND THE STH ITSELF. A RECREATIONAL TRAIL MAY ALSO BE LOCATED LONGITUDINALLY ON STH R/W. REQUIREMENTS FOR THE CONSTRUCTION, OPERATION AND MAINTENANCE OF STH CONNECTIONS UNDER WISDOT JURISDICTION ARE SPECIFIED IN WIS ADM RULE TRANS 231 AND A COMPREHENSIVE POLICY, I.E. HIGHWAY MAINTENANCE MANUAL CHAPTER 91, IN THE BUREAU OF HIGHWAY OPERATIONS (BHO).

REGION OFFICES ISSUE AND MAINTAIN ALMOST ALL STH CONNECTION PERMITS, AND BUREAU OF HIGHWAY OPERATIONS MAY ISSUE PERMITS. REGION OFFICES RETAIN COPIES OF BHO-ISSUED PERMITS TO AID IN ISSUING OTHER STH CONNECTION PERMITS ISSUED, INCLUDING SUPPORTING DOCUMENTATION, CREATE .PDF ELECTRONIC VERSIONS AND STORE IN HAMS. RECORDS INCLUDE THE FOLLOWING MATERIALS SUBMITTED ON PAPER OR ELECTRONICALLY TO THE REGIONAL OFFICE RESPONSIBLE FOR THE COUNTY WHERE THE CONNECTION WILL BE LOCATED:

- * COMPLETED APPLICATION / PERMIT FOR CONNECTION TO STATE TRUNK HIGHWAY (FORM DT1504 OR EQUIVALENT) AND RELATED CORRESPONDENCE
- * LOCATION SKETCH (OPTIONAL FORM DT1248 STH CONNECTION LOCATION SKETCH MAY BE USED)
- * DESIGN DETAILS (DIMENSIONS, TYPE/SIZE OF CULVERTS, MATERIALS, SURFACE GRADES, ETC.)
- * COPY OF THE PROPERTY DEED
- * COPY OF A CERTIFIED SURVEY MAP (IF APPLICABLE)
- * EVIDENCE OF A LAND DIVISION (IF APPLICABLE)
- * PROOF OF AUTHORITY TO APPLY FOR PERMIT (IF NOT PROPERTY OWNER), E.G. COPY OF "OFFER TO PURCHASE PROPERTY"
- * OTHER SUPPORTING DOCUMENTATION (CORRESPONDENCE, MAPS, ETC.)
- * COMPLIANCE: ACTIONS TAKEN TO MONITOR NON-COMPLIANT HIGHWAY ACCESS AND ENFORCE THE LAW, INCLUDING LETTERS TO PROPERTY OWNERS RELATED TO NON-COMPLIANCE WITH PERMITTING REQUIREMENTS, ORDERS TO REMOVE OR MODIFY DRIVEWAYS, APPEALS AND LITIGATION.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

AN STH CONNECTION PERMIT REMAINS IN EFFECT AFTER ISSUANCE UNTIL CANCELLATION BY THE PROPERTY OWNER OR LOCAL AGENCY, EXPIRATION OF A TEMPORARY PERMIT DATE, EXPIRATION OF A CONSTRUCTION COMPLETION DATE WITHOUT THE CONNECTION BEING CONSTRUCTED, OR REVOCATION BY WISDOT. HAS ONGOING VALUE BEYOND THAT DATE.

EVENT = DATA ENTERED AND SCANNED INTO HAMS BY REGION OFFICES)

00009000. OUTDOOR ADVERTISING SIGN PERMIT APPLICATIONS - APPROVED FILES EVT+10 DEST N

A PERMIT IS REQUIRED TO ERECT AN OUTDOOR ADVERTISING SIGN ON PRIVATE LAND THAT IS VISIBLE FROM A STATE OR FEDERAL HIGHWAY. THE PERMIT STAYS IN EFFECT AS LONG AS THE SIGN CONTINUES TO MEET LEGAL REQUIREMENTS.

KEY SIGN DATA IS ENTERED INTO THE OASIS DATABASE. RECORDS IN THIS SERIES INCLUDE:

- * OUTDOOR SIGN INSTALLATION APPLICATION AND PERMIT (FORM DT1680 OR EQUIVALENT), SUPPORTING CORRESPONDENCE, APPROVAL CONDITIONS, GRAPHICS, SITE DETAILS, SKETCHES, ETC.
- * SUPPLEMENTAL REPORTS AND FIELD NOTES CREATED DURING THE APPLICATION REVIEW.

THE BUREAU OF HIGHWAY OPERATIONS MAINTAINS THE OFFICIAL APPROVED PERMIT. RECORDS NEED TO BE RETAINED FOR MONITORING PURPOSES OVER TIME EVEN AFTER A SIGNED IS REMOVED.

NOTE: A CORRESPONDING, UNIQUE RECORD IS CREATED IN THE OASIS DATABASE WHEN A PERMIT IS ISSUED.

RETENTION: EVENT+10 AND DESTROY: EVENT = SIGN REMOVED, PERMIT TERMINATED, AND TERMINATION SUMMARY DATA ENTERED INTO OASIS.

00009A00.	<u>REGION OUTDOOR ADVERTISING CONFORMING SIGN FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Region Outdoor Advertising Conforming Sign Files: Regional sign coordinators create and maintain files to monitor individual outdoor advertising signs within their jurisdiction and assure compliance with laws and requirements. Records may include:

- " Copies of the Outdoor Sign Installation Application and Permit
- " Reports from the OASIS database such as an individual single view sign report or a sequential list of signs along a route to be inventoried.
- " Coordinator communications with sign owners and/or landowners including notices of non-compliance, enforcement actions, follow-up letters, memos, e-mails and notes documenting telephone calls.
- " Communications with BHO verifying sign removal, owner change, etc.
- " Photos, graphics, layouts, sketches, field notes, etc. (may be scanned into OASIS system.)

Official Copy: Region - Retention: Event + 5 years after permit terminated and sign removed and destroy.

00009B00.	<u>OUTDOOR ADVERTISING SIGN PERMIT APPLICATIONS - DENIED FILES AND</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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Regional sign coordinators maintain denied sign applications and records of illegal signs. Records in this series include:

- * Outdoor Sign Installation Application and Permit (Form DT1680), supporting correspondence, photos, graphics, plan layouts, maps, location maps, etc.
- * Notes on the denial decision, the denial notice, and supporting documentation specifying reasons for denial of permit.
- * Notice to owners of illegal signs and supporting materials, e.g., photos, graphics, sketches, location maps, sign information, and correspondence with landowners.

Denied applications and illegal signs often recur over several years. Correspondence history is used to track repeat offenders and persistent sign applications. Files document previous decisions and assure consistent actions over time. Records are filed by county, by highway. Denied applications and illegal sign records may be in separate or combined files.

Official Copy: Region Sign Coordinator - Retention: Event + 20 years after date permit denied/illegal sign removed and destroy.

00010000.	<u>TRAFFIC SIGNAL & ELECTRICAL PERMITS AND REPORTS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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WisDOT issues permits/agreements to local units of government regarding highway traffic signals such as permits for driveways, signals, flashers, highway lighting, and advertising signs on interstate highways.

Permits need to be retained for as long as the permit is granted, until the date the permit terminated OR the device is removed.

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

- Permits are issued for Flashing Beacons, Intersection controls and In-Roadway Warning Lights
- Related correspondence
- Supporting documentation

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Note: Official records from 1969-1999 currently exist in microfilm. Until digitized, they will be the official record and must be retained until the retention period is met.

Supersedes RDA 00020-000 - Local Government Traffic Signal & Electrical Permits and Reports - Microfilm from 1969 -1999.

EVT + 4 yrs = date permit is terminated or device is removed; destroy

00011A00.	<u>DESIGN STUDY REPORTS (DSRS) & EXCEPTION TO STANDARDS REPORTS</u>	<u>EVT+40</u>	<u>DEST</u>	<u>Y</u>
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THE DSR IS A MAJOR DELIVERABLE THAT THE ENGINEERING CONSULTANT GENERATES DURING A HIGHWAY IMPROVEMENT DESIGN PROCESS FOR A PROJECT ON THE STATE TRUNK HIGHWAY (STH) SYSTEM. THE DSR IS USED TO DETERMINE SPECIFICATIONS FOR THE LET CONSTRUCTION PROJECT AND ARRIVE AT A FINAL DESIGN. INCLUDES:

- DESIGN STUDY REPORT (DSR): SUMMARY REPORT DOCUMENTS CONCEPTUAL, INVESTIGATIVE PROCESSES USED TO DETERMINE DESIGN COMPONENTS FOR AN IMPROVEMENT PROJECT.
- EXCEPTION TO STANDARDS REPORT (ESR) FOR STATE TRUNK HIGHWAY (STH) IMPROVEMENT PROJECTS: WISDOT REQUESTS APPROVAL TO CONSTRUCT A PROJECT THAT CONTAINS PARTICULAR FEATURES THAT DO NOT MEET CURRENT DESIGN CRITERIA. INCORPORATED INTO THE DSR.

RECORDS PROVIDE DESIGN INFORMATION, DECISIONS AND SUPPORTING INFORMATION, JUSTIFICATIONS FOR DECISIONS MADE, WHETHER APPROVED OR DENIED, AND THE BASIS FOR EXCEPTIONS TO STANDARDS. CENTRAL OFFICE BUREAU OF PROJECT DEVELOPMENT (BPD) APPROVES OR DENIES.

RETENTION: EVENT (FINAL PROJECT COST STATEMENT) + 40 YEARS AND DESTROY CONFIDENTIAL

00014000.	<u>TRADAS AUTOMATED VEHICULAR TRAFFIC DAILY DATA</u>	<u>CR+15</u>	<u>DEST</u>	<u>N</u>
<p>WISDOT COLLECTS AUTOMATED VEHICULAR TRAFFIC COUNT DATA ON A THREE-YEAR CYCLE, WITH ONE THIRD OF THE COUNTIES IN THE STATE BEING RECOUNTED EACH YEAR. WISDOT USES TRADAS PROPRIETARY SOFTWARE. THEY SYSTEM POLLS DATA FROM REMOTE DATA COLLECTION SITES USING DIAL UP CONNECTIONS. DATA COLLECTED INCLUDES:</p> <ul style="list-style-type: none"> - VOLUME DATA: CONTINUOUS AND SHORT TERM DETAIL AND ESTIMATES OF AADT, WEEKDAY, WEEKEND, AND INDIVIDUAL DAY OF WEEK - VEHICLE CLASSIFICATION - SYSTEMATIC AND SITE SPECIFIC ESTIMATES OF THE PERCENT OF TRAFFIC FOR EACH OF THE 13 FEDERAL VEHICLE CLASSIFICATIONS. - SPEED - AVERAGE SPEED, 85TH PERCENTILE, PERCENTS EXCEEDING VARIOUS THRESHOLD SPEEDS. - WEIGH-IN-MOTION (WIM): AVERAGE WEIGHT AND AXLE LOADING. <p>THIS RECORDS SERIES COVERS</p> <ul style="list-style-type: none"> - TRADAS DAILY DETAILED DATA - TRADAS AUTOMATED VEHICULAR DETAIL - DAILY SUMMARY <p>DAILY DATA HAS ONGOING VALUE TO THE DEPARTMENT FOR TRAFFIC FORECASTING, TRANSPORTATION SYSTEMS PLANNING, HIGHWAY MAINTENANCE, RESERACH AND STATISTICAL INFORMATION AND MORE. DATA SERVES MULTIPLE TRANSPORTATION FUNCTIONS: HIGHWAY PROJECT DEVELOPMENT, PAVEMENT, STRUCTURES, ETC.</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM.</p> <p>RETENTION: CREATION + 15 YEARS AND DESTROY.</p>				
00023000.	<u>TRADAS AUTOMATED VEHICULAR MONTHLY & ANNUAL DATA</u>	<u>CR+50</u>	<u>DEST</u>	<u>N</u>
<p>THIS RECORDS SERIES INCLUDES MONTHLY AND ANNUAL SUMMARY VEHICULAR STATISTICS AND REPORTS GENERATED BY TRADAS AND MAINTAINED IN TABULAR FORMAT IN THE TRADAS ORACLE DATABASE. INCLUDES:</p> <ul style="list-style-type: none"> - MONTHLY TRADAS SUMMARY DATA: DATA IS SUMMARIZED MONTHLY FOR PERMANENET SENSORS - ANNUAL AVERAGE DAILY TRAFFIC (AADT) SUMMARY DATA: THE TRADAS SYSTEM APPLIES NECESSARY FACTORS TO RAW TRAFFIC DATA COUNTS TO AND PRODUCE AN ESTIMATE OF ANNUAL AVERAGE DAILY TRAFFIC (AADT). INCLUDES DATA COLLECTED CONTINUOUSLY FOR WEEKDAYS AND WEEKENDS (AAWET) <p>LONG-TERM RETENTION: THIS DATA HAS VERY LONG-TERM VALUE FOR TRANSPORTATION PLANNING, OPERATIONS AND WISDOT USINESS ADMINISTRATION.</p> <p>DATA IS USED FOR RESEARCH AND STATISTICAL PURPOSES.</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM.</p> <p>RETENTION: CREATION + 50 YEARS AND DESTROY</p>				
00028000.	<u>ANNUAL AVERAGE DAILY TRAFFIC (AADT) COUNT MAPS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
<p>THE DATA MANAGEMENT SECTION ENTERS AADT VOLUMES ON COUNTY AND CITY DETAIL MAPS. REGIONS REVIEW BEFORE MAPS ARE FINALIZED. MAPPING DATA WAS PREVIOUSLY IN CADDs AND IS NOW UPDATED IN GIS.</p> <p>THIS RECORDS SERIES COVERS THE ANNUAL MAPS, MAINTAINED IN THE DATA MANAGEMENT SECTION IN ELECTRONIC (CADDs OR GIS) FORMAT FOR EASE OF UPDATING.</p> <p>NOTE: MAPS ARE PUBLISHED WITH AADT TABULAR DATA, BY COUNTY IN THE ANNUAL WISCONSIN HIGHWAY TRAFFIC VOLUME DATA PUBLICATION AND ALSO PUBLISHED IN PDF FORMAT ON THE DOTNET.</p> <p>THE GROUP ALSO CREATES:</p> <ul style="list-style-type: none"> - ANNUAL TRAFFIC MAP AND OTHER ANNUAL TRAFFIC DATA SUMMARIES. - AXLE AND SEASONAL ADJUSTMENT FACTOR MAP. <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM.</p> <p>RETENTION: EVENT (SUPERSEDED BY UPDATED MAP) + 5 YEARS AND DESTROY.</p>				
00034000.	<u>WISCONSIN HIGHWAY TRAFFIC VOLUME DATA REPORTS</u>	<u>CR+50</u>	<u>SHSW</u>	<u>N</u>
<p>WISDOT PROVIDES ANNUAL TRAFFIC VOLUME REPORTS TO THE FEDERAL HIGHWAY ADMINISTRATION (FHWA), AS REQUIRED BY SS 23 CFR 500 PART B, SECTIONS 201-204. REPORTS CONTAIN AVERAGE DAILY TRAFFIC (AADT) DATA AND RELATED MAPS, LISTED BY COUNTY. REPORTS INCLUDE:</p> <ul style="list-style-type: none"> - AUTOMATIC TRAFFIC RECORDER DATA (CONTINUOUS COUNT DATA) - WISCONSIN HIGHWAY TRAFFIC VOLUME DATA - WISCONSIN VEHICLE CLASSIFICATION DATA <p>REPORTS ARE SUBMITTED TO FHWA AND DISTRIBUTED AS PUBLIC DOCUMENTS. WISDOT ALSO PUBLISHES THESE ON THE DOTNET.</p> <p>LONG-TERM RETENTION: WISDOT MAINTAINS REPORTS FOR RESEARCH, STATISTICAL AND REFERENCE PURPOSES AND TO COORDINATE EFFORTS WITH FHWA OVER TIME. REPORTS PROVIDE INFORMATION THA TIS USEFUL FOR LONG -RANGE TRANSPORTATION PLANNING, PROJECT DEVELOPMENT, OPERATIONS AND WISDOT BUSINESS ADMINISTRATION.</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL</p>				

ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 RETENTION: CREATION + 50 YEARS AND TRANSFER TO WHS.

00039000.	<u>INTERNAL COMMUNICATIONS RECORDS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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These records consist of internal communication to the department's divisions, executive staff, management, or employees from the Office of Public Information or Affairs.

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

- Public Communication Reports (PCR)
- Department-wide memos to employees
- Media logs tracking documents
- Agency highlights

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Supersedes RDA 00039-AOO - Public Communications Report (PCR) Machine Readable.

EVT + 3 yrs = date of creation; destroy

00063000.	<u>STATE PLANNING & RESEARCH (SPR) ANNUAL WORK PROGRAM</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE STATE PLANNING AND RESEARCH PROGRAM (SPR) AUTHORIZES FEDERAL FUNDS FOR MULTIMODAL TRANSPORTATION PLANNING AND RESEARCH NEEDS, PER SS 23CFD 420, PART 420 PLANNING AND RESEARCH PROGRAM ADMINISTRATION, AND SS 23CFR450-- PART 450 PLANNING ASSISTANCE AND STANDARDS. DIVISIONS SELECT PROJECTS AND SPECIFY FUNDING ALLOCATIONS FOR SPR WORK (FUNDED WITH FHWA FUNDS, STATE FUNDS AND SOME LOCAL FUNDS). THE PLANNING SECTION, BPED DTIM COMPILES THE PUBLICATION, WISCONSIN DEPARTMENT OF TRANSPORTATION FEDERAL HIGHWAY ADMINISTRATION JOINT PARTICIPATING STATE PLANNING & RESEARCH WORK PROGRAM FOR THE FEDERAL FISCAL YEAR (OCT.1 - SEPT 30). IT IDENTIFIES: PART 1: PLANNING STUDY PROJECTS SELECTED FOR ELIGIBLE ACTIVITIES:

- ENGINEERING AND ECONOMIC SURVEYS AND INVESTIGATIONS.
- FUTURE HIGHWAY PROGRAMS, LOCAL PUBLIC TRANSPORTATION SYSTEMS
- DEVELOPMENT AND IMPLEMENTATION OF MANAGEMENT SYSTEMS
- STUDIES: HIGHWAY USAGE ECONOMY, SAFETY, ADN CONVENIENCE, DESIRABLE REGULATION AND EQUITABLE TAXATION

- ACTIVITIES RELATED TO PLANNING REAL-TIME MONITORING ELEMENTS

PART II: RESEARCH DEVELOPMENT AND TECHNOLOGY TRANSFER (RD & T) PROJECTS, SELECTED THROUGH THE DEPARTMENT'S RD&T MANAGEMENT PROCESS. WISDOT RESEARCH SECTION WILL DEVELOP SEPARATE RDAS.

PART III: FINANCIAL SUMMARY STATEMENT, PROJECT COST ESTIMATES, RESOURCES TO ACCOMPLISH THE OBJECTIVES OF THE WORK PROGRAM.

THIS RECORDS SERIES COVERS THE BPED UPDATEABLE VERSION OF THE FINAL DOCUMENT AND SIGNIFICANT BACKGROUND MATERIALS USED TO COMPILER IT FOR SUBMITTAL TO FHWA: WORK PLAN, TIME LINE AND CORRESPONDENCE USED TO SOLICIT INPUT AND COLLECT PLAN COMPONENTS

- STATUS AND PROGRESS REPORTS ON PLAN DEVELOPMENT
- CHANGES AND ALTERATIONS: FINANCIAL DATA, PROJECT OBJECTIVES, CHANGING PRIORITIES AND EFFECT ON PROPOSED WORK PLAN.
- FHWA COMMUNICATIONS, COPIES OF SUBMITTAL COVER LETTERS, RESPONSES

NOTE: THE ANNUAL WORK PROGRAM DOCUMENT IS DISTRIBUTED TO STATE LIBRARIES AND DOCUMENT CENTERS, AS A PUBLIC DOCUMENT UNDER S. SS 35.84, WIS. STATS. WISDOT ALSO SENDS COPIES TO INTERESTED PARTIES AND PUBLISHES CURRENT AND PAST PLANS ON THE DOTNET.

RETENTION: EVENT (SUPERSEDED BY UPDATED SPR FINAL PLAN) & DESTROY CONFIDENTIAL.

00069000.	<u>AUTOMATED TRAFFIC REORDER EQUIPMENT MAINTENANCE CASE FILE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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THE FIELD OPERATIONS UNIT, LOACTED AT TRUAX, INSTALLS, TESTS, AND MAINTAINS DOT-OWNED EQUIPMENT USED TO RECORD AND COLELCT TRAFFIC DATA. INCLUDES WEIGH-IN MOTION EQUIPMENT AND ALL OTHER COUNTERS, DEVICES AND EQUIPMENT INSTALLED AT SITES THROUGHOUT WISCONSIN. PERSONNEL REPAIR PEEK TRAFI-COMP 3 (TC3) TRAFFIC COUNTERS, AUTOMATIC DATA RECORDER (ADR) 2000 WIM RECORDERS, TURNING MOVEMENT COUNTER BOARDS (TITAN 64), JAMAR (TDC8), PAT DAW 100 AND 200 WIM DATA RECORDERS, AND MISCELLANEOUS AND DEVICES ASSOCIATED WITH TRAFFIC COUNTING. THIS SECTION ALSO TESTS TRAFFIC COUNTERS FOR ACCURACY BEFORE RETURNING THEM TO THE REGION.

RECORDS IN THIS SERIES PROVIDE AUTOMATIC TRAFFIC RECORDER (ATR) AND CONTROL STATION INSTALLATION, MAINTENANCE, SERVICING AND REPAIR DETAIL TO SUPPORT EQUIPMENT OVER TIME, INCLUDING:

- EQUIPMENT TECHNICAL DETAIL: W-TABLES, WIRING DIAGRAMS, NETWORK CHANGES, FACTOR SHEETS, REPAIR AND TESTING DOCUMENTATION, SERVICE REPORTS, ETC.
- MANUFACTURERS' INSTRUCTIONS AND LITERATURE, WARRANTY AND REPLACEMENT POLICIES,
- EQUIPMENT LOCATION DETAIL: ADT/PLAT/INTERSECTION/FACTOR GROUP MAPS AND AERIAL PHOTOS, STATION/REST AREA MAPS AND DESCRIPTIONS
- FIELD OPERATIONS PROCEDURES AND SCHEDULES FOR ATR DATA COLLECTION: VEHICLE CLASSIFICATION COUNT, AUTOMATIC TRAFFIC RECORDER, TRUCK WEIGHT STUDY AND TRAFFIC VOLUME COUNT ACTIVITIES. LOCATION AND,

FILES PROVIDE EVIDENCE THAT THE EQUIPMENT IS INSTALLED AND MAINTAINED APPROPRIATELY AND SUPPORTS THE ACCURACY OF DATA COLLECTED. THE FIELD APPROPRIATELY AND SUPPORTS THE ACCURACY OF DATA COLLECTED. THE FIELD OPERATIONS UNIT MAINTAINS INSTALLATION AND MAINTENANCE CASE HISTORY FOR AS LONG AS EACH DEVICE IS USED TO COLLECT VEHICULAR DATA.
RETENTION: EVENT (INSTALLED LIFE OF EQUIPMENT) + 3 YEARS AND DESTROY CONFIDENTIAL

00069A00.	<u>ATR EQUIPMENT INVENTORY LISTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE FIELD OPERATIONS UNIT, DATA MANAGEMEN SECTION, BSHP, DTIM MAINTAINS INVENTORY DATA ON ALL INSTALLED TRAFFIC EQUIPMENT COUNTERS, RECORDERS, AND DEVICES USED TO COLLECT VEHICULAR TRAFFIC DATA. DATA IS NEEDED TO TRACK, INSTALL, TEST, MAINTAIN, REPAIR AND MANAGE STATE DEVICES. INCLUDES:

- TYPE OF EQUIPMENT
- SERIAL NO., MANUFACTURER, MODEL NO., BRAND,
- APPLICABLE VERIFICATION (TESTING OR CALIBRATION) PROCEDURE
- INSTRUCTION MANUAL,
- LOCATION, RESPONSIBLE PARTY

WHEN PURCHASED AND INSTALLED. FIELD OPERATIONS ADDS EQUIPMENT TO ONGOING EQUIPMENT INVENTORY RECORDS LISTS. DATA IS UPDATED REGULARLY.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: EVENT (SUPERSEDED) AND DESTROY CONFIDENTIAL.

00071000.	<u>TRAVEL SURVEYS -- TRAFFIC FORECASTING</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THE DTIM TRAFFIC FORECASTING SECTION HELPS PLAN AND ANALYZE MAJOR TRANSPORTATION STUDIES, USUALLY WITH MANY STUDY SITES THAT CREATE A CORDON LINE THROUGH OR AROUND A MAJOR URBAN AREA. DATA IS COMPILED TO MODEL TRAVEL PATTERNS AND GUIDE DEVELOPMENT OF TRANSPORTATION IMPROVEMENTS AND DEVELOPMENT/EVALUTATION OF TRANSPORTATION ALTERNATIVES. OFTEN CALLED ORIGINATION AND DESTINATION STUDIES, THEY FORECAST TRAFFIC AND TRAVEL PATTERNS FROM A STATEWIDE OR AREA-WIDE PERSPECTIVE. DOT OR CONSULTANTS CONDUCT STUDIES OF TRAVEL PATTERNS IN A SPECIFIC LOCATION, USUALLY APRIL-NOVEMBER. INCLUDES DOCUMENTATION AND RESULTS FOR:

- BYPASS STUDIES: USED TO EVALUATE THE NEED FOR, AND ESTIMATE THE IMPACT OF, BUILDING A BYPASS AROUND A COMMUNITY.
- COST SHARING STUDIES, THE MOST COMMON TYPE OF TRAVEL STUDY: TO DETERMINE IF A LOCAL GOVERNMENT IS REQUIRED TO PROVIDE MATCHING FUNDS FOR A TRANSPORTATION PROJECT, I.E., IF A SIGNIFICANT NUMBER OF TRIPS USING THE FACILITY ARE OF LOCAL BENEFIT.
- MAJOR TRANSPORTATION MODULE STUDIES: TO DETERMINE HIGHWAY NEEDS IN A COMMUNITY OR AREA FOR THE NEXT 20 YEARS.
- TRIP DATA: PROVIDES TRAVEL CHARACTERISTICS AND PATTERN DATA FOR URBAN MODELS AND STATEWIDE PLANNING PURPOSES.

THE TRAFFIC FORECASTING SECTION MAINTAINS THE OFFICIAL COPY OF THESE SURVEYS, INCLUDING SELECTED SURVEY BACKGROUND INFORMATION DOCUMENTING SURVEY METHODOLOGY, INSTRUCTIONS, PROBLEMS ENCOUNTERED, NOTES, ETC. NEEDED FOR FUTURE REFERENCE.

RETENTION: EVENT (COMPLETION OF SURVEY) + 10 YEARS, DESTROY CONFIDENTIAL

00075000.	<u>ECONOMIC ANALYSIS FILE</u>	<u>CR+7</u>	<u>SHSW</u>	<u>Y</u>
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RECORDS SERIES INCLUDES MATERIALS RELATED TO ECONOMIC IMPACT STUDIES, COST ALLOCATION STUDIES AND TRANSPORTATION BUDGET DEVELOPMENT. INCLUDES RECORDS RELATED TO HARBOR ASSISTANCE PROGRAM AND COST-BENEFIT ANALYSES INCLUDING RAIL AND TRUCK STUDIES. THIS RECORDS SERIES PROVIDES ANALYTICAL DATA, COMPUTATIONS AND BACKGROUND INFORMATION FOR DOT TRANSPORTATION FUNDING.

RETENTION: CREATION + 7 YEARS AND TRANSFER TO WHS.

00078000.	<u>TRAFFIC FORECASTING FIELD DATA & FORMS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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FIELD DATA FOR TRAFFIC PROJECTION FORECASTING IS COLLECTED THROUGH ROADSIDE SURVEYS, INTERVIEWS AND POSTCARDS AND CONDUCTED EITHER BY WISDOT PERSONNEL OR BY CONSULTANTS AND CONTRACTORS. RECORDS IN THIS SERIES ARE WORKING COPIES OF COMPLETED FORMS, FIELD SHEETS, NOTES OR OTHER SOURCE DOCUMENTS CONTAINING RAW (UNFACTORED) DATA COLLECTED FOR ANY TYPE OF TRAVEL SURVEY OR TRAFFIC STUDY, INCLUDING ORIGINATION AND DESTINATION STUDIES AND REGION FORECAST PROJECTIONS. FIELD DATA COLLECTED FOR FORECASTING PURPOSES UNDERGOES A FACTORING PROCESS TO CONVERT IT TO 24-HOUR BASIS DATA AND THE FACTORED DATA IS ENTERED INTO THE SURVEY DATABASE (TAFIS) FOR ANALYSIS.

RETENTION: EVENT (ENTERED INTO DATA SYSTEM AND SURVEY COMPLETED) + 1 YEAR AND DESTROY CONFIDENTIAL.

00079000.	<u>TRAFFIC PROJECTION FORECAST WORK PAPERS - REGION REQUESTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THE TRAFFIC FORECASTING SECTION, BUREAU OF PLANNING IN DTIM COMPLETES 200 + TRAFFIC FORECASTS ANNUALLY FOR SPECIFIC HIGHWAY IMPROVEMENT PROJECTS. REGIONS SUBMIT TRAFFIC PROJECTION REQUESTS TO THE SECTION, SPECIFYING FORECAST LOCATION PARAMETERS. THE TRAFFIC FORECASTING SECTION MAINTAINS RECORDS TO DOCUMENT THE FORECAST PROJECTION REQUEST; PROVIDE BACKGROUND METHODOLOGY,

COMPILATION OF KNOWN INDICATORS, ANALYSIS, CALCULATIONS, AND NOTES, AND GENERATE THE TRAFFIC FORECAST REPORT. RECORDS MAY INCLUDE:

- REGION PROJECT REQUEST AND ATTACHMENTS,
- PEAK AND HOURLY FACTORS FOR HIGHWAY GEOMETRIC DESIGN;
- TURNING MOVEMENTS FOR INTERSECTION IMPROVEMENTS;
- TRAFFIC IMPACT ANALYSES (TIAS) OF MAJOR DEVELOPMENTS;
- SEASONAL FACTORING METHODOLOGY TO CONVERT 48-HOUR TRAFFIC COUNTS TO ESTIMATES OF AVERAGE ANNUAL DAILY TRAFFIC (AADT);
- HEAVY TRUCK CLASSIFICATION ESTIMATES FOR PAVEMENT DESIGN BASED ON HIGHWAY FUNCTIONAL CLASSIFICATION AND AADT.
- POPULATION, ECONOMIC INDICATORS AND VEHICLE REGISTRATION DATA.

FORECASTS PROVIDE TOTAL VOLUME PROJECTIONS EXTENDING 20-YEARS BEYOND THE ESTIMATED TIME OF CONSTRUCTION. THE SECTION MAINTAINS THIS SERIES FOR ONGOING ADMINISTRATIVE AND REFERENCE PURPOSES AND TO PROVIDE RESEARCH AND STATISTICAL INFORMATION TO FACILITATE FUTURE TRAFFIC PROJECTIONS, REGIONAL AND STATEWIDE.

RETENTION: EVENT (PROJECTION COMPLETION DATE) + 10 YEARS AND DESTROY CONFIDENTIAL

<u>00094000.</u>	<u>ENGINEERING CONSULTANT CONTRACT CLAIM CASE FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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POLICIES FOR RESOLVING ENGINEERING CONSULTANT CONTRACT CLAIMS ARE SPECIFIED THE FACILITIES DEVELOPMENT MANUAL (FDM) PROCEDURE 8-25-25: CONSULTANT CONTRACT CLAIMS AND DISPUTES, RECORDS IN THIS SERIES DOCUMENTS STEPS TAKEN DURING THE RESOLUTION PROCESS WHEN / IF A CONSULTANT HAS A DISPUTE WITH THE DEPARTMENT. RECORDS AT EACH STEP DETAIL THE ISSUES DISPUTED AND WRITTEN DECISIONS MADE AND REASONS AT EACH REVIEW AND APPEAL LEVEL.

1. CLAIMANT CONTRACTOR (PRIME CONSULTANT CONTRACTOR OR FIRST TIER SUBCONTRACTOR) NOTIFIES WISDOT OF A DISPUTE. I.E., UNFORSEEN OR CHANGED CONDITIONS THAT MAKE PART OF THE CONTRACT NULL AND VOID, WORK THAT EXCEEDS THE ORIGINAL TERMS AND CONDITIONS OF THE CONTRACT, AN OUTSTANDING COST RECOVERY ISSUE OR POTENTIAL ERROR / OMISSION REGARDING THE DESIGN OR CONSTRUCTION OF THE TRANSPORTATION PROJECT. NOTICE OF INTENT TO FILE A CLAIM AMY BE INCLUDED. RECORDS AT THIS LEVEL INCLUDE CORRESPONDENCE,, ETC.
 - CLAIMS SETTLED AT THE REGIONAL LEVEL #1: REGION HAS OFFICIAL COPY
 2. REGIONS CONDUCT UP TO THREE LEVELS OF CLAIM REVIEW INCLUDING STAFF DIRECTLY INVOLVED: (1) WISDOT REGION PROJECT MANAGER (PROJECT LEADER OR PROJECT ENGINEER);(2) REGION PROJECT DEVELOPMENT SECTION CHIEF; AND (3) REGION DIRECTOR REVIEW. STAFF DOCUMENT THE CLAIM / DISPUTE IN WRITTEN DESCRIPTIONS OF THE CLAIM / DISPUTE WITH SUPPORTING FACTS, INCLUDING ANY IMMEDIATE ACTION TAKEN TO REDUCE ADDITIONAL CLAIM / DISPUTE OR ERROR COSTS. FULL DOCUMENTATION INCLUDES ALL DECISIONS, DESCRIPTIONS OF WORK, PHOTOGRAPHS, RECORD OF LABOR, MATERIALS AND EQUIPMENT. IF DISPUTE REMAINS UNRESOLVED, STAFF PREPARE A REPORT INCLUDING ALL DOCUMENTATION AND A COMPLETE DESCRIPTION AND RESULTS OF PREVIOUS DISCUSSION / MEETING WITH THE CONSULTANT.
 - BUREAU LEVEL AND HIGHER: OFFICIAL COPY IN BPD, CENTRAL
 3. IF NOT RESOLVED AT THE REGION LEVEL, CONTRACTORS OR THE REGION MAY APPEAL IN WRITING DIRECTLY TO THE BUREAU OF FINANCIAL SERVICES, DITM.
 4. HEARING REVIEW PANEL, WISDOT CLAIMS GROUP
 5. ADMINSTRATOR APPEAL HEARING; FIANL WISDOT APPEAL OF THE HEARING PANEL DECISION
 6. ADDITIONAL APPEALS WISDOT CLAIMS REVIEW GROUP; OPTION TO USE STATE CLAIMS BOARD; OR FILE A LAWSUIT. WISDOT GENERAL COUNSEL MAY BE INVOLVED.
- OFFICIAL FILE LOCATED IN THE REGION FOR CLAIMS SETTLED AT THE REGION LEVEL AND IN THE BUREAU OF PROJECT DEVELOPMENT FOR CLAIMS THAT ARE APPEALED TO THE BUREAU LEVEL OR HIGHER.

EVENT = FINAL PROJECT COST STATEMENT

<u>00095000.</u>	<u>LET CONTRACT CLAIMS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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POLICIES AND PROCESS FOR RESOLVING CONTRACT CLAIMS BY LET BID CONTRACTORS ARE SPECIFIED IN WISDOTS CONSTRUCTION AND MATERIALS MANUAL PROCEDURE 2-2-160: CONTRACT CLIAIMS, AND STANDARD SPEC 105.13 OF THE CONTRACT. RECORDS IN THIS SERIES DOCUMENT STEPS TAKEN DURING THE RESOLUTION PROCESS. CLAIMS SETTLED AT THE REGIONAL LEVEL #1: THE OFFICIAL FILE FOR CLAIMS SETTLED IN THE REGION IS MAINTAINED IN REGION CENTRAL FILES. REGIONS MAY ALSO REFERENCE CLAIMS IN THE PROJECT DIARY FOR CONSTRUCTION. THE REVIEW PROCESS INCLUDES THESE STPES:

1. PROJECT LEVEL REVIEW: BUREAU OF RPROJECT DEVELOPMENT , REGION FILE INCLUDES:
 - * CLAIMANT CONTRACTOR (PRIME CONSULTANT CONTRACTOR OR FIRTS TIER SUBCONTRACTOR) WRITTEN NOTICE OF INTENT TO FILE CLAIM FOR EXTRA COMPENSATION SUBMITTED TO OVERSIGHT ENGINEER. MAY INCLUDE SUPPORTING DOCUMENTS, MAPS, ETC.
 - * CONTRACTOR CLAIM SUBMITTAL FORM SUBMITTED TO BUREAU OF PROJECT DEVELOPMENT CONSTRUCTION OVERSIGHT ENGINEER
 - * WRITTEN DECISION, ADDITIONAL CORRESPONDENCE COLLECTED IN THE ATTEMPT TO RESOLVE THE ISSUE AT THE PROJECT LEVEL WITHIN THE TERMS OF THE CONTRACT

LET CONTRACT CLAIMS -- BUREAU-LEVEL AND HIGHER: OFFICIAL COPY IN BPD, CENTRAL

2. ADMINSTRATIVE REVIEW: REGION CONSTRUCTION SECTION AND BPD STAFF. FILE INCLUDES:
 - * CONTRACTOR CLAIM DECISION APPEAL

- * PROJECT LEVEL REVIEW DECISION AND SUPPORTING DOCUMENTATION FILED.
- * DOCUMENTATION OF ADMINISTRATIVE REVIEW: CLAIM CORRESPONDENCE, MEETING NOTES, SUPPORTING FACTS, INCLUDING ANY IMMEDIATE ACTION TAKEN TO REDUCE ADDITIONAL CLAIM / DISPUTE OR ERROR COSTS, RECORDS OF LABOR, MATERIALS AND EQUIPMENT, ETC.
- * BUREAU OF PROJECT DEVELOPMENT DETERMINATION
- 3. ADMINISTRATOR'S CLAIM REVIEW PANEL REVIEW: ADDITIONAL MATERIALS INCLUDE: APPEAL FILED, DECISION AND SUPPORTING DOCUMENTS
- 4. WISDOT SECRETARY REVIEW: APPEAL FILED, DECISION AND SUPPORTING DOCUMENTS
- 5. STATE CLAIMS BOARD REVIEW OR OTHER STEPS MAY INCLUDE CONTRACTOR LEGAL ACTION AND WISDOT GENERAL COUNSEL CASE FILES.

EVENT = FINAL PROJECT COST STATEMENT

00096000.	<u>CONTRACT CLAIM DECISION TRACKING AND REFERENCE DATA</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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THE BUREAU OF PROJECT DEVELOPMENT (PROJECT SERVICES CHIEF) MAINTAINS SUMMARY INFORMATION ABOUT CONTRACT CLAIMS THAT ESCALATE TO THE BUREAU LEVEL OR HIGHER IN ELECTRONIC FORMAT. CURRENTLY AN ELECTRONIC (WORD-PROCESSING) COPY OF THE FINAL DECISION DOCUMENT IS STORED ON A FILE DRIVE. DOCUMENT MAY INCLUDE ENGINEERING CONSULTANT CONTRACT CLAIMS AND FOR LET CONTRACT CLAIMS. THE FILE IS USED FOR ADMINISTRATIVE AND REFERENCE PURPOSES. THE FILE INCLUDES:

- * CLAIMANT NAME AND CONTACT INFORMATION
- * PROJECT IDENTIFIERS: LOCATION, REGION, AND APPLICABLE CONTRACT
- * CLAIM SUBMITTAL DATE, DECISION SUMMARY AND DECISION DATES

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/RSB/CODE/ADM/ADM012.PDF) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = FINAL PROJECT COST STATEMENT

00097000.	<u>PUBLIC IMPROVEMENT LIEN CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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SS. 779.15, WIS STATS, PUBLIC IMPROVEMENTS; LIEN ON MONEY, BONDS, OR WARRANTS DUE THE PRIME CONTRACTOR; SPECIFIES RIGHTS AND PROCEDURES FOR ANY PERSON PROVIDING SERVICES OR MATERIALS DIRECTLY TO A PRIME CONTRACTOR PERFORMING WORK FOR THE DEPARTMENT. THOSE PROVIDING SERVICES OR MATERIALS DIRECTLY TO A PRIME CONTRACTOR FOR WORK ON A DEPARTMENT PROJECT ARE ENTITLED TO A LIEN ON PROJECT FUNDS. LIEN RIGHTS ARE AVAILABLE ON TO FIRST TIER SUBCONTRACTORS, SUPPLIERS AND SERVICE PROVIDERS WORKING DIRECTLY FOR PRIME CONTRACTORS. SECOND TIER SUBCONTRACTORS, SUPPLIERS AND SERVICE PROVIDERS - LIKE A SUPPLIER TO A SUBCONTRACTOR - DO NOT HAVE LIEN RIGHTS ON DEPARTMENT PROJECTS. LIEN CLAIMS ARE LIMITED TO FUNDS NOT YET PAID TO THE PRIME CONTRACTOR. A PROJECT DOES NOT HAVE TO BE COMPLETE TO FILE A LIEN. RECORDS INCLUDE:

- * NOTICE OF LIEN, SERVED UPON THE DEPARTMENT BY REGISTERED OR CERTIFIED MAIL TO BE ACCEPTED AND SERVED CONCURRENTLY UPON THE PRIME CONTRACTOR.
- * PRIME CONTRACTOR DISPUTE OF CLAIM FOR A PUBLIC IMPROVEMENT LIEN NOTICE, IF FILED ON WISDOT AND THE LIEN CLAIMANT WITHIN 30 DAYS AFTER SERVICE OF THE NOTICE OF LIEN.
- * WISDOT CLAIM PAYMENT OR OTHER DECISION
- * CLAIMANT OR PRIME CONTRACTOR ACTION BROUGHT WITHIN 3 MONTHS FROM ACTION DATE

EVENT = FINAL PROJECT COST STATEMENT.

00117000.	<u>HIGHWAY POLICY MANUALS AND HANDBOOKS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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THIS RECORDS SERIES COVERS FORMAL, APPROVED WISDOT POLICY MANUALS AND HANDBOOKS TO DESIGN, CONSTRUCT AND MAINTAIN WISCONSIN ROADWAYS. THEY SPECIFY STANDARDS, PROCEDURES AND TECHNICAL REQUIREMENTS FOR HIGHWAY DESIGN, CONSTRUCTION, MATERIALS, TECHNICAL SPECIFICATIONS, MAINTENANCE, AND TRAFFIC OPERATIONS; AND TRACK THE EARLY HISTORY OF STATE HIGHWAY POLICY REQUIREMENTS THROUGH SUBSEQUENT REVISIONS. WISDOT RETAINS A COMPLETE COLLECTION, AS PRINTED AND DISTRIBUTED IN PAPER OR AS ISSUED IN ELECTRONIC FORMAT. AFTER DOCUMENTS UNDERGO REVISION, OUTDATED VERSIONS ARE USED FOR COMPLIANCE, LITIGATION, OR HISTORICAL PERSPECTIVE PURPOSES. DOCUMENTS INCLUDE, BUT ARE NOT LIMITED TO:

- CONSTRUCTION & MATERIALS MANUAL (CMM): BPD
- FACILITIES DEVELOPMENT MANUAL (FDM): BPD
- HIGHWAY MAINTENANCE MANUAL BUREAU OF HIGHWAY OPERATIONS
- WISCONSIN STANDARD SPECIFICATIONS FOR HIGHWAY AND STRUCTURE CONSTRUCTION AND SPECIAL PROVISIONS (STSP) AND ASP: BPD

THE DOCUMENT EDITOR SHALL ENSURE THAT EACH ISSUE OF THE PARTICULAR DOCUMENT, INCLUDING OUTDATED VERSIONS, IS MAINTAINED AND PRESERVED. DOCUMENTS MUST ALSO BE MADE AVAILABLE IN PAPER OR ELECTRONIC FORMAT PER SS 35.83 WIS. STATS. VIA ONE OR MORE METHODS AS FOLLOWS:

- ELECTRONIC STATE PUBLICATIONS: FULFILL STATUTORY OBLIGATION TO PARTICIPATE IN WIS. DOCUMENT DEPOSITORY PROGRAM FOR MATERIALS IN ELECTRONIC FORMATS.
- WISDOT LIBRARY OR LIBRARY ARCHIVES: LIBRARY MAINTAINS HARD COPY (PAPER AND/OR CD) VERSION AND COORDINATES DISTRIBUTION OF COPIES TO DEPOSITORIES.
- WISDOT PROGRAM UNIT TECHNICAL REFERENCE COPIES: PROGRAMS MAY MAINTAIN ADDITIONAL COPIES FOR ONGOING TECHNICAL REFERENCE USE.

-DOTNET AND/OR DOT EXTRANET: ELECTRONIC DISTRIBUTION VIA WEB SITE.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 RETENTION: PERMANENT PROVISIONS SPECIFIED IN THESE DOCUMENTS IDENTIFY TRANSPORTATION PROJECT CONTRACTUAL TERMS, SPECIFICATIONS AND PROCEDURES FOR WHICH CONTRACTORS AND CONSULTANTS ARE LIABLE AND WITH WHICH THEY MUST COMPLY. MANUALS AND HANDBOOKS IDENTIFY POLICIES AND REQUIREMENTS OVER TIME AND HAVE ONGOING CONTRACTUAL COMPLIANCE, RESEARCH AND REFERENCE VALUES.

00118000.	<u>EDITOR'S POLICY MANUAL CONTENT CHANGE TRACKING RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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DOT REVISES HIGHWAY DESIGN, CONSTRUCTION & MAINTENANCE SPECIFICATION PUBLIC DOCUMENTS IN WHOLE OR IN PART REGULARLY; AND GENERALLY REISSUES DOCUMENTS IN ENTIRETY. EDITORS MAY USE PAPER AND/OR ELECTRONIC METHODS TO TRACK AND IDENTIFY CHANGES AND AMENDMENTS THAT ARE INCORPORATED INTO THE FINAL VERSION OF EACH DOCUMENT. TRACKING RECORDS PROVIDE A TRAIL OF DOCUMENT CHANGES OVER TIME AND FACILITATE FUTURE REVISIONS AND TIMELY DOCUMENT PUBLICATION. RECORDS ARE ALSO USED TO LOCATE INFORMATION; REFERENCE OUTDATED VERSIONS OF POLICY DOCUMENTS; IDENTIFY PARTICULAR POLICIES IN EFFECT AT THE TIME A PARTICULAR TRANSPORTATION PROJECT WAS UNDERTAKEN; OR DEFINE WHEN SPECIFIC CONTRACT TERMS AND CONDITIONS WERE IN EFFECT. RECORDS MAY INCLUDE:
 -NOTES, ANNOTATIONS, ANNOTATED TABLE OF CONTENTS OR OTHER MATERIALS THAT IDENTIFY SPECIFIC CONTENT, ADDITIONS, DELETIONS, AND REVISIONS; SUMMARIZED OR DETAILED CHAPTER, SECTION, OR NUMBERED PROCEDURE CHANGES.
 -COVER LETTERS AND TRANSMITTALS TO FEDERAL AGENCY (FHA) IDENTIFYING SPECIFIC CHANGES, ESPECIALLY IF/WHEN CHANGES ARE NOT ANNOTATED OR OTHERWISE IDENTIFIED IN THE FINAL REVISED DOCUMENT.
 -OTHER TYPES OF ATTACHEMENTS OR SUPPLEMENTARY MATERIALS THAT DETAIL CHANGES OR REFERENCE CONTENT REVISIONS, I.E., LOGS, SPREADSHEETS, LISTS.
 -RELEVANT COMMENTS, REQUESTED CHANGES, COMMUNICATIONS (CORRESPONDENCE, E-MAILS, ETC.) BETWEEN THE WISDOT AND THE FHA OR OTHER REVIEWERS; NOTICE OF APPROVAL IF REQUIRED.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 CONTENT CHANGE TRACKING RECORDS NEED TO BE RETAINED LONG-TERM TO FACILITATE LOCATING AND REFERENCING HIGHWAY POLICIES AND STANDARDS CONTAINED IN HIGHWAY DESIGN, CONSTRUCTION, MATERIALS, TECHNICAL SPECIFICATIONS , MAINTENANCE AND TRAFFIC OPERATIONS MANUALS AND HANDBOOKS. MANUALS AND HANDBOOKS HAVE ONGOING CONTRACTUAL COMPLIANCE, RESEARCH AND REFERENCE VALUES.
 RETENTION: EVENT (DOCUMENT FINALIZED) + 5 YEARS AND DESTROY

00119000.	<u>ROUTINE WORK PAPERS - HIGHWAY DESIGN, CONSTRUCTION & MAINTENANCE</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES ARE THE ASSIGNED EDITORS' AND AUTHORS' ROUTINE WORK PAPERS CREATED AND RECEIVED TO TRACK THE STATUS AND PROCESS OF DEVELOPING AND UPDATING TRANSPORTATION DESIGN, CONSTRUCTION AND MAINTENANCE MANUALS, GUIDELINES AND DIRECTIVES. THESE ROUTINE TYPES OF RECORDS MAY BE GENERATED IN PAPER OR ELECTRONIC (MS WORD, ACCESS, EXCEL, OR .PDF FORMATS OR AS E-MAIL MESSAGES). ROUTINE RECORDS, INCLUDING EXAMPLES LISTED BELOW, HAVE SHORT-TERM REFERENCE VALUE UNTIL THE PARTICULAR GUIDELINE OR POLICY DOCUMENT IS FINALIZED.
 -WORK PLANS, TIME LINES, STATUS REPORTS, SCHEUDLES, PROCEDURAL AND ADMINISTRATIVE RECORDS DEVELOPED TO REVISE, UPDATE OR CREATE NEW MANUALS OR GUIDELINES.
 -HANDWRITTEN NOTES, MESSAGES, RAW DATA, COMPUTATIONS, AND WORKING DRAFTS USED IN THE PROCESS OF DEVELOPING OR UPDATING GUIDELINES.
 -EDITORIAL COMMENTS AND SUGGESTIONS.
 -COPIES OF STUDIES, REPORTS, MATERIALS FROM OTHER STATES, ETC.
 -ROUTINE COMMENTS, NOTES, CORRESPONDENCE.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 THESE TYPES OF ROUTINE WORK PAPERS HAVE REFERENCE VALUE UNTIL THE PARTICULAR GUIDELINES IS FINALIZED.
 RETENTION: EVENT (DATE PROCEDURE, SECTION, CHAPTER, GUIDELINE IS FINALIZED) AND DESTROY.

00120000.	<u>REAL ESTATE PARCEL CONVEYANCE FILES</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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Records in this series document WisDOT highway right-of-way ownership and terms and conditions related to each parcel acquired. This series provides complete documentation of Wis DOT property rights. Items in this series include official documents recorded with county Register of Deeds offices.

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

- Awards of Damages
- Deed by Corporation
- Highway Easement
- Lis Pendens
- Permanent Limited Highway Easements

Persona! Representative Deed
 Quit Claim Deeds (both Real Estate and Utilities)
 Related correspondence
 Satisfactions of Mortgage, Partial Releases of Mortgage
 Temporary Limited Easement
 Trustee's Deeds
 Utility Conveyance of Rights in Land form
 Warranty Deeds (final proof of purchase)

Permanent retention justification: WisDOT has ongoing business needs to reference these records throughout the development of a highway project and beyond, as transportation plans and projects are updated over time. The business need for these records is for the duration of Wis DOT ownership of the right-of-way.

The official records in this series may exist in paper, electronic, or microfilm format in different regions and in the central office bureau and the retention will apply to the applicable official records format. When the paper or microfilm files are digitized, they will be kept until verified for quality control purposes and then destroyed.

Note: Includes records from the following now superseded RDAs: 00120-A- Real Estate Parcel Conveyance File - Microfilm and 00120-B Real Estate Parcel Conveyance File - Image.

EVENT = Permanent

<u>00129000.</u>	<u>CONSTRUCTION CONTRACT PROJECT DATA - FIT</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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WISDOT PERSONNEL IN THE FIELD ENTER ADDITIONAL CONSTRUCTION DATA (NOT COLLECTED WITH FIELDMANAGER) USING THE FIELD INFO TRACKING (FIT) COMPONENT OF THE CONTRACCT MANAGEMENT SYSTEM: FIT IS PROPRIETARY SOFTWARE (ATWOOD SYSTEM, VERONA, WI) TO TRACK CONTRACTOR PERFORMANCE: APPROVING PERIODS; WISDOT ACCEPTANCES: WARRANTY INFORMATION; AND CONSTRUCTION QUALITY INDEX (CQI) DATA RELATED TO PROJECT PERFORMANCE MEASURES.
 FIT DATA IS UPLOADED VIA FIELDNET TO THE BPD CONTRACT MANAGEMENT SYSTEM DATABASE, AND TRUNCATED DATA IS AVAILABLE IN THE CAS SUBSYSTEM. HOWEVER, PERSONNEL IN THE FIELD HAVE GREATER ACCESS TO DATA IN FIT AND FIELDMANAGER, SO THIS DATA IS RETAINED FOR CONVENIENCE OF REFERENCE THROUGHOUT THE COURSE OF THE CONSTRUCTION PROJECT AND FOR A PERIOD OF TIME AFTER CLOSE.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 RETENTION: EVENT (PROJECT FINAL COST STATEMENT) + 5 YEARS & DESTROY CONFIDENTIAL

<u>00132000.</u>	<u>ROADSIDE REST AREA MAINTENANCE (RAM) & OPERATIONS CASE FILE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT ROADSIDE MAINTENANCE SECTION IS RESPONSIBLE FOR OVERSEEING STATEWIDE REST AREA AND WAYSIDE OPERATIONS. THE DEPARTMENT CONTRACTS WITH LOCAL COMMUNITY REHABILITATION PROGRAMS (CRP'S) THAT EMPLOY PEOPLE WITH DISABILITIES, TO PROVIDE THE DAY-TO-DAY MAINTENANCE AT EACH REST AREA AND SOME WAYSIDES. A NON-PROFIT ORGANIZATION, REHABILITATION FOR WISCONSIN (RFW), CURRENTLY DIRECTS CRP'S AT EACH ROADSIDE FACILITY AND PROVIDES COPIES TO RFW PRGRAM MANAGER. RECORDS IN THIS SERIES INCLUDE:
 * CRP CONTRACTS AND AGREEMENTS
 * ROUTINE WORK ORDERS FOR MAINTENANCE: LIGHT BULB REPLACEMENTS, ETC.
 * INSPECTIONS, VISITATION REPORTS OR OTHER MONITORING REPORTS ON FACILITY MAINTENANCE ACTIVITIES CONDUCTED BY RFW PERSONNEL
 * MAINTENANCE AND OPERATIONS CORRESPONDENCE, INCLUDING COMPLAINTS OR PROBLEMS

EVENTS = DATE CREATED YEAR END

<u>00133000.</u>	<u>HIGHWAY FACILITY REST AREA MAINTENANCE (RAM) ANNUAL REPORT</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT REQUIRES EACH LOCAL COMMUNITY REHABILITATION PROGRAM (CRP) TO SUBMIT ANNUAL MAINTENANCE REPORTS TO REHABILITATION FOR WISCONSIN (RFW), THE CURRENT CONTRACTOR FOR REST AREA AND WAYSIDE MAINTENANCE. RFW SUBSEQUENTLY SUMMARIZES THESE REPORTS INTO ONE REPORT AND FORWARDS IT ON CD TO THE BHO. BHO MAINTAINS PAPER AND CD COPIES. RECORDS IN THIS SERIES INCLUDE THE FOLLOWING:
 * HIGHWAY FACILTY REST AREA MAINTENANCE (RAM) ANNUAL REPORT
 * CRP ANNUAL REPORTS AS SUBMITTED TO THE RFW
 * SIGNIFICANT BACKGROUND INFORMATION AND CORRESPONDENCE GENERATED DURING THE REPORTING PROCESS, ESPECIALLY RELATED TO SIGNIFICANT MAINTENANCE PROBLEMS

THE ANNUAL REPORT IS ALSO POSTED IN .PDF FORMAT TO THE RFW WEBSITE. ANNUAL REPORTS AND OTHER COMMUNICATIONS IS DESIGNED TO COMMUNICATE WITH THE PUBLIC SHOULD FOLLOW THE REQUIREMENTS OF THE DPI DEPOSITORY PROGRAM, WISCONSIN STATUTES SECTIONS 35.81 - 35.84.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = DATE CREATED YEAR END

<u>00134000.</u>	<u>ROADSIDE IMPROVEMENT SITE INVENTORY & TRACKING FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
<p>THE BUREAU OF HIGHWAYS MAINTAINS A DETAILED LIST OF ALL ROADSIDE IMPROVEMENT SITES IN A SPREADSHEET (MS EXCEL). IT IS AN INVENTORY OF SITES ORGANIZED BY COUNTY, WITH FACILITIES LISTED IN ORDER OF HIGHEST TYPE USE, AS FOLLOWS: WISCONSIN WELCOME CENTER, REST AREA, WAYSIDE, SCENIC OVERLOOK, TABLE SITE, PARKING TURNOUT, HISTORICAL MARKER, BOAT LANDING, LANDSCAPED AREA, WELCOME SIGN, PARK AND RIDE, TRUCK SALES. OTHER DATA ON THE SPREADSHEET INCLUDES SITE NUMBER, HIGHWAY NUMBER, LOCATION ACCORDING TO GPS COORDINATES, PRIMARY SITE TYPE, COMMENTS, COMMON OR LOCAL NAME OF THE SITE, SIZE IN ACRES, AMENITY DETAILS, MAINTENANCE RESPONSIBILITY (MAINTAINED BY REHABILITATION FOR WISCONSIN (RFW) SHELTERED WORKSHOPS, LOCAL COMMUNITY REHABILITATION PROGRAMS (CRP'S) OR COUNTIES. DATA IS CHECKED AND UPDATED EVERY 2 YEARS.</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM</p> <p>EVENT = SUPERSEDED BY UPDATED DATA</p>				
<u>00134A00.</u>	<u>SUMMARY OF ROADSIDE IMPROVEMENT SITES ANNUAL REPORT</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
<p>THIS RECORD SERIES CONSISTS OF REPORTS LISTING ROADSIDE FACILITIES SITES AND PROVIDING SUMMARY INFORMATION FOR EACH. REPORTS ARE GENERATED ANNUALLY (CURRENTLY FROM MS EXCEL SPREADSHEET) AND PROVIDE A SNAPSHOT SUMMARY OF ROADSIDE IMPROVEMENT SITE DATA, USUALLY SORTED BY TYPE OF SITE. THESE HAVE ONGOING REFERENCE VALUE.</p>				
<u>00134B00.</u>	<u>AD HOC ROADSIDE FACILITY OUTPUT REPORTS</u>	<u>CR+0/1</u>	<u>DEST</u>	<u>Y</u>
<p>ALL OTHER REPORTS GENERATED IN RESPONSE TO REQUESTS FOR INFORMATION OR ON AN AS NEEDED BASIS MAY BE RETAINED UNTIL NO LONGER NEEDED.</p>				
<u>00135000.</u>	<u>VERTICAL AERIAL PHOTO NEGATIVES</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
<p>RECORDS IN THIS SERIES ARE VERTICAL AERIAL PHOT NEGATIVES GENERATED FOR WISDOT SPECIFICALLY. VERTICAL AERIAL PHOTO NEGATIVES GENERATED FOR WISDOT SPECIFICALLY. VERTICAL AERIAL IMAGES ARE TAKEN FROM AN AIRCRAFT WHERE THE CAMERA DIRECTION IS AT RIGHT ANGLES TO THE GROUND BENEATH AND THE FACE OF THE FILM IS MORE OR LESS PARALLEL TO THE GROUND SURFACE. RECORDS IN THIS SERIES INCLUDE HIGHWAY AERIAL PHOTO FILE (OLD RDA 135): PHOTO NEGATIVES ARE GENERALLY 9" X 250' ROLLS. THESE ARE THE SOURCE MATERIALS TO CREATE CONTACT PRINTS, DIAPOSITIVES AND SCANS FOR STEREO MAPPING. NEGATIVES ARE FILED BY FILM AND ROLL NUMBER, CROSS-REFERENCED TO THE AERIAL MAP INDEX, OLD RDA 135A.</p> <p>PERMANENT JUSTIFICATION: AERIAL PHOTO IMAGES ARE USED TO PLAN AND DEVELOP HIGHWAY IMPROVEMENT PROJECTS AND HAVE ONGOING ADMINISTRATIVE AND LEGAL VALUE TO THE WISDOT. OUTDATED, ARCHIVED FILM AND IMAGERY IS USEFUL FOR HIGHWAY AND ABUTTING LAND ISSUES, ENVIRONMENTAL STUDIES, LAND MANAGEMENT, WETLAND IDENTIFICATION AND OTHER LAND USE PURPOSES. MAY ALSO MAY BE USED FOR PROPERTY DISPUTES, LITIGATION, OR LEGAL ACTIONS. USED BY WISDOT AND OTHER AGENCIES, PROFESSIONAL GROUPS AND THE GENERAL PUBLIC.</p> <p>RETENTION: PERMANENT</p>				
<u>00135A00.</u>	<u>AERIAL IMAGERY INDEX</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
<p>RECORDS IN THIS SERIES ARE CURRENT AND OLDER METHODS USED TO PROVIDE WISDOT AND INTERESTED PARTIES WITH SUFFICIENT INFORMATION TO LOCATE WISDOT AERIAL MAPS AND OTHER AERIAL IMAGERY PRODUCTS.</p> <p>INCLUDES:</p> <p>AERIAL IMAGERY INDEX: FILE IS MASTER INDEX (PAPER OR MYLAR) SHOWING THE LOCATION OF OPTICAL AERIAL IMAGERY INCLUDING:</p> <ul style="list-style-type: none"> * 1962 - 1999: WISDOT FLOWN AERIAL IMAGERY, INDICES ARE BASED ON MYLAR WISCONSIN COUNTY MAPS WITH MYLAR OVERLAYS. * 1937 - 1940: STATEWIDE AERIAL IMAGERY, INDICES ARE BASED ON LAMINATED PAPER WISCONSIN COUNTY MAPS WITH PHOTO CENTERS DEPICTED. * 1966 - 1967: STATEWIDE AERIAL IMAGERY, INDICES ARE BOUND PAPER LISTING TOWNSHIP, RANGE AND SECTION. * 1992 - 1993: STATEWIDE AERIAL IMAGERY, INDICES ARE BASED ON LAMINATED PAPER WISCONSIN COUNTY MAPS WITH PHOTO CENTERS DEPICTED. <p>INDICES IDENTIFY AERIAL IMAGERY SCALE, FLIGHT DATE, FILM NEGATIVE ROLL NUMBER AND EXPOSURE NUMBERS OF OPTICAL AERIAL IMAGERY. LOCATION CAN ALSO BE INDICATED BY COUNTY NAME AND IMAGE NUMBER.</p> <p>PHOTO CENTER COORDINATES INDEX: ASCII FILES CONTAIN THE COORDINATES OF THE CENTER OF THE EXPOSURE AND ARE GENERATED BY THE FLIGHT MANAGEMENT SYSTEM (CCNS OR EQUIVALENT). FILES ARE USED AS INPUT TO AERIAL IMAGERY INDEX AND ARCGIS DIGITAL IMAGERY INDEX.</p> <ul style="list-style-type: none"> * APPROX. 1979 -1997: CREATED FROM ANALYTICAL TRIANGULATION; * 1998 - 2007: CREATED BY CCNS * 2008 - CURRENT: CREATED BY TRACKAIR <p>DIGITAL AERIAL IMAGERY INDEX: WISDOT FLOWN AERIAL IMAGERY FROM APPROX. 1962 - CURRENT: PHOTO CENTER</p>				

COORDINATES COLLECTED DURING FLIGHT, UPLOADED TO THE ORACLE DATABASE AND VIEWED WITH ARCGIS. FILE IDENTIFIES IMAGERY SCALE, FLIGHT DATE, FILM NEGATIVE ROLL NUMBER AND EXPOSURE NUMBERS OF OPTICAL AERIAL IMAGERY AS WELL AS THEY SY_NAME (FILING CABINET REFERENCE IF MISSION WAS A MAPPING PROJECT). OBLIQUE AERIAL IMAGERY PAPER INDEX: INDEX OF OBLIQUE AERIAL IMAGERY OUTPUTS CREATED FROM 1972 TO CURRENT - LISTED BY COUNTY, PROJECT NAME, PROJECT LIMITS, DATE OF FLIGHT, AND EXPOSURE NUMBER. ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 PERMANENT JUSTIFICATION: INDEXING INFORMATION IS USED TO LOCATE RELATED IMAGERY AND MUST BE RETAINED FOR THE SAME TIME PERIODS.
 RETENTION: PERMANENT

<u>00139000.</u>	<u>MAPPING DIAPOSITIVES FILE</u>	<u>CR+25</u>	<u>DEST</u>	<u>N</u>
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THIS RECORDS SERIES COVERS 9" X 9" GLASS DIAPOSITIVES, 1/4" AND 1/8" THICK, AND 9" X 9" FILM DIAPOSTIVIES. DIAPOSITIVES MAY CONTAIN ANALYTICAL CONTROL INFORMATION THROUGH THE PUGGED (DRILLED) PROCEDURE. DIAPOSTIVIES ARE USED ON THE STEREO PLOTTER FOR PRODUCING TOPOGRAPHIC MAPS, PLANIMETRIC MAPS AND DTM DATA.
 RETENTION: CREATION + 25 YEARS AND DESTROY.

<u>00144000.</u>	<u>TRANSPORTATION PMP - PROJECT MANAGEMENT PLAN REPORT</u>	<u>EVT+40</u>	<u>DEST</u>	<u>Y</u>
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THE PMP IS A WEB-BASED APPLICATION THAT STORES PROJECT DATA IN AN ORACLE DATABASE. WISDOT PROJECT STAFF ENTERS SCOPE, BUDGET, SCHEDULE AND RESOURCE INFORMATION FOR WISDOT TRANSPORTATION IMPROVEMENT PROJECTS. PMP DATA (OVER 700 DATA ELEMENTS) IS SPECIFIC TO A SINGLE DESIGN GROUP, INCLUDING RELATED CONSTRUCTION PROJECTS. FIIPS DATA INITIATES PROJECTS IN PMP, AND PMP SHARES READ-ONLY DATA FROM STRUCTURES (HSIS), RAILROAD CROSSING (RCIS) AND UTILITIES (TUMS) SYSTEMS AND ACTIVELY SHARES DATA WITH MIPPS FOR REPORTING. DATA ELEMENTS IN THE PMP INCLUDE:
 - DESIGN PROJECTS: PROJECT ID, ROUTE, TITLE, SUBTITLE, REGION, AND COUNTY
 - COMMUNICATION: PROJECT TEAM MEMBERS, CONTACTS, APPROVAL STATUS, SNAPSHOTS.
 - SCOPE: DEFICIENCIES; DESIGN SEGMENTS; ENVIRONMENTAL; MAINTENANCE; PLANNING; PLANS- EXTRA; RAILROAD; REAL ESTATE; SOILS & PAVEMENTS; STRUCTURES; SURVEY & MAPPING; TRAFFIC; UTILITIES; UTILITIES-TUMS
 - BUDGET: DEFINES COST TO DELIVER A PROJECT, INCLUDING BASE BUDGET; C/E WORKSHEET; I/E EXPENSES; ASSOCIATED PROJECTS; DELIVERY ESTIMATE CALCULATOR.
 -SCHEDULE: TIME FRAME TO DELIVER PROJECT DESIGN, BASED ON DELIVERY ACTIVITIES: PROJECT START DATE, BEGIN PRELIMINARY DESIGN, BEGIN FINAL DESIGN, & PS&E DATE
 - REPORT MODULE: SCOPE, BUDGET AND SCHEDULE MODULES SUPPLY THE MAIN INPUT DATA FOR REPORTS: BASE GANTT SCREEN: FINAL DESIGN GANTT CHART FOR EACH ASSOCIATED LET PROJECT; BASEFINAL NON-LET GANTT CHART; AND PMP REPORT.
 - PROJECT NOTES: UNIQUE DESIGN FEATURES; MISCELLANEOUS ENTRIES; UNIQUE DECISIONS, ASSUMPTIONS; DETAILS THAT EXCEED THE SIZE OF OTHER COMMENT FIELDS.
 THIS RECORDS SERIES COVERS THE DETAILED PROJECT MANAGEMENT PLAN (PMP) FOR EACH HIGHWAY IMPROVEMENT PROJECT, CONSULTANT- DESIGNED OR DEVELOPED IN-HOUSE BY WISDOT PERSONNEL. THE PMP REPORT IS THE PRIMARY PROJECT SCOPING DOCUMENT AND DETAILED PROJECT MANAGEMENT PLAN USED THROUGHOUT THE LIFE OF A PROJECT. THE FINAL PMP REPORT ELECTRONIC SNAPSHOT OF DATA IS RETAINED FOR PROJECT CLOSE OUT REVIEW, AS A PROJECT REFERENCE TOOL, AND FOR SYSTEM REVIEW AND IMPROVEMENT PURPOSES.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE MANAGEMENT OF ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: <[HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf)> AND <[HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)>
 LONG-TERM RETENTION: USED FOR STATISTICAL AND RESEARCH PURPOSES. FINAL PMP REPORTS ARE RETAINED FOR ANALYTICAL AND ADMINISTRATIVE PURPOSES: TO MODEL FUTURE PROJECT PLANS, COMPARE AND CONTRAST PROJECTS BY LOCATION OF PROJECT TYPE, TO JUSTIFY ACTUAL START AND END DATES; IMPROVE OR REFINE PROCEDURES AND THE PMP SYSTEM.
 RETENTION: EVENT (FINAL PROJECT COST STATEMENT) + 40 YEARS AND DESTROY CONFIDENTIAL.

<u>00144A00.</u>	<u>PMP MILESTONE REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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PMP MILESTONE REPORTS ARE TRANSITORY WORKING DOCUMENTS THAT ARE UPDATED AND OVERWRITTEN MONTHLY THROUGHOUT THE PROJECT DESIGN PROCESS. THEY ARE SIMPLY "SNAPSHOTS IN TIME" ILLUSTRATING THE SCOPE, BUDGET AND PROJECT STATUS. MILESTONES INCLUDE SUCH KEY EVENTS AS:
 - PROJECT START DATE
 - SCHEDULED ACTIVITIES
 - PS&E DATE
 AT REGULAR INTERVALS WISDOT CREATES UPDATED MILESTONE REPORTS AND POSTS THEM ON THE TRANSPORTATION PROJECT MANAGEMENT SYSTEM (TPMS) WEB SITE FOR REVIEW. ITERIM REPORTS DO NOT HAVE ONGOING RETENTION VALUE.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 RETENTION: EVENT (SUPERSEDED) AND DESTROY CONFIDENTIAL

00145000.	<u>ROADWAY DRAINAGE HYDROLOGICAL & HYDRAULIC STUDIES AND DESIGN</u>	<u>EVT+25</u>	<u>DEST</u>	<u>Y</u>
<p>WISDOT AND THE ENGINEERING CONSULTANT PREPARE ROADWAY DRAINAGE STUDIES AND DESIGN CALCULATIONS PER FDM PROCEDURE 13-1-10. THE ROADWAY STANDARDS SECTION, BPD SETS DRAINAGE STANDARDS. EACH REGION MAINTAINS THE OFFICIAL COPY OF ROADWAY DRAINAGE HYDROLOGY AND HYDRAULIC STUDIES AND DESIGN CALCULATIONS. THIS RECORDS SERIES COVERS DRAINAGE HYDROLOGY AND HYDRAULIC STUDIES AND DESIGN CALCULATIONS INCLUDING BUT NOT LIMITED TO:</p> <ul style="list-style-type: none"> - UNDERPASS STORM SEWERES; - MAIN AND PRIMARY CHANNELS - CROSS DRAIN PIPE CULVERTS - SIDE DITCHES AND CHANNELS. - MEDIAN DITCHES AND CHANNELS-. - URBAN GUTTER, INLETS AND STORM SEWERS - <p>ROADWAY DRAINAGE STUDY DATA AND DESIGN CALCULATIONS INCLUDE BUT ARE NOT LIMITED TO:</p> <ul style="list-style-type: none"> - SUMMARY DATA TO DESIGN EACH DRAINAGE FACILITY AND VERIFY THE HYDROLOGY AND HYDRAULIC DESIGN OF ANY STRUCTURE AT A LATER DATE; - SPECIAL PROJECT COMMITMENTS: ENVIRONMENTAL, PUBLIC INVOLVEMENT; - COST CONSIDERATIONS, COMPATIBILITY WITH LOCAL FLOODPLAIN ZONING ORDINANCES, RISKS: ABUTTING PROPERTY DAMAGES; FLOODING; MOTORIST/HIGHWAY PROTECTION. - SPECIAL DESIGN CONSIDERATIONS: HYDRAULICALLY SENSITIVE AREAS, MAPPED FLOOD PLAINS, FISH PASSAGE, STORMWATER QUALITY, CORROSIVE SOILS AND UNIQUE HYDRAULICS. - HYDROLOGY ASSUMPTIONS INCLUDING DRAINAGE BASIN, RUNOFF COEFFICIENTS, SOILS, TOPOGRAPHY AND METHODOLOGY. - HYDRAULIC DESIGN: DETAILED FOR EACH CULVERT LOCATION, CHANNEL AND DITCH - STORM SEWER: GUTTERS, INLETS, STORMSEWER AND UNIQUE STRUCTURES. - HARD COPIES OF ALL OUTPUT FROM DRAINAGE SOFTWARE AND SPREADSHEET USED FOR DESIGN. <p>LONG-TERM RETENTION: RETENTION IS NEEDED BASED ON DESIGN YEAR FREQUENCY. TYPICALLY WISDOT WOULD SEE THE DESIGN YEAR FLOW AT LEAST ONCE DURING RETENTION PERIOD, AND WISDOT COULD OBTAIN ROADWAY DRAINAGE DATA AND CALCULATIONS IN CASE OF FLOODING IN THE FUTURE. ROADWAY DRAINAGE DATA AND CALCULATIONS ALSO HELP DESIGNERS DURING DESIGN OF FUTURE HIGHWAY RECONSTRUCTION AND EXPANSION PROJECTS</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM.</p> <p>RETENTION: EVENT (FINAL PROJECT COST STATEMENT) + 25 YEARS AND DESTROY.</p>				

00146000.	<u>FINAL ASLET PLAN DESIGN -- BPD IMAGE FILE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
<p>THE ASLET DESIGN IDENTIFIES THE TYPICAL ROAD PROJECT LOCATION AND PROJECT DETAILS TO DEFINE WHAT THE ROAD SHOULD LOOK. IT INCLUDES GEOMETRICS, DRAINAGE, CROSS SECTIONS, STANDARD DETAILS; SIGN PLATES, STRUCTURE PLAN, COMPUTER EARTHWORK, PROFILES, ELEVATION, CURVATURE AND OTHER DESIGN ELEMENTS; A COPY OF THE RIGHT-OF-WAY PLAT MAY BE INCLUDED IN THE ASLET PLAN. THE ASLET ALSO IDENTIFIES QUANTITIES, DETAILS, TRAFFIC CONTROL AND CONSTRUCTION STAGING, DRAINAGE, ENVIRONMENTAL IMPACT AND EROSION CONTROL, SIGNALS AND LIGHTING PLANS; POST PLAN WORK AND ADDENDA. THE BUREAU OF PROJECT DEVELOPMENT REVIEWS, REVISES AND FINALIZES THE REGION ASLET DESIGN. BPD PERSONNEL INCORPORATE ADDITIONAL PROJECT MATERIALS LISTED BELOW TO DEVELOP A BIDDABLE PLAN DOCUMENT; AND PLACE THE ASLET IN .PDF FORMAT ON A CENTRAL WISDOT SHARE DRIVE. THE RECORD INCLUDES:</p> <ul style="list-style-type: none"> - ASLET PLAN - AS MODIFIED BY BPD. - SPECIALS: PROPOSAL SPECIAL PROVISIONS (STSP) - RW CERTIFICATION FROM THE REGION - REAL ESTATE CERTIFICATION - PLAN LETTER <p>BPD MAINTAINS THE FILE THROUGHOUT THE PROJECT. DURING PROJECT CONSTRUCTION, THE ASLET PLAN MAY NEED TO BE CHANGED AND THE TERMS OF THE CONTRACT MODIFIED. REGION PERSONNEL PRINT OUT SPECIFIC ASLET PAGES AND MARK UP CHANGES. AT THE CLOSE OF THE PROJECT, THE FINAL MARKED-UP PLAN BECOMES THE ASBUILT PLAN DOCUMENT.</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM.</p> <p>RETENTION: EVENT (FINAL PROJECT COST STATEMENT AND ASBUILT FINALIZED) + 5 YEARS AND DESTROY.</p>				

00146A00.	<u>PRELIMINARY ASLET DESIGN FILE -- REGION CADD</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
<p>REGIONS MAINTAIN THE PRELIMINARY DESIGN ON A REGIONAL FILE SHARE IN CADD FORMAT USING CAICE OR OTHER CADD PRODUCT.</p> <p>REGIONS FORWARD THE DRAFT DESIGN TO THE BUREAU OF PROJECT DEVELOPMENT, CENTRAL OFFICE. BPD PERSONNEL ALTER THE PRELIMINARY ASLET AND PREPARE IT FOR INCORPORATION INTO THE CONSTRUCTION PROJECT PS&E (PLANS SPECIFICATIONS AND ESTIMATES) TO BE BID FOR CONSTRUCTION. PS&E = BPD-APPROVED ASLET PLAN (ON CADD CD) AND NARRATIVE SPECIFICATIONS FOR PROPOSED HIGHWAY WORK. THE CLEANED UP LET FILE IS PLACED ON A SHARED DRIVE AND BECOMES THE BIDDABLE DOCUMENT. REGIONS RETAIN THE PRELIMINARY ASLET UNTIL BPD PREPARES THE ASLET FOR BIDDING.</p>				

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 RETENTION: (SUPERSEDED BY BPD FINAL ASLET) AND DESTROY.

<u>00146B00.</u>	<u>FINAL ASLET DESIGN FILE -- REGION CADD MODELS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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REGION DESIGNERS MAY CHOOSE TO MAINTAIN SELECTED ASLET DESIGNS AND DATA IN NATIVE ELECTRONIC FORMATS (GENERALLY CADD - MICROSTATION AND GIS) FOR MODELING PURPOSES, I.E., TO READILY AMEND WORK, GENERATE UPDATED DESIGNS OR REUSE DESIGN PLAN COMPONENTS THAT APPLY TO OTHER DESIGN PROJECTS. THIS RECORDS SERIES COVERS SELECTED DESIGN DATA AND PROJECT DESIGN WORK THAT DESIGNERS MAINTAIN IN NATIVE ELECTRONIC FORMAT FOR REUSE AND REDESIGN PURPOSES WHENEVER THE DATA HAS ONGOING VALUE TO MODEL AND FACILITATE FUTURE DESIGN STUDIES, DESIGN MODELS, AS LET DESIGNS, OR OTHER DESIGN ENGINEERING PURPOSES.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 RETENTION: EVENT (SUPERSEDED BY UPDATED DATA) AND DESTROY.

<u>00147000.</u>	<u>PROJECT OR CONTRACTOR ISSUE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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REGION CONTRACT SPECIALISTS MAY MAINTAIN SELECTED CONTRACTOR AND PROJECT PERFORMANCE EVALUATION RECORDS, PARTICULAR IF THERE WERE PARTICULAR ISSUES, COMPLAINTS, PROBLEMS OR CONCERNS RELATED TO THE CONTRACT OR THE PROJECT. THIS RECORDS SERIES IS MAINTAINED ON AN AS NEEDED BASIS AND IS NOT NECESSARILY RETAINED FOR ALL CONTRACTORS OR CONSTRUCTION PROJECTS.

RECORDS IN THIS SERIES INCLUDE PERSONNEL OR PROJECT EVALUATIONS; REVIEWS, COMMENTS, COMPLAINT AND ISSUE CORRESPONDENCE AND RESPONSES. THIS RECORDS SERIES HAS A LONGER-TERM VALUE AFTER THE PROJECT CLOSE (FINAL PROJECT COST STATEMENT) FOR DOT REFERENCE PURPOSES, AS POTENTIAL BACKGROUND FOR LEGAL ACTION, TO PROVIDE SUPPORTING INFORMATION FOR SUBSEQUENT BID LETTING AND SELECTION OF CONTRACTORS, ETC.

RETENTION: EVENT (FINAL PROJECT COST STATEMENT) + 10 YEARS AND DESTROY CONFIDENTIAL.

<u>00148000.</u>	<u>FIELD MANAGER CONSTRUCTION CONTRACT DETAIL</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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FIELDMANAGER TM IS PROPRIETARY WORKFLOW SOFTWARE (INFO TECH, GAINESVILLE FL) TO TRACK CONSTRUCTION CONTRACT MANAGEMENT AT THE FIELD OFFICE LEVEL AND SPECIFY QUANTITY INFORMATION TO PAY THE CONTRACTOR. WISDOT FIELD PERSONNEL ENTER AND UPDATE FIELD-GATHERED DATA, FORWARD TO THE PROJECT LEADER, UPLOAD AND INTERFACE WITH CENTRAL OFFICE TO INITIATE PAYMENTS TO CONTRACTORS, OBTAIN PAYMENT APPROVALS, AND SHARE DATA. THE REGION PROJECT LEADER, WITH CONTRACT SPECIALIST ASSISTANCE, TRACKS PROJECT COSTS AND COMPLIANCE WITH TERMS AND CONDITIONS OF THE CONSTRUCTION CONTRACT, APPROVES PAYMENTS AND MAINTAINS ELECTRONIC DATA. DATA ALSO PROVIDES A METHOD TO IDENTIFY AND LOCATE SOURCE DOCUMENTS IN CONSTRUCTION PROJECT FILES.

SELECTED FIELDMANAGER DATA MOVES TO PROJECT TRACKING, BUT THAT DATA IS NOT AS DETAILED OR READILY ACCESSIBLE TO FIELD PERSONNEL. FINAL (ADJUSTED) PAYMENT IS UPLOADED TO CAS AND ULTIMATELY RESIDES IN BAMS/DSS (SEE RDA 319, BID ANALYSIS MANAGEMENT SYSTEM/DECISION SUPPORT SYSTEM (BAMS/DSS): RDA 319 RETENTION = FINAL VOUCHER PROCESSED IN CAS + 50 YEARS AND DESTROY. SELECTED DATA IS MADE ACCESSIBLE TO AGENCIES INCLUDING THE FHWA, ALL REGION OFFICES AND CENTRAL DOT. SEPARATELY, CONTRACTORS HAVE ACCESS TO CERTAIN DATA VIA THE CONTRACTOR PAYMENT VIEWING SYSTEM. ESTIMATED PAYMENT DATA IS IDENTIFIED IN A CONSTRUCTION PAY ESTIMATE REPORT; BUT THERE MAY BE CHANGES AND ADJUSTMENTS TO FINAL PAYMENTS. ESTIMATED PAYMENT DATA IS PROPRIETARY, PER S. 84.01(32), WIS. STATS. GENERALLY, THIS RECORDS SERIES CONSISTS OF COPIES OF FINANCIAL ACCOUNTING DATA, CONTRACTOR PAYMENT DATA, INVOICES, ACCOUNT SUMMARIES, ETC. THAT REGIONS MAINTAIN IN FIELDMANAGER. IT PROVIDES FIELD PERSONNEL WITH EASY REFERENCE ACCESS TO DETAILED DATA THROUGHOUT THE PROJECT AND FOR A PERIOD AFTER CLOSED. NOTE: THIS RECORDS SERIES DOES NOT INCLUDE THE FINAL, OFFICIAL ELECTRONIC VERSION OF THE PROJECT DIARY RECORD.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: EVENT (PROJECT FINAL COST STATEMENT) + 5 YEARS & DESTROY CONFIDENTIAL.

<u>00150000.</u>	<u>CITY, VILLAGE, TOWN (CVT) MAPS - PAPER</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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THIS RECORDS SERIES COVERS CERTIFIED MAPS FROM ALL MUNICIPAL BOARDS SHOWING ALL STREETS, ROADS, BRIDGES AND OTHER INFORMATION UNDER THEIR JURISDICTION AS REQUIRED BY SS 86.302(1), WIS. STATS. CERTIFICATION WAS DONE ANNUALLY UNTIL 1990; BIENNIALY FROM 1990-1999 AND ANNUALLY AGAIN BEGINNING IN 2000.

WISDOT USES CVT MAPS, CERTIFIED MILEAGE STATEMENTS AND OTHER SUPPORTING MATERIALS TO APPORTION FEDERAL HIGHWAY SAFETY FUNDS AND STATE TRANSPORTATION AID PAYMENTS. RECORDS ARE ALSO USED IN ANNEXATIONS, JURISDICTIONAL TRANSFERS OR ROAD AUTHORITY AND FOR CONSTRUCTION/REALIGNMENT OF ROADS. MAPS PROVIDE THE STATE OFFICIAL SINGULAR GRAPHIC COMPILATION SHOWING CUMULATIVE AND HISTORICAL IMPACTS OF ADMINISTRATIVE AND JURISDICTIONAL CHANGES ON HIGHWAYS IN ALL WISCONSIN

MUNICIPALITIES.

MAPS ARE ALSO USED AFTER EACH DECENNIAL CENSUS TO REALIGN CONGRESSIONAL, STATE AND LOCAL DISTRICTS TO REFLECT POPULATION TRENDS. THEY PROVIDE BASE DATA FOR THE LEGISLATURE AND THE STATE CARTOGRAPHER TO REAPPORTION THE STATE INTO EQUAL VOTING DISTRICTS BY POPULATION. EACH MUNICIPALITY RETAINS A COPY OF THE MAP.

RETENTION: EVENT (CONVERTED TO ELECTRONIC IMAGE FORMAT) + 2 YEARS AND DESTROY.

00150B00.	<u>CITY, VILLAGE, TOWN (CVT) MAPS - IMAGE FILES</u>	<u>CR+100</u>	<u>SHSW</u>	<u>N</u>
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THE WISDOT MAINTAINS THE OFFICIAL COPY OF CERTIFIED MAPS FROM ALL MUNICIPAL BOARDS SHOWING ALL STREETS, ROADS, BRIDGES AND OTHER INFORMATION UNDER THEIR JURISDICTION IN ELECTRONIC IMAGE FORMAT. MAPS ARE CRITIFCAL RECORDS TO SUPPORT APPORTIONS OF FEDERAL HIGHWAY SAFETY FUNDS AND STATE TRANSPORTATION AID PAYMENTS.

LONG-TERM JUSTIFICATION: RECORDS HAVE LONG-TERM VALUE FOR ANNEXATIONS, JURISDICTIONAL TRANSFERS AND CONSTRUCTION/REALIGNMENT OF ROADS. THEY PROVIDE OFFICIAL GRAPHIC COMPILATION OF THE CUMULATIVE AND HISTORICAL IMPACTS OF ADMINISTRATIVE AND JURISDICTIONAL CHANGES ON HIGHWAYS IN ALL WISCONSIN MUNICIPALITIES. MAPS ARE ALSO USED AFTER EACH DECENNIAL CENSUS TO REALIGN CONGRESSIONAL, STATE AND LOCAL DISTRICTS TO REFLECT POPULATION TRENDS. THEY PROVIDE BASE DATA FOR THE LEGISLATURE AND THE STATE CARTOGRAPHER TO REAPPORTION THE STATE INTO EQUAL VOTING DISTRICTS BY POPULATION. EACH MUNICIPALITY RETAINS A COPY OF THE MAP.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: CREATION (YEAR OF MAP CREATION) + 100 YEARS AND TRANSFER TO WHS.

00151000.	<u>COUNTY HIGHWAY CERTIFIED MILEAGE LISTS - PAPER</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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WISDOT USES CERTIFIED MILEAGE LISTS, WITH MAPS AND OTHER INFORMATION, TO APPORTION FEDERAL HIGHWAY SAFETY FUNDS AND STATE TRANSPORTATION AID PAYMENTS. CERTIFICATION WAS DONE ANNUALLY UNTIL 1990; BIENNIALLY FROM 1990- 1999 AND ANNUALLY AGAIN BEGINNING IN 2000. PAPER RECORDS INCLUDE:

- * PART 1: CERTIFIED MILEAGE STATEMENT SHOWING TOTAL COUNTY JURISDICTIONAL MILES BY FUNCTIONAL CLASS EFFECTIVE JANUARY 1 ANNUALLY.
- * PART 2: SUMMARY OF COUNTYWIDE MILEAGE BY JURISDICTION AND FUNCTINAL CLASSIFICATION BY MUNICIPALITY.
- * PART 3: DETAILED MILEAGE LISTING BY ROAD NUMBER (TOWNS) AND ROAD NAME (CITIES/VILLAGES) BY JURISDICTION AND FUNCTIONAL CLASS BY EACH MUNICIPALITY. PART 3 SUBMITTED WITH MAPS AS PART OF MILEAGE CERTIFICATION REQUIRED PER SS 86.302(1), WIS. STATS.

RETENTION: EVENT (CONVERTED TO ELECTRONIC IMAGE FORMAT) + 2 YEARS AND DESTROY.

00151B00.	<u>COUNTY HIGHWAY CERTIFIED MILEAGE LISTS - ELECTRONIC</u>	<u>EVT+100</u>	<u>SHSW</u>	<u>N</u>
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WISDOT USES CERTIFIED MILEAGE LISTS, WITH MAPS AND OTHER INFORMATION, TO APPORTION FEDERAL HIGHWAY SAFETY FUNDS AND STATE TRANSPORTATION AID PAYMENTS. RECORDS IN THIS SERIES INCLUDE: PART 1: CERTIFIED MILEAGE STATEMENT SHOWING TOTAL COUNTY JURISDICTIONAL MILES SIGNED BY WISCONSIN COUNTY HIGHWAY COMMISSIONER; SUMMARY OF COUNTY-WIDE MILEAGE BY JURISDICTION AND FUNCTIONAL CLASSIFICATION BY MUNICIPALITY; AND DETAILED MILEAGE LISTING BY ROAD NUMBER (TOWNS) AND ROAD NAME (CITIES/VILLAGES) BY JURISDICTION AND CLASS BY EACH MUNICIPALITY.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: EVENT (CERTIFICATION YEAR) + 100 YEARS, TRANSFER TO WHS.

00152000.	<u>CERTIFIED COUNTY FOREST ROAD MAPS - PAPER</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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RECORDS IN THIS SERIES INCLUDE CERTIFIED MAPS SHOWING ALL COUNTY FOREST ROADS IN WISCONSIN THAT ARE OPEN AND USED FOR TRAVEL EFFECTIVE JANUARY 1 OF THE CERTIFICATION YEAR. CERTIFICATION WAS DONE ANNUALLY UNTIL 1990; BIENNIALLY FROM 1990-1999 AND ANNUALLY AGAIN BEGINNING IN 2000. MAPS CONTAIN COUNTY FOREST ROADS DESIGNATED IN THE COMPREHENSIVE COUNTY FOREST LAND USE PLAN AS APPROVED BY EACH COUNTY BOARD AND THE DEPARTMENT OF NATURAL RESOURCES (DNR), PER SS 86.315, WIS. STATS. THE WISDOT USES MAPS TO DETERMINE MILEAGE ELIGIBLE FOR STATE TRANSPORTATION AID FUNDS. ELIGIBLE ROADS MUCH MEET MINIMUM STANDARDS AS REQUIRED BY WIS. STATS. SS 82.50 FOR EACH CERTIFICATION PERIOD (ANNUAL OR BIENNIAL).

RETENTION: EVENT (CONVERTED TO ELECTRONIC IMAGE FORMAT) + 2 YEARS AND DESTROY.

00152B00.	<u>CERTIFIED COUNTY FOREST ROAD MAPS - IMAGE</u>	<u>EVT+100</u>	<u>SHSW</u>	<u>N</u>
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RECORDS IN THIS SERIES ARE IMAGE COPIES OF CERTIFIED MAPS SHOWING ALL COUNTY FOREST ROADS IN WISCONSIN THAT ARE OPEN AND USED FOR TRAVEL EFFECTIVE JANUARY 1 OF THE CERTIFICATION YEAR. MAPS CONTAIN COUNTY FOREST ROADS DESIGNATED IN THE COMPREHENSIVE COUNTY FOREST LAND USE PLAN AS APPROVED BY EACH COUNTY BOARD AND THE DEPARTMENT OF NATURAL RESOURCES (DNR), PER SS 86.315, WIS. STATS. THE WISDOT USES MAPS TO DETERMINE MILEAGE ELIGIBLE FOR STATE TRANSPORTATION AID FUNDS. ELIGIBLE ROADS MUST MEET MINIMUM STANDARDS FOR EACH CERTIFICATION PERIOD (ANNUAL OR BIENNIAL) AS REQUIRED BY SS 82.50, WIS. STATS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: EVENT (CERTIFICATION YEAR) + 100 YEARS AND TRANSFER TO WHS.

00153000.	<u>CONSTRUCTION PROJECT TRACKING</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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PERSONNEL IN BPD CENTRAL AND THE PROJECT MANAGER COLLECT THE FOLLOWING DETAIL AND SUMMARY DATA RELATED TO THE CONSTRUCTION PROJECT CONTRACT, USING THE PROJECT TRACKING COMPONENT OF THE CONTRACT MANAGEMENT SYSTEM. FIELDMANAGER AND FIT ALSO PROVIDE SELECTED DATA FOR THIS COMPONENT.

- CONTRACT SUMMARY DATA: SITE INFORMATION, PRECONSTRUCTION MEETING, LABOR DATA
- ASSOCIATED PROJECTS: EDIT PROJECT DETAIL
- STATUS: DATES, PROVIDING PERIODS, ECIP DATE, PERFORMANCE WARRANTY, FORMS.
- CONTRACT MODIFICATION DETAILS: FIELD MANAGER, ALSO STORED IN PROJECT TRACKING, MOVES ITEM QUANTITY, AMOUNT INFORMATION FOR PAYMENT
- ESTIMATE DETAIL - FROM FIELDMANAGER
- PERFORMANCE MEASURES: DESIGN QUALITY (DQI) IS DONE IN PROJECT TRACKING; CONSTRUCTION QUALITY (CQI) DATA PASSED FROM FIT TO PROJECT TRACKING - CAN BE USED TO DO PERFORMANCE EVALUATIONS ON THE CONTRACTOR.
- CONTACT INFORMATION: STAFF DETAIL
- CONTRACTORS DETAIL: LISTS PRIME CONTRACTOR AND SUBS
- RAILROAD INSURANCE - INDICATOR DATA ONLY
- RAILROAD INFORMATION: DATA IS MAINTAINED FOR RAILS AND HARBORS
- STRUCTURES DETAIL: REFERENCES OR DUPLICATES DATA IN HSIS
- PLANS & PROPOSALS: INDICATOR OF COPIES RECEIVED, DISTRIBUTED
- AS BUILT: DATE AND STATUS INFORMATION
- FIELD REPORTS: SUPPLEMENTAL CONTRACT AGREEMENT,
- INSPECTION OF MATERIAL - MISCELLANEOUS OR DUPLICATIVE OF MATERIALS MANAGEMENT OR STRUCTURES (HSIS) DATA

DATA COMPONENTS ARE MERGED. CERTAIN PROJECT DATA ULTIMATELY RESIDES IN THE CONSTRUCTION ADMINISTRATION SYSTEM (CAS) CAS CONTAINS OFFICIAL DATA FOR PAYMENT DISPUTES AND VERIFICATION. SELECTED FIELD DATA IS ULTIMATELY STORED IN BAMS/DSS (RDA 319). SEE BID LETTING AND CONTRACTING SCHEDULE.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADMO12.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: EVENT (PROJECT FINAL COST STATEMENT) + 5 YEARS AND DESTROY CONFIDENTIAL.
 EVENT= (PROJECT FINAL COST STATEMENT) + 5 YEARS AND DESTROY CONFIDENTIAL

00154000.	<u>CONSTRUCTION ADMINISTRATION (CAS) DATA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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CAS IS A COMPONENT OF THE TRSN*PORT CONTRACT MANAGEMENT SYSTEM THAT CONTAINS SELECTED DATA UPLOADED FROM FIELDMANAGER, FIT AND PROJECT MANAGEMENT. CAS ALSO CONTAINS THE DAILY DIARY AND IDR DATA. CAS DATA MAY ALSO BE USED TO CAPTURE AND POPULATE PROJECT TRACKING DATA ELEMENTS. CAS IS THE ULTIMATE REPOSITORY FOR CONTRACTOR PAYMENT DATA, AND IT PROVIDES BEST EVIDENCE FOR PAYMENT DISPUTES AND VERIFICATION RELATED TO THE LET CONSTRUCTION CONTRACT. CAS HAS THE MOST COMPLETE SET OF DATA RELATED TO THE CONSTRUCTION PROJECT IN ONE LOCATION.

NOTE: DATA IS NOT AN EXACT DUPLICATE OF FIELDMANAGER AND FIT DATA. PROJECT TRACKING AND CAS DATA ARE TRUNCATED.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADMO12.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT (PROJECT FINAL COST STATEMENT) + 10 YEARS AND DESTROY CONFIDENTIAL
 EVENT= (PROJECT FINAL COST STATEMENT) + 10 YEARS AND DESTROY CONFIDENTIAL

00161000.	<u>RAILROAD PROJECT HIGHWAY FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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WISDOT RAILS AND HARBORS SECTION AND REGION OFFICES RAIL SPECIALISTS COLLECT DETAILED RAILROAD PROJECT WORKING FILES AND MAINTAIN SUFFICIENT RECORDS TO DOCUMENT, ADMINISTER AND MONITOR EACH RAILROAD PROJECT AND COORDINATE ALL PHASES OF THE PROJECT WITH OTHER INVOLVED PARTIES.

WORKING FILES MAY INCLUDE:

- * REGION AND FIELD COORDINATION RECORDS,
- * TECHNICAL PROJECT DETAILS,
- * PROJECT ESTIMATES, BID LETTING AND CONTRACT INFORMATION,
- * TRANSMITTAL OF HIGHWAY PLANS TO THE RAILROAD,
- * RAILROAD PROJECT STATUS AND OTHER CORRESPONDENCE
- * RAILROAD PROPERTY VALUES AND ACQUISITION INFORMATION COPIES;
- * COORDINATION OF RAILROAD RELOCATION, HIGHWAY CROSSING AND ENCROACHMENT AGREEMENTS;
- * LIAISON EFFORTS BETWEEN REGIONAL STAFF, RAILROAD COMPANIES AND THE OFFICE OF THE COMMISSIONER OF RAILROADS; AND
- * COORDINATION OF RAILROAD PROJECT ACTIVITIES WITH OTHER STATES AND THE FEDERAL GOVERNMENT.

RETENTION: EVENT(PROJECT COMPLETION AND RECEIPT OF FINAL COST STATEMENT) + 6 YEARS AND DESTROY CONFIDENTIALLY

<u>00162000.</u>	<u>FORCEWORK AGREEMENTS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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THESE AGREEMENTS ARE USED WHEN STATE OR FEDERAL FUNDS ARE USED TO REIMBURSE A RAILROAD COMPANY FOR WORK PERFORMED WITH ITS OWN FORCES. SIGNATORIES INCLUDE RAILROAD, WISDOT AND ANY OTHER AGENCY OR GOVERNMENTAL UNIT THAT MIGHT HAVE MAINTENANCE RESPONSIBILITY FOR A HIGHWAY APPURTENANCE LOCATED ON THE RAIL PROPERTY FOR WHICH THE WORKFORCE IS NEEDED, E.G., CULVERT ALONG THE TRACE BUT UNDER THE ROADWAY, WHERE THE RAILROAD IS CONSTRUCTING A ROADWAY CROSSING AND INSTALLING SIGNALS.

RETENTION: EVENT (DATE AGREEMENT IS SUPERSEDED) + 1 YEAR AND DESTROY CONFIDENTIAL

<u>00163000.</u>	<u>PURCHASE DOCUMENTATION</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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WISDOT MAY ACQUIRE LAND FROM A RAILROAD FOR A TRANSPORTATION HIGHWAY PROJECT. THESE RECORDS ARE PART OF THE R/E ACQUISITION FOR RAILROAD REAL ESTATE WHEN DEVELOPING A HIGHWAY. IF/WHEN THE OFFER IS ACCEPTED, THE FINAL PURCHASE RESULT IS A PROPERTY DEED THAT IS LEGALLY RECORDED WITH THE COUNTY REGISTER OF DEEDS. THIS RECORD SERIES COVERS ONLY LIMITED RECORDS INCLUDING: PURCHASE OFFERS, LETTER TO PURCHASE THAT WISDOT SENDS TO THE RAILROAD TO INITIATE ACQUISITION AND, IN SOME CASES, SUBSEQUENT PURCHASE CORRESPONDENCE BETWEEN THE RAILROAD AND WISDOT. RECORDS NEED TO BE RETAINED UNTIL THE PROJECT IS COMPLETED, SINCE THE OFFICIAL DEED PROVIDES LONG-TERM EVIDENCE OF OWNERSHIP. THESE RECORDS REMAIN CONFIDENTIAL ONLY DURING THE NEGOTIATION PERIOD. THE DEED AND DEED'S INFORMATION ARE ALSO MAINTAINED IN WISDOT'S REAL ESTATE SECTION AND ARE ACCESSED THROUGH THE READS SYSTEM. SEE RDAS 00120-B00 AND 00195-000 IN THE REAL ESTATE RECORDS RETENTION SCHEDULE.

RETENTION: EVENT (DATE PROPERTY WAS PURCHASED) + 1 YEAR AND DESTROY CONFIDENTIAL

<u>00163A00.</u>	<u>TRANSPORTATION HIGHWAY PROJECT DEEDS INVOLVING RAILROAD PROI</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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SERIES INCLUDES RECORDS OF TRANSPORTATION PROJECTS INVOLVING RAILROAD PROPERTIES DEEDS AND EASEMENTS.

RETENTION: EVENT (DATE PROPERTY IS SOLD OR TRANSFERRED TO ANOTHER ENTITY) + 1 YEAR AND DESTROY CONFIDENTIAL.

<u>00163B00.</u>	<u>RAILROAD PROPERTY CONDEMNATION CASE FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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IN EXTREMELY RARE CASES, RAILROAD COMPANIES DO NOT ACCEPT WISDOT'S OFFER TO PURCHASE LAND RELATED TO A TRANSPORTATION PROJECT. IN THOSE CASES, THE DPEARTMENT MAY TAKE ACTIONS SPECIFIED IN WIS. STAT. 32.05 CONDEMNATION. THIS RECORDS SERIES DOCUMENTS THE DEPARTMENT'S COMPLIANCE WITH ALL LEGAL REQUIREMENTS SPECIFIED FOR CONDEMNATION AND TAKING OF PROPERTY AND IT ONLY APPLIES TO HIGHWAY PROJECT RELATED RECORDS. RECORDS INCLUDE BUT ARE NOT LIMITED TO:

- * APPRAISAL AND DETERMINATION OF LAND VALUE
- * CORRESPONDENCE AND OTHER DOCUMENTATION OF NEGOTIATIONS BETWEEN THE DEPARTMENT AND THE RAILROAD.
- * JURISDICTIONAL OFFERS
- * FINAL DECISIONS AND CONCLUSIONS.

RETENTION: EVENT (DATE OF CLOSURE OF CONDEMNATION CASE) + 3 YEARS AND DESTROY CONFIDENTIAL

<u>00164000.</u>	<u>FREIGHT RAILROAD ABANDONMENT CASE FILE</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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RAILROAD ABANDONMENT IS COVERED IN:
 * 49 USC 10903 AND 49 CFR PARTS 1105 AND 1152
 * WIS. STAT 85.08 AND 85.09

WISDOT IS THE DESIGNATED LEAD STATE AGENCY IN RAILROAD ABANDONMENT MATTERS UNDER WIS. STAT 85.09(2). THE DEPARTMENT HAS FIRST RIGHT OF ACQUISITION FOR PRESENT OR FUTURE USE, FOR ANY RAILROAD OR RAILWAY

PROPERTY, INCLUDING LAND AND RAILS, TIES, SWITCHES, TRESTLES, BRIDGES, WHICH HAS BEEN ABANDONED. GENERALLY, A RAILROAD MAY ONLY ABANDON A LINE WITH PERMISSION OF THE SURFACE TRANSPORTATION BOARD (STB). STB DETERMINES WHETHER THE PRESENT OF FUTURE PUBLIC CONVENIENCE AND NECESSITY REQUIRE OR PERMIT THE ABANDONMENT BASED ON COMPETING FACTORS: NEED OF LOCAL COMMUNITIES AND SHIPPERS FOR CONTINUED SERVICE VERUS BROADER PUBLIC INTEREST IN FREEING RAILROADS FROM FINANCIAL BURDENS THAT DRAIN THE OVERALL FINANCIAL HEALTH OF THE RAILROAD AND LESSEN THEIR ABILITY TO OPERATE ECONOMICALLY ELSEWHERE. AS PART OF THE PROCESS WISDOT RAILROADS AND HARBORS SECTION:

- * DEVELOPS POSITIONS ON INDIVIDUAL ABANDONMENTS
- * REVIEWS AND CRITIQUES BRIEFING PAPERS ON INDIVIDUAL ABANDONMENTS.
- * ASSESSES ADEQUACY OF AND IDENTIFIES POTENTIAL IMPROVEMENTS TO WISDOT'S PROCESS TO RESOLVE ABANDONMENT POSITION.
- * RESPONDS TO SPECIAL REQUETS AND DIRECTIONS FROM SECRETARY'S OFFICE.

RECORDS IN THIS SERIES PROVIDE DOCUMENTATION OF WISDOT'S INVESTIGATION AND DECISIONS RELATED TO INDIVIDUAL RAILROAD ABANDONMENTS, INCLUDING BACKGROUND MATERIALS, BRIEFING PAPERS REGARDING THE IMPACT OF ABANDONMENT, REVIEW AND COMMENTS FROM OFFICE OF GENERAL COUNSEL, ABANDONMENT COMMITTEE AND THE STB'S FINAL DECISION.

RETENTION: EVENT (STB EFFECTIVE DATE OF RAIL ABANDONMENT) + 10 YEARS AND DESTROY CONFIDENTIAL

00167000.	<u>OFFICE OF THE COMMISSIONER OF RAILROADS (OCR) ORDERS - WISDOT C</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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OCR, A SEPARATE STATE AGENCY, ENFORCES REGULATIONS RELATED TO RAILWAY SAFETY AND INVESTIGATES THE SAFETY OF HIGHWAY/RAIL CROSSINGS. IN PARTNERSHIP WITH PRIVATE RAIL FIRMS, LOCAL GOVERNMENTS AND CITIZENS, OCR OVERSEES A VARIETY OF HIGHWAY/RAIL CROSSING ISSUES INCLUDING:

- * REPLACEMENT OR ENHANCEMENT OF PASSIVE AND ACTIVE WARNING DEVICES AT HIGHWAY/RAIL CROSSINGS;
- * REPAIR OF ROUGH HIGHWAY/RAIL CROSSING SURFACES;
- * INSTALLATION OF HIGHWAY/RAIL CROSSINGS AT NEW LOCATIONS;
- * ALTERATION OF EXISTING HIGHWAY/RAIL CROSSINGS; AND
- * CLOSING OR CONSOLIDATING EXISTING HIGHWAY/RAIL CROSSINGS.

THE WISCONSIN DEPARTMENT OF TRANSPORTATION RAILROAD ENGINEERING & SAFETY (RE&S) UNIT WORKS WITH OCR, RAILROADS AND OTHER PUBLIC AGENCIES TO ADDRESS RAIL CROSSING IMPROVEMENTS. RE&S UNIT AND REGIONAL RAIL STAFF MAY BE INVOLVED WITH THE OFFICE OF THE COMMISSIONER OF RAILROADS TO COORDINATE RAIL CROSSING ISSUES. THIS RECORDS SERIES COVERS WISDOT'S ACTIONS AND COORDINATION EFFORTS RELATED TO PARTICULAR ISSUES AND/OR PROJECTS. MAY ALSO INCLUDE RELEVANT BACKGROUND INFORMATION DOCUMENTING THE RAILROAD ISSUE AND THE DECISION - MAKING PROCESS. WISDOT RAIL SPECIALIST MAINTAIN THESE RECORDS TO BETTER UNDERSTAND DECISIONS RELATED TO RAILROAD CROSSINGS AND OTHER TYPES OF RAIL MATTERS, E.G., DRAINAGE, ETC.

RETENTION: EVENT(SUPERSEDED) + 1 YEAR AND DESTROY

00168000.	<u>RAILROAD CROSSING INFORMATION SYSTEM (RCIS) DATA</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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THE RAILS AND HARBORS SECTION, THE BUREAU OF INFORMATION TECHNOLOGY SERVICES (BITS), AND THE BUREAU OF PLANNING (BOP) DEVELOPED THE RAIL CROSSING INFORMATION SYSTEM (RCIS) IN COOPERATION WITH OTHER AGENCIES THAT PROVIDE DATA AND CONNECTIVITY, INCLUDING THE OFFICE OF COMMISSIONER OF RAILROADS (OCR), THE PUBLIC SERVICE COMMISSION OF WISCONSIN AND THE FEDERAL RAILROAD ADMINISTRATION (FRA).

RCIS IS AN ENTERPRISE DATABASE THAT IS ACCESSIBLE TO ALL WISDOT STAFF VIA THE DOTNET. IT IS ALSO AVAILABLE TO EXTERNAL AGENCIES VIA THE EXTRANET. A WISDOT MANUAL OUTLINES RESPONSIBILITIES FOR THE SYSTEMS DATA CUSTODIAN, DATA STEWARD AND REGION RR COORDINATORS; DOCUMENTS THE SYSTEM'S FEATURES; PROVIDES A DATA DICTIONARY FOR ALL FIELDS; AND INCLUDES MAINTENANCE AND POLICY PROCEDURES.

DATA MAINTAINED IN THE SYSTEM HAS ONGOING VALUE OVER TIME. IT IS UPDATED CONTINUALLY.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: <HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF> AND <HTTP://DOTNET/BMSRECORDS/RECELEC.HTM.

RETENTION: EVENT(DATA SUPERSEDED) AND DESTROY

00169000.	<u>FREIGHT RAILROAD INFRASTRUCTURE IMPROVEMENT PROGRAM (FRIIP)</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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WISDOT FREIGHT RAILROAD ASSISTANCE UNDER WIS. STAT. 85.08 FREIGHT RAILROAD ASSISTANCE AND WIS. STAT. 85.09 ACQUISITION OF ABANDONED PROPERTY.

FRIIP LOANS ENABLE THE STATE TO ENCOURAGE A BROADER ARRAY ON IMPORVEMENTS TO THE RAIL SYSTEM, PARTICULARLY ON PRIVATELY OWNED LINES AND PROVIDE UP TO 100% LOANS FOR PROJECTS THAT:

- * CONNECT AN INDUSTRY TO THE NATIONAL RAILROAD SYSTEM, OR
- * MAKE IMPROVEMENTS TO ENHANCE TRANSPORTATION EFFICIENCY, SAFETY, AND INTERMODAL FREIGHT MOVEMENT.
- * ACCOMPLISH LINE REHABILITATION
- * DEVELOP THE ECONOMY

RECORDS INCLUDES BUT ARE NOT LIMITED TO:
 * FIELD AND MARKETING INVESTIGATIONS,
 * FINANCIAL & TECHNICAL ASSISTANCE ANALYSIS REPORTS
 * FEDERAL & STATE AIDE ALLOCATIONS
 * PHOTOS, TRACK AND PROPERTY CONDITIONS
 * CONSTRUCTION OR IMPROVEMENT PROGRESS

RAILROADS AND HARBORS SECTION MAINTAINS RECORDS FOR THE DURATION OF A PARTICULAR RAILROAD PROJECT/DISPOSAL OF PROPERTY. RECORDS ARE NEEDED TO PROVE OWNERSHIP OF THE PROPERTY AND KEEP TRACK OF THE PROPERTY.

RETENTION: EVENT (LOAN REPAID DATE) + 3 YEARS AND DESTROY CONFIDENTIAL

00177000.	TRANSPORTATION ECONOMIC ASSISTANCE (TEA) RAIL PROGRAM FILES	EVT+6	DEST	Y
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THE TRANSPORTATION ECONOMIC ASSISTANCE (TEA) PROGRAM PROVIDES 50% STATE GRANTS TO GOVERNING BODIES, PRIVATE BUSINESSES, AND CONSORTIUMS FOR ROAD, RAIL, HARBOR AND AIRPORT PROJECTS THAT HELP ATTRACT EMPLOYERS TO WISCONSIN, OR ENCOURAGE BUSINESS AND INDUSTRY TO REMAIN AND EXPAND IN THE STATE. THE GOAL OF THE TEA PROGRAM IS TO ATTRACT AND RETAIN BUSINESS FIRMS IN WISCONSIN AND THUS CREATE OR RETAIN JOBS. THE GRANTS ARE BASED ON \$5,000 PER JOB CREATED OR RETAINED UP TO A MAXIMUM GRANT OF \$1 MILLION. TYPES OF DOCUMENTS TO BE RETAINED INCLUDE:

- * GRANT AND CONSTRUCTION CONTRACTS
- * SPECIFICATIONS AND OTHER CONSTRUCTION DOCUMENTS
- * WISDOT LIEN DOCUMENTS

RETENTION: EVENT (DATE CONTRACT IS TERMINATED OR PROPERTY IS SOLD OR TRANSFERRED TO ANOTHER ENTITY) + 6 YEARS AND DESTROY CONFIDENTIAL.

00180000.	SURVEY BOOKS & NOTES	EVT	SHSW	N
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SERIES COVERS LAND SURVEY INFORMATION COLLECTED FOR HORIZONTAL AND VERTICAL CONTROL POINTS ESTABLISHED ON AERIAL MAPPING PROJECTS. SURVEY INFORMATION IS BASED ON THE US PUBLIC LAND SURVEY SYSTEM (USPLSS) AND INCLUDES: LAND CORNER DOCUMENTATION, CENTER LINE, RIGHT-OF-WAY ALIGNMENT, SECTION CORNERS, WISDOT REFERENCE POINTS, USGS SURVEY POINTS, AND CROSS-SECTION NOTES. THIS RDA UPDATES THE FOLLOWING:

- EARLY SURVEY BOOKS, 1911-1980 (OLD RDA 180): CONSISTED OF LOOSE LEAF OR BOUND SURVEY BOOKS CONTAINING LAND SURVEY FIELD DATA AND SOURCE MATERIALS WITH NOTES, SKETCHES, PHOTOS AND SELECTED DIARY ENTRIES). SINCE 1980, WISDOT REGION PERSONNEL AND/OR CONSULTANTS COLLECT MUCH CRITICAL SURVEY DATA IN DIGITAL FORMAT.
- LAND SURVEY MAPPING POINTS FILE, 1959-1990 (OLD RDA 138): MAPPING POINTS ARE FILED BY WISDOT PROJECT NUMBER AND CROSS-REFERENCED BY USGS QUADRANGLE MAPS.

SURVEYING AND MAPPING SECTION RETURNED BOOKS AND NOTES TO DOT REGIONS. REGIONS HOLD OFFICIAL COPIES. NOTE: OLDER PAPER BOOKS ARE FRAGILE AND NEED TO BE PRESERVED IN ANOTHER MEDIUM FOR ONGOING USE. FOR EASE OF REFERENCE, REGIONS PLAN TO CONVERT TO DIGITAL AND IMAGE FORMATS AND STORE THEM ON THE REGIONAL SHARED DRIVE.

RECORDS CONTAIN ACTUAL FIELD SURVEY SOURCE INFORMATION AND HAVE ONGOING TECHNICAL, LEGAL, AND EVIDENTIAL VALUES REGIONS/CONSULTANT ENGINEERS USE RECORDS TO DESIGN AND BUILD HIGHWAYS AND HIGHWAY-RELATED STRUCTURES; FOR SURVEY AND PLATTING PURPOSES; AND FOR ENVIRONMENTAL INVESTIGATIONS INCLUDING MITIGATION. A SINGLE SURVEY BOOK OR COLLECTION OF NOTES MAY COVER SEVERAL MILES AND ULTIMATELY BE ASSOCIATED WITH ONE OR MORE HIGHWAY CONSTRUCTION PROJECTS. RECORDS ALSO TRACK DIFFERENT METHODS OF DESCRIBING LAND. DATA ISSUES INCLUDE:

- DIFFERENT DATUM, BASIS ON MEASUREMENTS TO DESCRIBE LAND;
- HISTORY OF LAND OWNERSHIP, LOCATION OF HIGHWAY, BOUNDARY ISSUES
- LEGAL CHALLENGES REGARDING HOW YARDAGE MEASUREMENTS AFFECT CONTRACTOR PAYMENTS OR LAND TRANSFERS.

EVENT (CONVERT TO IMAGE OR OTHER ELECTRONIC FORMAT OR 100 YEARS-WHICHEVER COMES FIRST)) AND TRANSFER TO WHS.

00180A00.	SURVEY BOOKS	EVT+1/1	SHSW	N
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00186A00.	"AS BUILT" HIGHWAY PLANS FILE	EVT+25	SHSW	N
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AN AS-BUILT DOCUMENT IS THE OFFICIAL PLAN THAT IDENTIFIES THE FINAL (BUILT) STATE OR LOCAL ROAD CONSTRUCTION OR RECONSTRUCTION PROJECT. IT INCLUDES ALL ASPECTS OF THE PROJECT, ESPECIALLY CHANGES MADE TO THE "AS-LET" DOCUMENTS USED TO INITIATE THE CONSTRUCTION CONTRACT. PLANS ARE ESSENTIAL DOCUMENTS TO MEET ONGOING BUSINESS NEEDS THROUGHOUT THE WISDOT TO ADMINISTER, MAINTAIN, RESURFACE OR OTHERWISE IMPROVE HIGHWAYS, VERIFY RIGHT-OF-WAY BOUNDARIES, CONDUCT INSPECTIONS AND ASSURE QUALITY AND SAFETY OF ROADS, IN ACCORDANCE WITH S.84.06, WIS. STATS. REGIONS ARE RESPONSIBLE TO ENSURE

THAT ALL AS-BUILT PLANS ARE AVAILABLE, ADN REGIONS RETAIN THE ORIGINAL HARDCOPY (PAPER) FILE. RECORDS IN THIS SERIES INCLUDE:

- AS BUILT PLANS - PAPER COPY: INCLUDES MARKED-UP CHANGES TO ASLET PLANS, INCORPORATED INTO A SINGLE AS BUILT DOCUMENT THAT CONTAINS DETAILED PLANS OF THE ROADWAY AS IT WAS ACTUALLY CONSTRUCTED.
- PSE: PLAN PROPOSAL, SPECIFICATIONS AND ESTIMATES: TITLE SHEET WITH PROJECT ENGINEER .PDF SIGNATURE STAMP, NUMBERED SHEETS.
- ESTIMATE OF QUANTITIES (EOQ): QUANTITIES OF MATERIALS
- STANDARD DETAIL DRAWINGS (SDDS) AND EXHIBITS
- BRIDGE PLANS, STRUCTURE PLANS, SIGN PLATE PLANS.

AS BUILT PLANS ARE FINALIZED WHEN THE PROJECT IS COMPLETED, I.E., THE DATE OF THE HIGHWAY CONSTRUCTION PROJECT FINAL COST STATEMENT.

LONG-TERM RETENTION: REGIONS RETAIN THE PAPER COPY UNTIL IT IS SCANNED AND STORED IN DIGITAL FORMAT. THE PAPER VERSION IS KEPT IN THE REGION FOR EASE OF REFERENCE AND FOR DISASTER RECOVERY PURPOSES. PAPER RETENTION: EVENT (FINAL PROJECT COST STATEMENT) + 25 YEARS AND TRANSFER TO WHS PROVIDED CONVERTED TO ELECTRONIC IMAGE FILE.

<u>00186C00.</u>	<u>HIGHWAY CONSTRUCTION "AS BUILT" E-PLANS FILE</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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EACH REGION MAINTAINS ASLET PROJECT DATA AND UPDATES IT TO PRODUCE AN ASBUILT FINAL PLAN. PERSONNEL SCAN THE HIGHWAY PLAN OR STRUCTURE PLAN, DOCUMENTING ALL CHANGES TO THE AS-LET PLAN FOR PROJECTS IN THAT REGION. ELECTRONIC AS BUILT PLANS FOR THE PARTICULAR REGION ARE MAINTAINED IN A REGIONAL ASBUILT/ASLET DATABASE (ELECTRONIC DATA AND SCANNED IMAGES MAINTAINED IN REGIONAL AS BUILT RECORDS MANAGEMENT SYSTEM (ARMS)) ON A REGIONAL FILE SERVER. RECORDS IN THIS SERIES INCLUDE:

- ASBUILT PLAN FOR ALL TYPES OF PROJECTS, INCLUDING HIGHWAYS, STRUCTURES AND LOCAL FORCE ACCOUNT PROJECTS. NOTE: WHEN THE ASBUILT ELECTRONIC PLAN IS STORED IN THE REGION LOCATION, THE ASLET IS AUTOMATICALLY MOVES TO ANOTHER LOCATION, THE 'HAS ASBUILT' FOLDER.
- ASBUILT PLANS SCANNED FROM MICROFILM COPIES OF OLD ASBUILTS. NOTE: VENDOR SCANNED SOME BUT NOT ALL FROM MICROFILM.

DIGITAL FILES ARE CHECKED FOR READABILITY AND QUALITY ASSURANCE REGULARLY (SAMPLED AT 18 MONTH INTERVALS AT A MINIMUM), AND CONVERTED/MIGRATED/UPGRADED TO NEW PLATFORMS AS NECESSARY TO GUARANTEE ACCESS TO DATA THROUGH LIFE OF THE RECORD SERIES.

- SCANS WILL AUTOMATICALLY TRANSFER EACH EVENING TO A STORAGE LOCATION IN C.O. AND AN AUTOMATED E-MAIL SENT TO PURCHASING, FLEET, AND DISTRIBUTION SECTION STAFF TO NOTIFY THEM OF WORK THAT IS READY FOR PROCESSING.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: PERMANENT

<u>00192000.</u>	<u>MERRIMAC FERRY OPERATIONS FILE - PAPER</u>	<u>EVT+50</u>	<u>SHSW</u>	<u>Y</u>
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THIS RECORDS SERIES DOCUMENTS WISDOT OVERSIGHT OF MERRIMAN FERRY OPERATIONS AND MAINTENANCE, INCLUDING:

WISDOT MAINTENANCE RECORDS - WRITTEN IN BOOK LOG - GOES ALL THE WAY BACK TO 1996.

- FERRY DIARIES AND LOGS: MAINTAINED BY REGION MAINTENANCE STAFF NOTING MAINTENANCE, E.G., CABLE CHANGE, GREASING, ETC.

- FERRY OPERATIONAL REPORTS AND COUNTS: TRAFFIC, NUMBER OF VEHICLES, VEHICLE TYPES, FUEL USED, OPERATIONAL COSTS, DAYS OPERATED, DOWN TIME, MAINTENANCE ACTIVITIES, ETC. FROM TIME SHEETS AND REPORTS SUBMITTED BY COLUMBIA COUNTY. ALSO INCLUDES PRINTOUTS OF MERRIMAC FERRY MONTHLY REPORT DATA.

- SIGNIFICANT CORRESPONDENCE RELATED TO FERRY OPERATION AND MAINTENANCE, PROBLEMS, ETC.

- PHOTOS - BACK TO 1933

- ANNUAL BUDGET, BILLING AND RELATED BACKGROUND INFORMATION.

RECORDS IN THIS SERIES ARE USED TO ADMINISTER/MAINTAIN THE FERRY FACILITY. THESE RECORDS ARE ALSO USED TO SUPPORT CONTINUED FUNDING AND OPERATION OF THE FERRY SERVICE, FOR PLANNING, STATISTICAL AND TRANSPORTATION RESEARCH PURPOSES. ALL RECORDS RELATED TO OPERATIONS FOR A PARTICULAR FERRY BOAT ARE MAINTAINED TOGETHER. BOATS ARE REPLACED AFTER SEVERAL YEARS OF OPERATION.

PII INFORMATION: RECORDS IDENTIFY THE NAMES OF FERRY OPERATORS, COUNTY PERSONNEL AND WISDOT STAFF.

RETENTION/DISPOSITION: EVENT (CREATION - CALENDAR YEAR END) + 50 YEARS AND TRANSFER TO WIS. HISTORICAL SOCIETY, PROVIDED NO RECORDS OF BOAT CURRENTLY OPERATING AND TRANSFERRED.

RETEN

<u>00193000.</u>	<u>EXCESS AND SURPLUS LANDS FILES</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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In the process of acquiring land, the DOT may acquire land in excess of that needed for a project. When lands are not needed for transportation purposes, the Department declares the land as Surplus in order to sell or lease it.

Records in this series include, but are not limited to:
 Advertisement
 Bids
 Conveyance documents
 Form declaring land as excess
 Location Map
 Property Description and Plat
 Property Inventory Report - acreage and value of land specified, generated by READS
 Project related correspondence
 Quit Claim Deed (official WisDOT recording in Conveyance Document file)
 Related correspondence
 Related records that identify property characteristics
 Submission of paperwork/approvals to WisDOT Secretary and Governor.

Permanent retention justification: Land may be sold with certain restrictions. It is imperative that these records remain permanently to prove compliance with surplus land disposal procedures and to resolve potential disputes regarding the character of the terms and conditions of the sale, which can arise at any time and through the years after a parcel has been conveyed.

These documents contain pertinent Information that is not available at the County Register of Deeds.

The official records in this series may exist in paper, electronic, or microfilm format in different regions and in the central office bureau and the retention will apply to the applicable official records format. When the paper or microfilm files are digitized, they will be kept until verified for quality control purposes and then destroyed.

Note: Includes records from the following now superseded RDAs:
 RDA 00194-0 - Surplus Right-of-Way Land Sale Files and
 RDA 00194-A - Surplus Land Sale Case Files - Microfilm.

EVENT = permanent

<u>00196000.</u>	<u>WISDOT LOCAL PUBLIC AGENCY (LPA) LOCAL ROAD PROJECT FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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When state or federal funding is involved; WisDOT maintains certain records for oversight purposes. Records are generated by the local government. Local road project file records may include, but are not limited to:

Admin revisions to offering price
 Awards of damages
 Deeds and conveyance documents
 Jurisdictional offers
 Local agency contacts.
 Nominal payment parcel report
 Nominal payment waiver for appraisal -
 Offering price reports (if state or federal funds are in Real Estate)
 Project related correspondence
 Relocation documents
 Sales study /project data book
 WisDOT and LPA certification

The official records in this series may exist in-paper or electronic format and the retention will apply to the applicable official records format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date of project financial closure per final cost statement

<u>00198000.</u>	<u>FIIPS IMPROVEMENT PROJECT SUMMARY DATA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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THIS RECORDS SERIES COVERS FINANCIAL INTEGRATED IMPROVEMENT PROGRAMMING SYSTEM (FIIPS) SUMMARY DATA ELEMENTS THAT SUPPLY BOTH SUMMARIES FOR ANALYTICAL AND STATISTICAL PURPOSES AND AND SKELETAL DETAILS TO LOOK UP ADDITIONAL PROJECT INFORMATION LOCATED ELSEWHERE. INCLUDES:
 - BASIC PROJECT INFORMATION: PROJECT ID NUMBER; TITLE-LIMIT-CONCEPT; FUNCTIONAL TYPE; IMPROVEMENT CONCEPT; DESIGN GROUP AND MASTER GROUP MEMBERSHIP; TIED PROJECT IF APPLICABLE; PRIMARY COMPONENT TYPE; SCHEDULE DATE; PROJECT STATUS; REVIEW CONTROL.
 - BASIC FUNDING DATA: LEGISLATIVE SUBPROGRAM: WISDOT PROGRAM; ORIGINAL AUTHORIZATION DATE; TOTAL ESTIMATE; TOTAL WITHOUT DELIVERY; DELIVERY PERCENT; ACCOUNTING STAGE; ACCOUNTING STAGE DATE
 - BASIC PROJECT RESPONSIBILITY DATA: PRIMARY ORGANIZATION CODE; RESPONSIBLE ORGANIZATION CODE; PROJECT SUPERVISOR; AND FEDERAL OVERSIGHT STATUS
 - BASIC FUNDING DATA: LEGISLATIVE SUBPROGRAM: WISDOT PROGRAM; ORIGINAL AUTHORIZATION DATE; TOTAL ESTIMATE; TOTAL WITHOUT DELIVERY; DELIVERY PERCENT; ACCOUNTING STAGE; ACCOUNTING STAGE DATE
 - BASIC PROJECT RESPONSIBILITY DATA: PRIMARY ORGANIZATION CODE; RESPONSIBLE ORGANIZATION CODE; PROJECT SUPERVISOR; AND FEDERAL OVERSIGHT STATUS
 - BASIC LOCATION DATA: PRIMARY COUNTY; PRIMARY ROUTE; REGION; CONGRESSIONAL DISTRICT; LEGISLATIVE DISTRICT; ASSEMBLY DISTRICT; HIGHWAY SYSTEM; AND LOCATION TYPE
 - CLOSED PROJECTS SUMMARY FUNDING DATA: NON-DELIVERY COSTS; IN-HOUSE DELIVERY COSTS; CONSULTANT DELIVERY COSTS; FEDERAL COSTS; STATE COSTS; LOCAL COSTS; BOND COSTS; PARTICIPATING COSTS' TOTAL COSTS FOR THE PROJECT

THESE DATA ELEMENTS SUPPLY BOTH SUMMARIES, FOR ANALYTICAL PURPOSES, AND SKELETAL DETAILS FOR LOOKING UP ADDITIONAL PROJECT INFORMATION.

PERMANENT JUSTIFICATION: THE PROGRAM FINANCE SECTION NEEDS TO RETAIN AND BE ABLE TO ACCESS THE DATA ELEMENTS LISTED ABOVE AT THE IMPROVEMENT PROJECT LEVEL. DATA HAS ONGOING ANALYTICAL VALUE AND MAY ALSO BE NEEDED TO IDENTIFY AND LOCATE RELATED RECORDS LONG AFTER HIGHWAY PROJECTS ARE COMPLETED, IN THE EVENT OF CONTRACTUAL DISPUTES, CLAIMS, PRODUCT LIABILITY ISSUES, ETC.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm);
RETENTION: PERMANENT

<u>00199000.</u>	<u>FIIPS IMPROVEMENT PROJECT DETAIL DATA</u>	<u>EVT+15</u>	<u>DEST</u>	<u>Y</u>
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FIIPS DATA IS USED FOR TRANSPORTATION PROJECT MANAGEMENT DECISION-MAKING, TO PLAN, ESTIMATE, FUND AND TRACK PROJECT CHANGES. DETAILED FIIPS DATA IN THIS SERIES IS COLLECTED AS THE PROJECT PROGRESSES THROUGHOUT ITS DEVELOPMENT LIFE CYCLE. INCLUDES THE FOLLOWING TYPES OF DATA ELEMENTS:

- STIP REFERENCE/TIP NUMBER/OTHER DATA FOR WORKING WITH MPOS
- ELECTRONIC CDRS
- QUANTITIES AT THE PROJECT LEVEL
- NON-DESIGN/MASTER GROUP INFORMATION
- SUBSCRIPTION AND DELEGATION INFORMATION
- NON-DOT PARTICIPANTS
- PROJECT FAMILIES
- FEDERAL OBLIGATIONS
- FOS PARTICIPANT, FUNDING PARTICIPANTS, SEQUENCE NUMBERS
- GIS LOCATION
- ANCILLARY LOCATION INFORMATION
- NON-MANAGEMENT PROJECT ROLES
- COPIES OF INFORMATION SENT TO FMIS
- INFORMATION ABOUT DATA FIELDS AND HOW THOSE VALUES CHANGED OVER THE COURSE OF THE PROJECT'S LIFE

THIS DATA IS USED THROUGHOUT THE PROJECT AND MAY ALSO BE USED FOR AUDIT, ANALYTICAL, ACCOUNTING, AND REPORTING PURPOSES AFTER PROJECT CLOSEOUT.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm);
RETENTION: EVENT (DATE PROJECT MOVES TO RC=P) + 15 YEARS AND DELETE

<u>00201000.</u>	<u>OVERSIZE / OVERWEIGHT (OSOW) SINGLE TRIP OR MULTIPLE TRIP PERMIT</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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Single trip permits authorize a single motor carrier for a one time movement that may also include a return trip upon request. Multiple trip permits authorize a single motor carrier for multiple movements during a specified period of time.

Permit types may include: general, industrial interplant, mobile home, raw forest, grain/coal/iron ore, military, agricultural transportation, other emergency, garage/refuse/recyclable scrap, vehicle train, permits, houses, windtowers, bridge beams, etc.

Records in this series includes, but are not limited to: original/renewal application and related correspondence for all motor carrier single or multiple trip permits applications, issued permits, permit denials or permit cancellations requests, financial notations, insurance certification, permit supporting documentation and any related correspondence applicable to the type of permit issued.

EVENT = End of the year in which the permit expires

<u>00205000.</u>	<u>PERMIT LOGBOOKS & INDEXING MATERIALS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES INCLUDE PERMIT LOGBOOKS, INDEXING RECORDS, AND COPIES OF OLD POLICIES, CORRESPONDENCE, CONFERENCE MINUTES, ETC. FOR DRIVEWAY, ROAD/STREET CONNECTION, UTILITY (INCLUDING ANNUAL SERVICE CONNECTIONS) AND WORK ON HIGHWAY RIGHT-OF-WAY PERMITS. THESE OLD LOGBOOKS INDEX VARIOUS TYPES OF PERMIT RECORDS FROM WHEN ALL PERMITS WERE ISSUED OUT OF CENTRAL OFFICE MAINTENANCE (NOW PART OF BHO), AND ARE CURRENTLY LOCATED IN THE BHO HIGHWAY MAINTENANCE FACILITIES UNIT STORAGE AREA. SUMMARY INDEXING INFORMATION NEEDS TO BE RETAINED TO RETRIEVE HARD COPIES OF PERMITS, TRACK PERMIT / COMPLIANCE HISTORY, MONITOR COMPLIANCE, AND PROVIDE ADMINISTRATIVE / STATISTICAL PERMIT REPORTING.

EVENT = DATA ENTERED INTO HAMS OR OTHER ELECTRONIC INDEXING SYSTEM

<u>00206000.</u>	<u>WORK ON HIGHWAY RIGHT-OF-WAY (WHR/W) PERMITS AND CASE FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES ARE THE COMPLETED APPLICATION / PERMIT TO WORK ON HIGHWAY RIGHT-OF-WAY (FORM DT1812 OR EQUIVALENT) AND RELATED CORRESPONDENCE. THESE PERMITS ARE REQUIRED UNDER SS. 86.07(2) WHEN WORK IS PERFORMED IN THE STATE TRUNK HIGHWAY (STH) RIGHT-OF-WAY (R/W) TO INSTALL / PERFORM:

STORM SEWERS

LANDSCAPING
GROUND MONITORING WELLS
SURVEYING
VEGETATION REMOVAL
SOIL BORINGS
ACCIDENT INVESTIGATION AND CLEAN-UP
CONTAMINATED SOIL REMOVAL

REQUIREMENTS FOR WORKING IN HIGHWAY R/W UNDER WISDOT JURISDICTION ARE SPECIFIED IN WIS ADM RULE TRANS 231 AND IN COMPREHENSIVE POLICY, HIGHWAY MAINTENANCE MANUAL CHAPTER 92, BHO.

PERMITS FOR STH R/W WORK ARE NOT RELATED TO UTILITIES, BUT AT TIMES RELATE TO DRIVEWAYS OR ROAD / STREET CONNECTIONS. THE MAJORITY OF THIS WORK HAS A TEMPORARY IMPACT ON THE ROADWAY. RECORDS IN THIS SERIES INCLUDE A COMPLETE DESCRIPTION OF THE PROPOSED WORK ALONG WITH MAPS, DETAIL DRAWINGS, CONSTRUCTION METHODS, TYPES OF MATERIALS, AND LENGTH OF TIME NEEDED TO COMPLETE THE WORK SUBMITTED ON PAPER OR ELECTRONICALLY TO THE REGIONAL OFFICE THAT IS RESPONSIBLE FOR THE COUNTY WHERE THE WORK WILL BE PERFORMED.

THIS RECORD SERIES MAY ALSO INCLUDE WHR/W-RELATED COMPLIANCE ACTIONS TAKEN TO MONITOR NON-COMPLIANT PERMITS AND ENFORCE THE LAW. REGION OFFICES ISSUE MOST PERMITS. BHO ISSUES PERMITS THAT COVER A LARGE GEOPGRAPHIC AREA (OVERLAPPING MULTIPLE REGIONS) OR THE ENTIRE STATE. THE PERMIT IS IN EFFECT UNTIL AN ACTIVITY HAS BEEN COMPLETED, A PERMIT HAS ENDED, A REVISED OR AMENDED PERMIT SUPERSEDES A PERMIT, OR A PERMIT IS REVOKED. A WHR/W PERMIT HAS A SHORT-TERM IMPACT ON THE ROADWAY.

EVENT = COMPLETION DATE, PERMIT END DATE, SUPERSEDED, REVOKED

<u>00206A00.</u>	<u>WORK ON WORK ON HIGHWAY RIGHT-OF-WAY (WHR/W) PERMITS INVOLVE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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CERTAIN TYPES OF WHR/W PERMITS MAY HAVE LONG-TERM, RATHER THAN TEMPORARY IMPACT ON THE ROADWAY. A WHR/W PERMIT MAY BE ISSUED IN CONJUNCTION WITH THE REMOVAL OF AN UNPERMITTED STH CONNECTION, ORIT MAY BE ISSUED TO FACILITATE THE INSTALLATION OF A CONNECTION PREVIOUSLY AUTHORIZED UNDER CONTEOLLRED ACCESS HIGHWAYS PROVISIONS IN SS 84.25, WIS STATS.

PERMITS COVERED IN THIS RECORD SERIES ARE GENERALLY ASSOCIATED WITH A DRIVEWAY CONNECTION AUTHORIZATION. THESE TYPES OF PERMIT RECORDS ARE PROCESSED AND RETAINED THE SAME AS STATE TRUNK HIGHWAY (STH) CONNECTION (DRIVEWAY) PERMITS AND CASE FILES. SIMILAR TYPES OF MATERIALS ARE INCLUDED IN THE FILES. REGION OFFICES ISSUE AND MAINTAIN WHR/W PERMITS, AND BUREAU OF HIGHWAY OPERATIONS MAY ISSUE PERMITS. REGION OFFICES ALSO RETAIN COPIES OF BHO-ISSUED PERMITS. REGION PERSONNEL SCAN PAPER PERMITS ISSUED, INCLUDING SUPPORTING DOCUMENTATION, CREATE .PDF ELECTRONIC VERSIONS AND STORE IN HAMS. RECORDS INCLUDE THE FOLLOWING MATERIALS SUBMITTED ON PAPER OR ELECTRONICALLY TO THE REGIONAL OFFICE RESPONSIBLE FOR THE COUNTY WHERE THE CONNECTION WILL BE LOCATED.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = DATA ENTERED AND SCANNED INTO HAMS BY REGION OFFICES

<u>00207000.</u>	<u>HAMS ELECTRONIC PERMIT MASTER DATA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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ALL DRIVEWAY AND WORK ON HIGHWAY RIGHT-OF-WAY PERMITS (FOR ROAD/STREET CONNECTIONS) THAT THE REGIONS OR CENTRAL OFFICE ISSUED ARE SCANNED INTO THE HIGHWAY ACCESS MANAGEMENT SYSTEM (HAMS) DATABASE. HAMS IS AN ORACLE RELATIONAL DATABASE WITH TABLES OF DATA FOR MULTIPLE WISDOT FUNCTIONS (REAL ESTATE, HIGHWAY ACCESS, PERMITS). PERMIT MASTER DATA INCLUDES:

- * ACTIVE, REVOKED, RESCINDED OR SUSPENDED PERMITS
- * APPLICATIONS THAT HAVE BEEN DENIED OR SUMMARILY DISMISSED
- * RELEVANT CORRESPONDENCE AND SUPPORTING MATERILAS INCLUDING .PDF IMAGES

ONCE ISSUED, A STH CONNECTION PERMIT REMAINS IN EFFECT UNTIL CANCELLATION BY THE PROPERTY OWNER OR LOCAL AGENCY, EXPIRATION OF A TEMPORARY PERMIT DATE, EXPIRATION OF A CONSTRUCTION COMPLETION DATE WITHOUT THE CONNECTION BEING CONSTRUCTED, OR REVOCATION BY WISDOT.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: PERMANENT: FOR PROPER STH SYSTEM ACCESS MANAGEMENT, WISDOT MUST HAVE ACCURATE RECORDS IDENTIFYING COMPLETE HIGHWAY PERMIT HISTORIES. RECORDS ARE ESSSENTIAL TO MONITOR COMPLIANCE WITH LEGAL REQUIREMENTS, PERMIT NEW OR REVISED CONNECTIONS, AND PROVIDE SUFFICIENT EVIDENCE FOR LEGAL ACTIONS INCLUDING LITIGATION.

00208000.	<u>MERRIMAC FERRY MONTHLY OPERATION REPORT SUMMARY DATA - ELEC</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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RECORDS IN THIS SERIES ARE ELECTRONIC (PDF) VERSIONS OF MERRIMAC FERRY MONTHLY REPORT SUMMARIES. COLUMBIA COUNTY SUBMITS FERRY OPERATOR DAILY DETAIL REPORTS THAT INCLUDE THE FOLLOWING DATA:

- TRIPS
- VEHICLE TYPES: CARS, TRUCKS, BUSES
- FUEL
- DOWN TIME
- OPENING AND CLOSING DATES

REGION PERSONNEL CALCULATE TOTALS FOR EACH MONTH AND ENTER DATA INTO AN ELECTRONIC REPORT (CURRENTLY MS EXCEL SPREADSHEET) AND ALSO SAVE DATA TO A PDF FILE. THIS IS A CUMULATIVE RECORD OF MONTHLY SUMMARY DATA. MONTHLY REPORTS ARE ADDED TO THE PDF FILE CONTINUOUSLY. DATA HAS ONGOING VALUE FOR STATISTICAL PURPOSES AND TO DOCUMENT FERRY USAGE OVER TIME.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12:

[HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION/DISPOSITION: EVENT (SUPERSEDED BY ADDITIONAL MONTHLY REPORT) AND DESTROY.

00209000.	<u>MERRIMAC FERRY COUNTY DAILY TIME & OPERATIONS DAILY RETAIL REP</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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COLUMBIA COUNTY SUBMITS MERRIMAC FERRY OPERATOR DAILY DETAIL REPORTS OF TRIPS; VEHICLE TYPES (CARS, TRUCKS, BUSES); FULE:DOWN TIME; AND OPERATING AND CLOSING DATES. WISDOT RECEIVES THESE EACH MONTH. REGION PERSONNEL ADD DAILY COUNTS, ENTER MONTHLY TOTAL DATA INTO A SUMMARY SPREADSHEET (CURRENTLY EXCEL) AND MAINTAIN SUMMARY DATA IN ELECTRONIC (PDF) FORMAT.

THIS RECORDS SERIES COVERS PAPER DAILY DETAIL MATERIALS AND OTHER MERRIMAC FERRY OPERATIONAL BACKGROUND MATERIALS THAT THE COUNTY SUBMITS TO SUPPORT AND DOCUMENT DAILY TIME REPORTS.

PII INFORMATION: TIME SHEETES AND OPERATION REPORTS CONTAIN NAMES OF FERRY OPERATORS AND COUNTY PERSONNEL.

FOR AUDIT AND REFERENCE PURPOSES, THE REGION MAINTAINS THIS RECORD FOR A PERIOD CONSISTENT WITH OTHER COUNTY MONTHLY BILLING DETAIL RECORDS SPECIFIED IN RDA # 476: COUNTY HIGHWAY MAINTENENACE MONTHLY DETAIL INVOICE:

RETENTION: EVENT (DATA ENTERED INTO MERRIMAC FERRY MONTHLY OPERATION REPORT SUMMARY DATA - ELECTRONIC) + 7 YEARS AND DESTROY CONFIDENTIAL.

00215000.	<u>STN LOCATION CONTROL MANAGEMENT (LCM) DATA</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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THE STN LCM DATABASE IS A FOUNDATIONAL DATABASE THAT ALLOWS WISDOT TO INTEGRATE AND PROVIDE ACCESS TO DATA USING ASSOCIATED DATA LOCATED ALONG THE STN. MOST DOT FACILITIES AND PROJECTS ARE REFERENCED TO THE STN LCM DATABASE SO THAT DATA FOR A GIVEN FEATURE MAY BE ANALYZED BASED ON ITS SPECIFIC GEOGRAPHIC LOCATION. THE MAIN COMPONENTS OF THE STN LCM DATABSE ARE 2 LINEAR REFERENCING SYSTEMS WHICH INCLUDE:

- * ROADWAY LINKS AND REFERENCE SITES: THIS IS THE PRIMARY LINEAR REFERENCING SYSTEM. REFERENCE SITES ARE "POINTS" THAT REPRESENT ROADWAY INTERSECTIONS. LINKS REPRESENT DISTANCE (MILEAGE) BETWEEN TWO REFERENCE SITES AND ALSO MODEL THE DIRECTION OF TRAFFIC FLOW BETWEEN SITES. TOGETHER THEY ARE USED TO REPRESENT SPECIFIC LOCATIONS OR LENGTH EVENTS ALONG THE STN.
- *REFERENCE POINTS: THIS IS THE SECONDARY LINEAR REFERENCING SYSTEM. IT IS BASED ON ROUTES: INTERSTATE HIGHWAYS (IH), US HIGHWAYS (USH) OR STATE HIGHWAYS (STH). THE SYSTEM ASSIGNS A UNIQUE IDENTIFIER TO SELECT ROADWAY LOCATIONS; IT IS THEN USED TO COLLECT AND REFERENCE DATA REGARDING THE STN.
- * ROADWAY CHAINS: CHAINS PROVIDE A CARTOGRAPHIC REPRESENTATION OF THE ROADWAY GEOMETRY OF THE STN AT 1:100,000 SCALE. CHAINS CREATE A GRAPHIC REPRESENTATION OF RAODWAY DATA FOR SCREEN DISPLAY, MAP PRODUCTION OR DATA ANALYSIS.

USING THE STN LCM DATABASE, DOT PERSONNEL CAN INTEGRATE AND ANALYZE ROADWAY DATA FEATURES, I.E., PAVEMENT TYPE, TRAFFIC VOLUME, CRASHES, ETC. DATA SUPPORTS DOT PROGRAM MANAGEMENT, PLANNING, DESIGN, CONSTRUCTION, MAINTENANCE, AND OPERATIONS.

PERMANENT JUSTIFICAQTION: DATA COLLECTED PROVIDES CURRENT AND HISTORICAL STN INFRASTRUCTURE REPRESENTATIONS. DATA HAS ONGOING REFERENCE, STATISTICAL, AND ANALYTICAL VALUE FOR ALL TRANSPORTATION SYSTEM FUNCTIONS RELATED TO THE STATE TRUNK NETWORK. THIS FILE IS THE BASE DATA TO INTEGRATE TABULAR INFORMATION ABOUT THE STN.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: PERMANENT

00216000.	<u>STATE TRUNK NETWORK (STN) ANNUAL INVENTORY DATA</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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THE STN DATABASE DESCRIBES PHYSICAL AND ADMINISTRATIVE ROADWAY CHARACTERISTICS ABOUT THE STATE TRUNK NETWORK, WORKING IN CONJUNCTION WITH OTHER SYSTEMS SUCH AS DEFICIENCY, PAVEMENT INFORMATION FILE, HIGHWAY PERFORMANCE MONITORING SYSTEM (HPMS) AND LAYER & BASE. STN DATA CONTAINS STATE TRUNK NETWORK LIFE CYCLE FUNCTIONAL INVENTORY DATA TO MEET FEDERAL AND STATE REPORTING REQUIREMENTS. DATA DESCRIBES NUMEROUS DETAILED HIGHWAY FEATURES: MEDIANS, SHOULDERS, INTERSECTIONS, BRIDGES AND OTHER STRUCTURES, RAILROAD CROSSINGS, MILEPOSTS, ACCESS CONTROLS, BOUNDARY CONTROLS, TRUCK ROUTES, ETC.

TO SUPPORT MAINFRAME REPORTING REQUIREMENTS, THE WISDOT GENERATES REGULAR INVENTORY EXTRACTS. THIS RECORDS SERIES COVERS STN ANNUAL INVENTORY DATA FILES. THE DATA MANAGEMENT SECTION GENERATES AN ANNUAL STN DATA EXTRACT TO PROVIDE A SNAPSHOT OF THE STN SYSTEM FOR THE CALENDAR YEAR AND INCLUDES ANNUAL INVENTORY DATA IN THE DEPARTMENT'S REPORT TO THE FHWA. WISDOT STORES YEAR-END FILES AS VSAM FILES AND ALSO MAINTAINS ORACLE VERSIONS AT THE DEPARTMENT OF ADMINISTRATION.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

PERMANENT JUSTIFICATION: ANNUAL STN DATA EXTRACTS ALSO HAVE VALUE WITHIN THE DEPARTMENT, FOR ANALYTICAL, RESEARCH OR STATISTICAL PURPOSES. CURRENT YEAR DATA MAY BE REVIEWED AGAINST PREVIOUS YEAR SNAPSHOTS AND USED TO TRACK CHANGES TO STN SEGMENTS OVER TIME OR TO COMPARE THE STATUS OF THE STN STATEWIDE. THIS DATA HAS ONGOING VALUE TO SUPPORT MULTIPLE FUNCTIONS: PLANNING, DESIGN, CONSTRUCTION, MAINTENANCE, AND OPERATION OF THE TRANSPORTATION NETWORK, INCLUDING CONSTRUCTION/REALIGNMENT OF ROADS. THEY PROVIDE OFFICIAL TABULAR COMPILATION OF THE CUMULATIVE AND HISTORICAL IMPACTS OF ADMINISTRATIVE AND JURISDICTIONAL CHANGES ON STATE HIGHWAYS.

RETENTION: PERMANENT

00216A00.	<u>STATE TRUNK NETWORK (STN) INVENTORY DATA - BI-WEEKLY EXTRACTS</u>	<u>CR+50</u>	<u>SHSW</u>	<u>N</u>
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THE STN DATABASE DATABASE STORES INVENTORY DATA ABOUT THE STATE TRUNK NETWORK PHYSICAL AND ADMINISTRATIVE CHARACTERISTICS. IT WORKS IN CONJUNCTION WITH OTHER SYSTEMS SUCH AS DEFICIENCY, PAVEMENT INFORMATION FILE, HIGHWAY PERFORMANCE MONITORING SYSTEM (HPMS) AND LAYER & BASE. STN DATA CONTAINS THE STATE TRUNK NETWORK LIFE CYCLE FUNCTIONAL SUPPORT DATA TO MEET FEDERAL AND STATE REPORTING REQUIREMENTS AND TO SUPPORT PLANNING, DESIGN, CONSTRUCTION, MAINTENANCE, AND OPERATION OF THE TRANSPORTATION NETWORK.

TO SUPPORT MAINFRAME REPORTING, THE WISDOT GENERATES INVENTORY EXTRACT FILES ON A WEEKLY BASIS. WEEKLY COPIES OF THE STN DATA ARE PLACED ON AN ORACLE SERVER WITH AN APPLICATION, ODS (OPERATIONAL DATA STORE) THAT ALLOWS USERS TO VIEW THIS DATA AS IF 'TRAVELING DOWN THE ROADWAY.' THIS SAME BI-WEEKLY SNAPSHOT OF STN DATA IS AVAILABLE IN A GIS (GRAPHICAL INFORMATION SYSTEM) CONTEXT USING ARCFINCO OR ARCVIEW FOR ANALYTICAL PURPOSES IN CONJUNCTION WITH 'LOCATION' DATA (FROM LCM SYSTEM).

LONG-TERM JUSTIFICATION: STN INVENTORY DATA EXTRACTS PROVIDE BASIC INFORMATION FOR ONGOING WISDOT OPERATIONS AND DETAILED DATA THAT ARE USEFUL FOR ROADWAY DESIGN, CONSTRUCTION, ANALYSIS, STATISTICS, AND ASSESSMENTS. THIS RECORDS SERIES COVERS THOSE SEQUENTIAL DATA SNAPSHOTS, MAINTAINED IN ORACLE AND/OR AVAILABLE IN GIS CONTEXT.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: CREATION + 50 YEARS AND TRANSFER TO WHS.

00216B00.	<u>STATE TRUNK NETWORK (STN) CURRENT INVENTORY DATA - DB2</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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THE STN DATABASE STORES CURRENT INVENTORY DATA ABOUT THE PHYSICAL AND ADMINISTRATIVE CHARACTERISTICS OF THE STATE TRUNK NETWORK. REGION FIELD PERSONNEL DOWNLOAD DATA, COLLECT INVENTORY CHARACTERISTICS AND ENTER DATA IN THE FIELD AND TRANSMIT IT SECURELY TO THE STATEWIDE STN SYSTEM.

STN SOURCE FILE DATA RECORDS ARE STORED AT DOA. LIVE TABLES FOR THE MASTER DATABASE RESIDE ON THE WISDOT HOST (IBM MAINFRAME) IN DB2 TO BE EDITED AND UPDATED. THE DB2 FILE IS CONTINUOUSLY EDITED. IT CONTAINS CURRENT (MOST RECENT VERSION ONLY) DATA. PREVIOUS HISTORY DATA IN THIS FILE IS SUPERSEDED BY UPDATED INFORMATION.

THIS RECORDS SERIES COVERS THE DB2 FILE CONTAINING CURRENT STN INVENTORY DATA. TABLES PROVIDE DATA ABOUT THE LAST UPDATE TO A TABLE, INCLUDING DATE OF UPDATE. IT DOES NOT LINK TO PREVIOUS HISTORICAL RECORDS BECAUSE THE FOCUS IS TO CAPTURE INVENTORY INFORMATION ON CURRENT ROADWAY.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: EVENT (SUPERSEDED BY UPDATED DATA) AND DESTROY.

<u>00217000.</u>	<u>STN HIGHWAY DEFICIENCY FILE DATA - YEAR END DATA</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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REGIONS AND CENTRAL OFFICE USE THE HIGHWAY DEFICIENCY FILE TO DESCRIBE AND EVALUATE SEGMENTS ON THE STATE TRUNK HIGHWAY (STN) SYSTEM AND TO DETERMINE CURRENT AND FUTURE NEEDS. THE DTIM USES IT AS AN INPUT TO METAMANGER.

REGIONS AND CENTRAL OFFICE BOTH MAINTAIN DATA USED TO DESCRIBE AND EVALUATE SEGMENTS OF THE STATE TRUNK HIGHWAY. A SEGMENT (GENERALLY FROM 1-8 MILES LONG IN RURAL AREAS; SHORTER IN URBAN AREAS) CONTAINS A SET OF SIMILAR PHYSICAL, GEOMETRIC AND OPERATIONAL CHARACTERISTICS WITHIN A SPECIFIC SET OF POINTS.

RECORDS IN THIS SERIES COVER THE DATA COLLECTED TO MAKE UP THE DEFICIENCY RECORD FOR A GIVEN SEGMENT OF HIGHWAY. DATA ELEMENTS CAPTURED DESCRIBE THAT HIGHWAY SEGMENT'S CHARACTERISTICS INCLUDING SUCH DATA AS:

* PHYSICAL: LANE WIDTH, NUMBER OF LANES.

*GEOMETRIC CHARACTERISTICS: FROM AVERAGE DAILY TRAFFIC AND CAPACITY.

THE HIGHWAY DEFICIENCY APPLICATION USES DATA FROM STN LOG, ACCIDENT FILE, PAVEMENT FILES (PSI AND PDI), WISCONSIN HIGHWAY TRAFFIC VOLUME (AVERAGE DAILY ADT DATA), AND NEWLY COMPLETED CONSTRUCTION PROJECTS TO MONITOR HIGHWAY SEGMENTS. YEAR END DEFICIENCY FILE DATA CONTAINS A SNAPSHOT IN TIME OF HIGHWAY DEFICIENCIES. THESE ARE STORED AS VSAM FILES AND ALSO MAINTAINED IN ORACLE.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

PERMANENT VALUE: CURRENT AND PREVIOUS DATA HAS ONGOING VALUE FOR MAINTENANCE, PLANNING, PROJECT DEVELOPMENT AND REPORTING PURPOSES. RECORDS PROVIDE DATA ABOUT THE CONDITION OF HIGHWAY SEGMENTS OVER TIME.

RETENTION: PERMANENT

<u>00217A00.</u>	<u>STN HIGHWAY DEFICIENCY FILE DATA - CURRENT INVENTORY DATA - DB2</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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THE DEFICIENCY FILE DATABASE STORES CURRENT INVENTORY DATA BOUT HIGHWAY DEFICIENCIES FOR PARTICULAR SEGMENTS OF ROADWAY. DEFICIENCIES DESCRIBE PHYSICAL AND ADMINISTRATIVE CHARACTERISTICS OF THE STATE TRUNK NETWORK THAT NEED ATTENTION. REGION FIELD PERSONNEL COLLECT INVENTORY CHARACTERISTICS AND ENTER DATA INTO THE SYSTEM.

HIGHWAY DEFICIENCY SOURCE FILE DATA RECORDS ARE STORED AT DOA. LIVE TABLES FOR THE MASTER DATABASE RESIDE ON THE WISDOT HOST (IBM MAINFRAME) IN DB2 TO BE EDITED AND UPDATED. THE DB2 FILE IS CONTINUOUSLY EDITED. IT CONTAINS CURRENT (MOST RECENT VERSION ONLY) DATA. PREVIOUS HISTORY DATA IN THIS FILE IS SUPERSEDED BY UPDATED INFORMATION.

THIS RECORDS SERIES COVERS THE DB2 FILE CONTAINING CURRENT HIGHWAY DEFICIENCY INVENTORY DATA FOR THE STN. TABLES PROVIDE DATA ABOUT THE LAST UPDATE TO A TABLE, INCLUDING DATE OF UPDATE. IT DOES NOT LINK TO PREVIOUS HISTORICAL RECORDS BECAUSE THE FOCUS IS TO CAPTURE INVENTORY INFORMATION ON CURRENT ROADWAY.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: EVENT (SUPERSEDED) AND DESTROY.

<u>00218000.</u>	<u>HIGHWAY PERFORMANCE MONITORING SYSTEM (HPMS) - YEAR END DATA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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HPMS DATA IDENTIFIES THE EXTENT, HIGHWAY CONDITION, PERFORMANCE, USE AND OPERATING CHARACTERISTICS OF THE NATION'S HIGHWAYS. IT IS A SUBSET OF THE LARGER NATIONAL HIGHWAY DATA BASE AND A COMPONENT OF THE NATIONAL TRANSPORTATION DATA BASE. FHWA IDENTIFIED AND DEFINED DATA TO BE REPORTED; AND MAINTAINS WEB-BASED DATA SUBMITTAL SOFTWARE, ANALYTICAL MODELS AND TECHNIQUES FOR USE. STATE AGENCIES, LOCAL GOVERNMENTS AND METROPOLITAN PLANNING ORGANIZATIONS (MPOS) WORK IN PARTNERSHIP TO COLLECT, ASSEMBLE AND REPORT NECESSARY DATA. HPMS DATA PROVIDES HIGHWAY STATISTICS DATA TO ANALYZE, ASSESS, AND REPORT POLICY SENSITIVE SYSTEM, CORRIDOR, AND SUB AREA PLANNING, POLICY MAKING, AND DECISION MAKING AT THE NATIONAL, STATE AND LOCAL LEVELS. IT SUPPORTS MULTIPLE FEDERAL HIGHWAY TRANSPORTATION RESPONSIBILITIES. THE HPMS DATABASE ALSO PROVIDES ANALYTICAL DATA FOR STATE, REGIONAL, AND LOCAL AGENCIES. HPMS DATA BUILDS FROM LOCAL AND STATE GOVERNMENT DATA SYSTEMS, CONNECTS DATA WITH A

COMMON GEOREFERENCING SYSTEM, AND AIMS TO AVOID COLLECTING UNNECESSARY DATA. THE DATA MANAGEMENT SECTION MAINTAINS STATEWIDE YEAR-END DATA.

DATA IN THIS SERIES INCLUDES STATE DATA TAKEN FROM OTHER WISDOT APPLICATIONS: STN, WISLR, PIF, TRADAS, TAFIS, FEDERAL LANDS AND PLANNED NHS DATABASES, IN A FHWA DETERMINED FORMAT. CURRENTLY, FHWA REASSESSES THE HPMS DATA EVERY 10 YEARS TO DETERMINE NEW DATA ITEMS TO BE REPORTED. WHEN A NEW FILE DEFINITION IS IMPLEMENTED, DATA PRIOR TO THAT TIME IS NO LONGER ACCESSED.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: EVENT (YEAR END) + 10 YEARS AND DESTROY.

<u>00219000.</u>	<u>FIELD DATA COLLECTION (FDC) REGION DATA</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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THE FDC APPLICATION SUPPORTS PART OF THE STATE TRUNK NETWORK (STN) SYSTEM, INCLUDING DATA TO UPDATE THE LCM, THE STN INVENTORY, HIGHWAY DEFICIENCY FILE, AND HIGHWAY PERFORMANCE MONITORING (HPMS) DATA. REGION STN PERSONNEL COLLECT FIELD DATA WITH THE USE OF A LAPTOP COMPUTER. THEY MAY TRANSMIT COLLECTED DATA TO:

* HOST (MAINFRAME) COMPUTER SYSTEM FOR BATCH PROCESSING -LCM, STN INVENTORY, AND HIGHWAY DEFICIENCY FILES. PERSONNEL WORK WITH STN MASTER FILES; PERFORM ANALYSIS OF THE ROADWAY DATA IN THE FIELD; AND PROVIDE UPDATES TO ROADWAY DATA BY SUBMITTING LABTOP DATA TO A BATCH (MAINFRAME) PROCESS. FIELD PERSONNEL SUBMIT AND RECORD DATA TO STN DATABASES USING A SECURE SYSTEM (CICS) FOR AUTHORIZED USERS ONLY.

*REGION-SPECIFIC HPMS DATABASES - REGION-LEVEL HPMS DATA

RECORDS IN THIS SERIES INCLUDE THE FOLLOWING:

* FDC BATCH DATA COLLECTED IN THE FIELD-ELECTRONIC FORMAT

*REPORTS OF ROADWAY CHANGES MADE ON THE LABTOP SYSTEM, INCLUDING ANY REPORTS TO IDENTIFY LINK ERRORS OR DISCREPANCIES

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

FIELD PERSONNEL DO NOT NEED TO MAINTAIN COPIES OF DATA ON LABTOPS AFTER SUCCESSFUL SUBMITTAL TO: STN THROUGH THE CICS SYSTEM OR REGIONAL DATABASE.

RETENTION: EVENT (SUPERSEDED BY UPDATED SUBMITTAL TO STN) AND DESTROY.

<u>00222000.</u>	<u>WISCONSIN INFORMATION SYSTEM FOR LOCAL ROADS (WISLR)</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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WISLR IS AN INTERNET-ACCESSIBLE SYSTEM FOR LOCAL GOVERNMENTS AND WISDOT TO MANAGE LOCAL ROAD DATA, MAKE DECISIONS AND COMPLY WITH FEDERAL AND STATE REQUIREMENTS. WISLR COMBINES LOCAL ROAD DATA WITH GIS MAPPING TECHNOLOGY TO DISPLAY DATA IN A TABULAR FORMAT, ON A MAP, OR BOTH. WISLR LOCAL ROAD DATA INCLUDES: WIDTH, SURFACE TYPE, SURFACE YEAR, SHOULDER, CURB, ROAD CATEGORY, FUNCTIONAL CLASSIFICATION, PAVEMENT CONDITION OF ROADS UNDER THEIR JURISDICTION TO WISDOT. LOCAL GOVERNMENTS USE WISLR'S DATA ENTRY, QUERY, ANALYTICAL, AND SPREAD-SHEET FUNCTIONS TO ORGANIZE, ANALYZE, UPDATE AND EDIT THEIR DATA FOR:

- PAVEMENT CONDITION RATING SUBMITTALS

- ROAD INVENTORY ASSESSMENTS.

- WISLR MAPPING: ROAD-RELATED DATA, ILLUSTRATE TRENDS.

-GOVERNMENTAL ACCOUNTING STANDARDS BOARD STATEMENT 34 (GASB 34). LOCALS MUST COMPLY WITH REQUIREMENT TO REPORT THE VALUE OF LOCAL ROADS AS INFRASTRUCTURE ASSETS.

PERMANENT JUSTIFICATION: WISLR DATA HAS ONGOING VALUE TO TRACK LOCAL ROAD CHANGES OVER TIME. IT HAS ONGOING REFERENCE, STATISTICAL AND POLICY RESEARCH VALUE TO THE DEPARTMENT.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: PERMANENT

<u>00224000.</u>	<u>UTILITY COORDINATION FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Utility Facility Relocation Case Files: TRANS 220 STH Improvement Projects: WisDOT developed utility relocation/coordination methods in the 1960's. Since 1994, records in this series relate to scheduling utility facility relocations within right-of-way of state trunk highway improvement Let projects, implementing TRANS 220 Wis. Adm. Code and s. 84.063, Wis. Stats. Utility relocation may or may not entail negotiation of utility agreements. Records include:

DT 1077: Notification and cover letter and exhibits sent to all utility facilities in project area.

List: known utilities in the project area; Diggers' Hotline and local government correspondence related to locating underground utility facilities, including FAX, web, calls, emails, etc.

Field location data utility facilities in the project area (FDM 18-10-5)

System maps from utilities; comparison with highway plan information; existing utility facilities on plat, plans and cross sections (FDM 18-10-25)

Utility representative input, comments from Operational Planning and Public Info Meetings

Utility Temporary Highway Construction Easement forms

Form DT 1078 (output from TUMS), with cover letter, plans and related exhibits

Utility work plans submitted by the utility company under TRANS 220.05(4), Wis. Adm. Code., WisDOT review comments, Work Plan Approval and/or Start/Work Notices to Utilities.

Utility owner correspondence, meetings: potential conflicting work plans, coordination, etc.

Special provisions identified as part of PS&E (FDM 18-10-40)

Utility Status Report (Form DT 1080) part of PS&E (FDM 18-10-40): lists utilities on the project.

Work utility contract copies: Official contracts records in BBS/EA

Plans and plats cross sections, revised plan sheets with changes as required; and final (reduced size) plan set and copy of Special Provisions for each project area utility
TRANS 220 Log (form DT 1079)

Utility permit review records. Note: long-term permits in Access Permits RDAs.

Utility Funding Agreements between WisDOT and utilities to pay for moving lines, cables, pipes, poles or other utility facilities prior to or during construction projects. Regions negotiate funding, and Central office signs agreements specific to particular highway projects. Utility companies are assigned a unique project ID # if they will be compensated.

STH Utility Coordination Task List

The Official Copy is maintained by the Regional Utility Coordinator during construction and kept in regional Project files after financial closure. Retention = EVENT (Financial closure) + 3 years and destroy.

<u>00224A00.</u>	<u>NON-STH UTILITY RELOCATION PROJECTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Non-STH Utility Relocation Projects: The WisDOT also coordinates Utility Relocation for projects that are not specified in Trans 220, i.e., Let contracts on local systems, projects that entail engineering consultant or local engineering highway design and coordination. Regional Utility Coordinators are NOT involved on local system projects, and data on these projects is not currently included in the Transportation Utility Management System (TUMS)
However, Project Managers are required to coordinate efforts with utility companies and follow the Facility Development Manual Chapter 18 for all projects. Therefore, records in this sub-series are similar in content to those for Trans220 projects (above).
Retention: EVENT (financial closure of project) + 3 years and destroy.

<u>00224B00.</u>	<u>COMPLIANCE REVIEW REPORTS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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Trans 220 Compliance Review Reports: Records in this series are reports that document WisDOT program audits of each region for compliance with TRANS 220 policies and processes. The Central office Utility and Access Unit in the Technical Services Bureau conducts regular audits of regional utility coordinators to assure consistent compliance with program policies and practices. Representatives from the Federal Highway Administration may participate in the audit. Each report combines results of all regional audits into one document. Copies are sent to the FHWA.
Retention: (EVENT) date audit report finalized + 3 years and destroy.

<u>00225000.</u>	<u>UTILITY COMPANY CASE FILE</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Utility Company Case File: The WisDOT collects data from each utility for coordination purposes. Data may be collected in paper or electronic format, i.e., letters, e-mails, digital information, maps, plans, etc. including utility company names, locations, contact names, telephone and e-mail addresses. Utility companies provide service area data, maps with drawn parameters, section, township, range identifiers, etc. Diggers Hotline correspondence and communications also may identify service area data, and companies identify facilities removed or changed. Records in this series provide input data for the TUMS database and project management information to coordinate projects.
Retention: Retain data until EVENT entered into TUMS system, obsolete or superseded by updated information and destroy.

<u>00226000.</u>	<u>TRANSPORTATION UTILITY MANAGEMENT SYSTEM (TUMS) UTILITY COMPA</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Transportation Utility Management System (TUMS) Utility Company Inventory Data – Electronic: The TUMS system maintains sufficient master data on each utility company and its service area to coordinate highway construction and maintenance projects. Data

includes:

Utility name, identifiers, service area data, public land survey system location nos. (section, range, etc.), and facility type: pipelines, buildings, towers, telephone poles, cables, electrical facilities.

Data is updated to reflect current status of utility service area territory and current utility contact personnel only.

Retention = EVENT (facility information superseded, i.e., additions, deletions, amendments or terminated) and destroy

<u>00226A00.</u>	<u>TRANSPORTATION UTILITY MANAGEMENT SYSTEM (TUMS) UTILITY COORD</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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Transportation Utility Management System (TUMS) Transaction Tracking Case Data-Electronic: Data in this series is generated during the life of a highway project in order to correspond and communicate with utilities, negotiate relocation agreements and track process of utility relocation during each project. The WisDOT Utility Coordinators store information about the project, including information from utilities in electronic folders. TUMS also generates forms and documents needed to transact business and coordinate with utilities.

Records track each relocation project and include:

-Form DT 1077 - Notification form and cover letter and exhibits to all utility companies with potential for facilities in the project area.

-Form 1078 - Compensable or Non-compensable

-PS&E - COPY

-Utility correspondence data

-TUMS II may include more forms and letters: negotiation, exceptions, etc.

The Utility and Access Unit, Tech. Services, Central office maintains the official copy in the TUMS database. Regions may have electronic folder copies.

Retention: EVENT (Project financial close) + 3 years

<u>00226B00.</u>	<u>AD HOC TUMS REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Ad hoc TUMS Reports: Records in this series are output reports from the TUMS and generated on an ad hoc basis as needed. Reports include lists of impacted utilities, and they are generated by inputting the project identifier. Other reports may be generated to provide reports or respond to requests for information from WisDOT management, counties and local units of government, federal agencies or other requestors who are permitted to have access to data in TUMS. Note: Certain information is restricted for Homeland Security purposes. Retention: EVENT (Not Needed) and destroy.

<u>00227000.</u>	<u>REGIONAL UTILITY DATA - WORKING ELECTRONIC FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Regional Utility Data – Working Electronic Files: Regions have used Access databases, spreadsheets and other methods for various utility coordination purposes:

- Utility facility inventory data: identify utility service territories by location and type, provide utility contact information
- Relocation project coordination and tracking.
- Ties relocation data to FIIPS project identifiers to track payments

The TUMS system contains master information from these working electronic files and has eliminated the need for them in cases when data is migrated to TUMS.

Retention: EVENT (Necessary data migrated to TUMS or not longer needed) and destroy.

<u>00228000.</u>	<u>UTILITY COORDINATION CONFERENCE MEETING AGENDAS AND CONFEREI</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Utility Coordination Conference Meeting Agendas and Conference Reports: The WisDOT conducts the following regular meetings related to utility coordination:

- Regional Annual Conference, held in January. WisDOT invites companies to attend to be apprised of upcoming highway projects. For this conference, WisDOT prepares a booklet containing maps, project reports and TUMS output reports.

• Region Utility Coordinator Conference – held each Fall for WisDOT personnel. A session for companies may also be included as a small part of the agenda.

Records in this series also include meeting agendas, notes and presentations.

Retention: EVENT (meeting or conference date) + 10 years and destroy.

<u>00229000.</u>	<u>WIS DOT GUIDE TO UTILITY COORDINATION</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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WisDOT Guide to Utility Coordination: WisDOT provides complete information on Trans 220 and utility coordination in this Guide document. Since 2006, the document has been distributed in electronic format. The WisDOT discontinued printing paper in 2006. A pdf version of the current Guide is made available via the Department web site.

Retention: EVENT (superseded) + 20 years and destroy.

<u>00235000.</u>	<u>EMERGENCY TRAFFIC OPERATIONS (ETO) EVACUATION PLANS, REPORTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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WisDOT works with numerous partners including state and local agencies, law enforcement, emergency response teams, tow companies and other public and private organizations to develop emergency traffic operation plans which are used in assisting responders in emergency incidents.

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

- ETO/Emergency Evacuation (EVAC)/Alternate Routes - Emergency Traffic Operations/Evacuation/Alternate Route

- Plans,
- Maps and Guidance documents
 - Incident Management Plans
 - Supporting documentation
 - Related reports
 - Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 3 = Date information is updated, superseded or discontinued; destroy

<u>00236000.</u>	<u>TRAFFIC CONTROL PLANS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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Plans created by WisDOT Regional Traffic Engineers and/or TMC personnel to deal with emergencies, serious traffic incidents or special events and work zone temporary traffic plans. Records in this series may include but are not limited to:

- Emergency and Special Event Traffic Control Plans: traffic control plans to deal with emergencies, serious traffic incidents and/or special events (for example: Summerfest, State Fair, sporting events and conventions that involve crowds).
- Work Zone Temporary Plans: temporary traffic plans created to address alternative routes, detours, access to businesses, time delays, etc. related to construction activities on Wisconsin roads.
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Supersedes RDA 00236-AOO -Traffic Control Plans - Work Zone and Temporary Plans. This RDA now includes those records.

EVT + 2 = project completion or plan superseded; destroy

<u>00237000.</u>	<u>SPECIAL TRAFFIC STUDY PROJECT REPORTS</u>	<u>EVT+2</u>	<u>SHSW</u>	<u>N</u>
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Includes WisDOT traffic study reports on traffic engineering, safety and traffic flow study projects. Projects are produced in BTO, by Regional Traffic Engineering Staff and/or by Traffic Engineering consultants.

Report topics may include:

- Special travel studies
- Bypass impacts
- National scans of best practices
- Other state traffic initiatives, newer technologies to monitor and manage traffic

Special regional studies/reports may include:

- Speed studies
- Intersection safety/highway segment safety studies
- Signal/signal system operations
- Intersection traffic count program
- Intersection Control Evaluation (ICE) report
- Traffic analysis models/simulations

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 2 yrs = Date reports are superseded or obsolete; transfer to WHS

<u>00238000.</u>	<u>TRAFFIC DECLARATIONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Traffic declarations allow an agency to declare certain requirements on a roadway by law. WisDOT has statutory authority to develop and modify the following traffic declarations:

- Speed Zones declarations
- Through-Highway declarations
- Parking declarations

Declarations remain in effect until WisDOT replaces them with a new declaration. In addition, information would be obsolete if the road is either transferred to another jurisdiction or is replaced by a new road. In that instance, the declarations would be discontinued.

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

- declaration permits

- supporting documentation
- related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 10 yrs = Date declaration is discontinued or superseded by new declaration; destroy

<u>00239000.</u>	<u>TRAFFIC IMPACT ANALYSIS (TIA) CASE FILES - APPROVED AND DENIED TIA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Engineering consultants study potential traffic impacts of a proposed traffic generator (i.e., new development) to develop the TIA and submit it to the WisDOT Regional office as a requirement for obtaining any permits.

After the TIA is approved, the development may take many years before completion. WisDOT needs to retain the approved TIA to assure that the development is consistent with the terms and conditions of the approved TIA and related access permits.

WisDOT also maintains denied TIA records in case a revised/updated TIA proposal is submitted.

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

- Approved TIA study reports
- Denied TIA records
- Supporting documentation
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 10 yrs = Date of TIA approval provided project completion or Date of TIA denial; destroy

<u>00241000.</u>	<u>HIGHWAY LIGHTING PLANS - PLANS SPECIFICATIONS & ESTIMATES (PS&E)</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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Plans for WisDOT owned lighting are created through Project Design Section projects. The initial plans for WisDOT owned lighting are included in the highway lighting PS&E. The plan set for the entire project is kept in the Bureau of Project Development.

However, the highway lighting plans of the PS&E are kept by the regional traffic units. They are responsible for maintaining and operating the lighting. The regional traffic units maintain these lighting plan sheets and any modifications/updates to lighting plans are done only in the Region Traffic Unit. When modifications are done to the plans they become the official record and are kept by the regions.

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

- Highway lighting plans
- Specifications and estimates related to lighting
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 3 yrs = date lighting plan is superseded or date lighting structure is removed or replaced by a new lighting structure; destroy

<u>00242000.</u>	<u>FLASHING BEACON PLANS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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Flashing Beacons are intersection control beacons installed and used only at an intersection to control two or more directions of travel. Intersection control beacons are intended for use at intersections where traffic or physical conditions do not justify conventional traffic signals but where high crash rates indicate a special hazard.

The plans show where these beacons are installed. WisDOT engineers or consultant engineers develop flashing beacon plan sets. The Region Traffic Unit is responsible for maintaining and operating the flashing beacons.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 3 yrs = date the beacon is removed or replaced; destroy

<u>00243000.</u>	<u>SIGNAL INVESTIGATION REQUEST, STUDY AND DECISION - APPROVED AND DENIED</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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A Signal Investigation Study evaluates the needs for installing a proposed new traffic control signal on a State Trunk Highway.

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

- Signal investigation request form

- Investigation study completed by consultant
- BTO approval or denial
- Supporting documentation, correspondence, photos, maps, etc.
- ICE report
- Signal warrants
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 3 yrs = signal life (replaced or removed); destroy

<u>00244000.</u>	<u>PERMANENT TRAFFIC SIGNAL PLAN FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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Records in this series are permanent traffic signal plan sets for projects designed and constructed in WisDOT regions and non-projects. After installation, plan sets are used for program administration including traffic signal inspections, review, repair and maintenance activities.

Traffic signal plan set records may include, but are not limited to:

- Signal plan sheet - identifies signal plan, intersection location, equipment and geometrics
 - Sequence of operations sheet
 - Intersection and other site-specific information. Each plan is a customized modification of standard plans and specifications.
 - Cabinet drawing
 - Signal timing/controller program
- Each region maintains files of plan sets within the particular region.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 7 yrs = date signal plan is modified or replaced; destroy

<u>00245000.</u>	<u>TEMPORARY TRAFFIC SIGNAL FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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Temporary traffic signals are installed in cases of highway construction, detours or other temporary need for a traffic signal (construction staging). Each region maintains the official paper version of temporary traffic signal plan sets within the region. Plans are used until the project is completed and the temporary signal plan is removed from the site.

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

- Signal plan sheet
- Sequence of operations sheet
- Temporary signal timings
- Intersection and site-specific information
- Related correspondence and other supporting documentation.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 7 yrs = date project is completed and signal removed; destroy

<u>00246000.</u>	<u>GENERATOR AND GUIDANCE SIGNAGE REQUESTS & TRAFFIC MAINTENANCE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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BTO develops standards and regions determine the need and install and maintain regulatory, signs, warning signs and route signs on the right-of-way. Regions receive requests to install Regulatory signs, warning signs, route signs, and permitted signs for which regions grant permission or approve permits for locals to install on the highway. Records documenting reasons for denial need to be retained for a period in case the request is resubmitted.

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

- Justification for signs and agreements
- Permits to install signs
- Traffic maintenance agreements
- Supporting documentation provided to approve or deny the request and the completed agreement.
- Records, including justification for signs and agreements, need to be retained while the signs are in place.
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 5 yrs = date of denial or date sign is discontinued (removed); destroy

<u>00247000.</u>	<u>SERVICE SPECIFIC INFORMATION SIGNS (SIS) RENTAL AGREEMENTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
<p>Wisconsin participates in a national program to provide motorists with directional information for services via Specific Information Signs (SIS). This program is authorized under Wis. Stat. § 86.195 and it provides local businesses signage on highways. A SIS contractor administers the program.</p> <p>Records in this series may include, but are not limited to:</p> <ul style="list-style-type: none"> • Completed application to participate in SIS program • Rental agreement, specifying rental agreement terms and conditions • Agreement updates and amendments • Related correspondence <p>The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.</p> <p>EVT + 10 = Date the agreement terminated or superseded by updated agreement; destroy</p>				
<u>00248000.</u>	<u>SERVICES SPECIFIC INFORMATION SIGNS (SIS) MASTER INVENTORY DATA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
<p>WisDOT's SIS program manager maintains an electronic inventory of all signs, panels and rental agreements on Wisconsin highways.</p> <p>Data is currently maintained in a database that identifies signs, rental agreements, locations, counties, installation and agreement dates and other administration information.</p> <p>EVT + 10 yrs = data superseded or sign is replaced or removed; destroy</p>				
<u>00249000.</u>	<u>SERVICES SPECIFIC INFORMATION SIGNS (SIS) INVENTORY REPORTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
<p>Records in this series are annual and quarterly reports prepared by the SIS contractor and submitted to the BTO. The report provides summary information on all SIS signs in Wisconsin, including:</p> <ul style="list-style-type: none"> • Number of sign panels and number of sign structures • Location of SIS signs by intersection and region • Checks remitted for quarterly rental fees collected . <p>The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.</p> <p>Supersedes RDA 00249-AOO - Services Specific Information Signs (SIS) Quarterly Reports</p> <p>EVT + 10 yrs = Date reports are created; destroy</p>				
<u>00250A00.</u>	<u>QUALIFIED SIGN MANUFACTURERS LIST</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
<p>The WisDOT maintains a list of qualified Tourist Oriented Directional Sign (TODS) manufacturers. Businesses that qualify for a TODS may contact any of the listed manufacturers to obtain sign manufacturing cost estimates. The list identifies the manufacturing firm, address, telephone, and contact information.</p> <p>The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.</p> <p>EVT + 1 = date list is superseded or updated; destroy</p>				
<u>00251000.</u>	<u>TOURIST ORIENTED DIRECTIONAL SIGN (TODS) APPLICATIONS / PERMIT FI</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
<p>Under Wis. Stat. § 86.196, qualifying businesses, services or local attractions may have advertising signs that provide directional information. Records in this series include:</p> <ul style="list-style-type: none"> • Completed TODS Application/Permit • Business Panel Order form with specifications on business panels and pricing and camera-ready artwork for production of panels. Businesses provide their own panels or have a sign manufacturer produce the business panels as part of the order form. • Related correspondence <p>The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.</p> <p>EVT + 10 yrs = Date permit is approved or denied; destroy</p>				
<u>00251A00.</u>	<u>TODS INVENTORY LISTING</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>

This record is a listing of all Tourist Oriented Directional Signs (TODS) in the State. The listing is updated annually to list all approved TODS signs.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 10 yrs = Date list is superseded or discontinued

<u>00252000.</u>	<u>TRAFFIC ASSET MANAGEMENT INVENTORY MASTER DATA</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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BTO and Regions use inventory management systems to create and maintain continuous inventory and maintenance records for state signing, pavement marking, traffic signals, lighting, and intelligent transportation system devices. Master data includes:

- Asset inventory
- Maintenance inventory
- Reports
- Firmware versions (controllers, computer programs, other traffic signal components)
- High resolution data (WisBOOM)
- Adaptive and Traffic Responsive Data
- Centracons and TACTICS Data
- Connected Vehicle data (Signal Phasing and Timing)
- Conflict monitor test results
- Fiber_agreements and assignments
- As-builts for both fiber/communication and field devices

EVT + 7 yrs = date data is superseded or device is removed or replaced.; destroy

<u>00253000.</u>	<u>SIGN PLATE CADD DRAWINGS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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BTO creates sign plate designs using Computer Aided Design Drawing (CADD) software. Drawings include specific sign design information as required by the Wisconsin Manual on Uniform Traffic Control Devices standards

EVT = date the 2nd to the last version of the drawing file is superseded; destroy

<u>00255000.</u>	<u>ADVANCE TRANSPORTATION MANAGEMENT SYSTEM (ATMS) TRAVEL TIME</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Using ATMS electronic detectors, closed circuit television cameras, ramp meters and variable messages signs, WisDOT monitors and logs freeway travel times. Detailed travel time log data is kept for 10 years, then superseded and destroyed.

EVT + 10 yrs = = Date log is superseded; destroy

<u>00255A00.</u>	<u>ATMS CAMERA IMAGES</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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The ATMS system captures still picture images of the freeway every three minutes and posts the image to the WisDOT web site. Images are updated continuously by the next image.

Images are replaced every 3 minutes.

EVT = image superseded by next image; destroy

<u>00255B00.</u>	<u>ATMS LANE DETECTOR DATA</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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The ATMS computerized system collects data on lane volume, speed and occupancy information every 5 minutes from every detector in the state system. This data is detailed traffic statistical information on Wisconsin highway use. The UW-Madison Traffic and Operations Safety (TOPS) Lab maintains the official data for WisDOT and is responsible for archiving data for business research purposes.

Retain raw data for 20 years and destroy, provided it has been analyzed and summarized in traffic impact and other research studies.

EVT + 20 yrs = Date of creation; destroy, provided data has been analyzed and summarized)

<u>00255C00.</u>	<u>ATMS CLOSED CIRCUIT VIDEO NON-INCIDENT RECORDINGS</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>N</u>
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The WisDOT captures continuous video from each CCTV cameras on the freeway and major arterial system, using the ATMS system. CCTV camera images provide WisDOT and other first responders a valuable tool for not only monitoring traffic conditions, but also for monitoring activities at major incident scenes. The video is encoded in the field and decoded at the TMC.

Currently, all the cameras on the digital video system are being archived for 72 hours (3 days). The video files are divided into 15-minute intervals throughout the day. Each evening at midnight the oldest day's files are deleted.

EVT + 3 days= date of creation; destroy

<u>00255E00.</u>	<u>ATMS CLOSED CIRCUIT CAPTURED INCIDENTS / EVENTS VIDEO RECORDS</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>N</u>
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WisDOT captures continuous video from each CCTV cameras on the freeway and major arterial system, using the ATMS system. CCTV camera images provide WisDOT and other first responders a valuable tool for not only monitoring traffic conditions, but also for monitoring activities at major incident scenes.

This records series covers monitoring and surveillance video recordings with captured incidents and events that can lead to investigations or claims and any related records.

WisDOT will move off any video with incidents that may need further review from the archive video hard drives to a saved video folder, and retain it for 120 days from the date of creation. The retention meets the statute of limitations to file a claim against any agency.)

Note: Recordings must be kept until all investigations, claims, legal proceedings, open records requests have been fulfilled or no longer needed. Appropriate procedures must be in place to ensure the record is available when needed/requested.

Reason for creation: Records previously covered under 00255-C00. New RDA needed because these records have a different retention.

EVT + 120 Days: Event = Date of Creation

<u>00256000.</u>	<u>LANE AND RAMP CLOSURE REQUEST DATA</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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The Lane Closure System is part of the UW WisTransPortal system which tracks lane and ramp closures statewide. Lane closure data may be needed for statistical analysis purposes along with detector data to see if a lane closure had a significant impact on detector statistics.

EVT + 20 yrs = Date lane closure period ends; destroy

<u>00257000.</u>	<u>STATEWIDE INCIDENT NOTIFICATION PROCESS (SINP) INCIDENT DATA AND</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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The WisDOT maintains a system containing key data on traffic incidents. Information is submitted through the SINP process by a Control Room Operator or law enforcement official, identifies unplanned incidents and provides summary information and statistics related to unplanned incidents (special events and construction), freeway service patrol assists, DMS usage, system maintenance, etc. The records series may also include related correspondence or exhibits and is used for performance reports, research and training.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Supersedes RDA 00257-AOO Statewide Incident Notification Process (SINP) Incident Master Data

EVT + 3 yrs = Incident termination date; destroy

<u>00257B00.</u>	<u>STATEWIDE INCIDENT NOTIFICATION PROCESS (SINP) INCIDENT MONTHLY</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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WisDOT generates required monthly and quarterly performance reports of the following traffic incidents: unplanned incidents, incident statistic summary, planned incidents (special events and construction), freeway service patrol assists, DMS Usage, Travel Rate Index, System Maintenance, and TMC Incident Notification.

Yearly performance reports include unplanned incidents, incident statistic summary, planned incidents (special events and construction), freeway service patrol assists, DMS Usage, Travel Rate Index, System Maintenance, and TMC Incident Notification. Reports need to be retained to view incident history over time and for planning and administrative purposes.

Supersedes RDA 00257-COO Statewide Incident Notification Process (SINP) Annual Performance Reports which are now included under this RDA

EVT + 3 yrs = date reports are superseded; destroy

<u>00258000.</u>	<u>DISADVANTAGED BUSINESS ENTERPRISE (DBE) FIRM CERTIFICATION FINA</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Disadvantaged Business Enterprise (DBE) Certification Financial Records: Records in this series are financial records submitted by firms requesting DBE certification or renewal, including:

- Personal Financial Statement,
- Financial and operational records, including gross receipts for three previous years
- Tax returns, loans, insurance, and other financial reports

These types of documents are resubmitted for annual recertification as Disadvantaged Business Enterprise (DBE) firms, as specified in federal 49 CFR Part 26. Files include sensitive/confidential financial information.

Retention: Creation (DBE submittal) + 5 years and destroy.

<u>00259000.</u>	<u>PRIME CONTRACTOR DBE FIRM REPLACEMENT REQUESTS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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Disadvantaged Business Enterprise (DBE) Non-Performance/Contractor Replacement Case Files: In certain cases, when a DBE contractor cannot perform required work and does not meet certification requirements, the prime contractor and WisDOT attempt to replace the firm with another DBE contractor. Records in this series include:

- Documentation that the original DBE contractor does not comply with requirements
- Approval for replacement DBE firm
- Evidence of Good Faith effort to solicit, locate and replace DBE
- Related correspondence and informational materials.

Documentation needs to be retained for 5 year maintain to document patterns of performance and validate potential fraudulence or decertification. RETENTION: Event (final project payment) +5 years and destroy.

<u>00260000.</u>	<u>LIST OF DBE CERTIFIED FIRMS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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List of DBE Certified Businesses: The Department maintains a Unified Certified Program (UCP) Web-based application for WisDOT and its state and national partners. The list of every registered UCP certified firm provides the following information:

- Geographic area served
- North American Industry Classification System (NAICS) codes
- Name of DBE firm

Categories of work for which firms are certified, i.e., construction, supplier, trucking, etc.

- Contact information
- Retention: EVENT (List superseded by updated list) + 1 year and destroy.

<u>00261000.</u>	<u>DBE SUPPORT SERVICES AND CONSULTING INFORMATION / MATERIALS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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DBE Support Services and Consulting Information and Materials: Once certified, the WisDOT offers one-on-one consulting assistance and other support services to DBE (Disadvantaged Business Enterprise) firms. If/when firms use the services, relevant consultation records that specifically deal with the firms needs may be included in the DBE Case Files (see RDA # 6 above).

Records in this series are handouts, information, guides and training materials developed to provide support services and consulting to DBE firms, including:

- Management services in business plan development
- Financial package preparation
- Accounting systems
- Bonding and marketing assistance
- Technical assistance

Retention: EVENT (material is discontinued or superseded) + 5 years and destroy.

<u>00262000.</u>	<u>DISADVANTAGED BUSINESS ENTERPRISE (DBE) POLICY, PLANS, AND GOA</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>N</u>
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Disadvantaged Business Enterprise (DBE) Policy, Plans and Goals: Under 49 CFR Part 26, the WisDOT Civil Rights and Compliance Section, BEES, interprets laws and policies, develops a Disadvantaged Business Enterprise (DBE) plan and drafts proposed DBE goals for each Federal Fiscal Year (FFY). Goals for DBE participation cover three modal administrations: Highways, transit and airports, each with component goals, including how the goals will be met by race-conscious means (assigned goal) and/or by race-neutral means (voluntary efforts). Detailed goal information, breakdowns and rationale are made available for public inspection and comment.

Records in this series include the following:

- Background information on DBE program creation and program modifications, i.e., changes made to address amendments to the law, controversial issues or concerns, etc.
- DBE program policies, including WisDOT interpretation of federal requirements, policy justifications and explanations.

Each draft fiscal year plan, public comments as submitted, and final plans approved.
RETENTION: Superseded + 10 years and transfer to Wisconsin Historical Society (WHS).

<u>00263000.</u>	<u>CONTRACTOR LABOR, WAGES, AND EEO CASE FILES</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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Contractor Labor, Wages and EEO Case Files: Records in this series document the prime highway contractor's compliance with provisions governing employment and payment of persons hired by contractors, subcontractors and suppliers to perform contract work. WisDOT contracts with federal funding require nondiscrimination goals and timetables for minority and female participation in the contract; payment of a predetermined minimum wage; statement and payroll recordkeeping and reporting. WisDOT contracts that have state and federal funding require posting at the work site, affidavits of compliance, etc. The contractor and subcontractor are required to

provide records in this series to the WisDOT Equal Rights Officer.

- Weekly Payroll Report DT1929: Payroll number and project identifiers: lists all employees by name, classification, with hours worked; wages earned; fringe benefits paid to plans, programs or directly to employees; employee check information and deductions.

- Compliance Statement to Accompany Contractor's Weekly Payroll DT 1816 signed by the contractor/subcontractor or agent: For the payroll period, the statement certifies that all employees on the project were paid wages earned, identifies exceptions and explains deductions and fringes as necessary.

- Affidavit statement: Upon completion of work, the contractor is required to submit written statements of compliance with labor rates. Previously required and discontinued in 2004.

- Trainee/Apprentice Report DT 1930: required for each individual employed on the contract as a bonafide trainee under special provisions. Also discontinued approximately 2002.

Equal Rights Officers spot checks and observations: Records of observations, spot interviews with employees, records checks for laborer and mechanics classifications, checks of timekeeping methods, payday and paycheck examination records, complaints and responses.

Regions keep this record with contract files in the project finals box.

Retention: EVENT (project final payment) + 4 years and destroy.

<u>00264000.</u>	<u>CONTRACTOR PAYROLL AGENT AUTHORIZATION</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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Contractor Payroll Agent Authorization: This records series is a document from the contractor providing authorization that another employee can act as the Contractor's agent and sign payrolls. This authorization is signed by the contractor/subcontractor required to submit payroll reports and maintained on file in the region.

This record may apply to more than one particular highway project.

Retention: EVENT Agent Authorization discontinued (all projects with this contractor completed) or superseded by terminated or amended authorization + 4 years and destroy.

<u>00265000.</u>	<u>COMMERCIAL STATUS REQUEST CASE FILE</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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Commercial Status Request Case File: Operator Commercial Status of Materials Request and Decisions: Operators may submit in writing reasons for considering materials produced as "commercial." Federal and state wage rates do not apply to workers, mechanics, truck drivers or laborers of commercial establishments as for contractors. Regions approve or deny requests for commercial status or contact the Bureau of Project Development. Records are filed by type of submitted operators.

Retention: EVENT (superseded by terminated or amended status) + 6 years and destroy.

<u>00266000.</u>	<u>CONSTRUCTION CONTRACT EEO REVIEW REPORTS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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Construction Contract EEO Review Reports: The WisDOT conducts EEO reviews to determine contractor compliance with contract provisions for Federal Aid Construction Contracts (FHWA 1273). Records in this series include:

- Meeting notice and WisDOT request for documents

- Contractors records, notes and documents supporting the company's EEO and Affirmative Action performance: copy of EEO, discrimination policy, Affirmation Action Plan, employment application form, samples of recruitment letters.

- Compliance Review Questionnaire EC-702 completed by contractor

- WisDOT report – including recommendations and review findings.

- Follow up letters, correspondence with contractor

Retention: EVENT (date report finalized) + 4 years and destroy.

<u>00267000.</u>	<u>CONTRACTOR LABOR COMPLIANCE REQUIRED REPORTS</u>	<u>CR+4</u>	<u>DEST</u>	<u>N</u>
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Contractor Labor Compliance Required Reports: Equal Rights Officers are required to submit reports to WisDOT Central Office Labor Compliance Supervisor as follows:

- Semi-Annual Labor Compliance Enforcement Report PR 1494: identifies number of contracts awarded and total dollar amount awarded – only for Federal Aid Contracts. This is prepared in the region.

- Federal Aid Highway Contractors Annual EEO Report PR1391: provides an employment snapshot – submitted annually by contractors working on Federal aid construction projects with contracts over \$10,000.

- Federal Aid Highway Construction Summary PR 1392, which is a compilation of all of the 1391's submitted. Prepared by BEES, Central, Equal Opportunity Specialist.

EEO Compliance Data Report E-C-702: used to determine if the contractor is in compliance with Executive Order 11246 and Title 23 CFR: non-discrimination in hiring and employment practices, affirmative action related to representation of minorities and women in the highway construction industry, and appropriate use of federally assisted OJT training programs. Prepared by contractors undergoing an Equal Employment Opportunity Review.

Retention: Creation + 4 years and destroy

00268000. **WAGE COMPLAINT / INVESTIGATION OF LABOR VIOLATIONS** **EVT+4** **DEST** **N**

Wage Complaint / Investigation of Labor Violations: Per policies outlined in s. 103.50, Wis. Stats. and the federal Stats. Davis Bacon Act, the WisDOT investigates wage complaints. The investigation process occurs at the regional level initially. If not resolved, it is then appealed to Central office Civil Rights and Compliance Section, BEES. Records include:

- Wage Complaint in writing
- Notice to contractor
- Examination report of time cards, payrolls and other employment records
- Documentation of all steps taken to attain compliance and related correspondence, including e-mails.
- More difficult cases that are not resolved may be forwarded to Central Office for further sanctions to the contractor.

Retention: EVENT (date claim resolved) + 4 years and destroy.

00270000. **REGION OUTDOOR ADVERTISING NONCONFORMING SIGN FILES** **EVT+10** **DEST** **N**

REGIONAL SIGN COORDINATORS MAY CREATE AND MAINTAIN FILES TO MONITOR INDIVIDUAL OUTDOOR ADVERTISING SIGNS WITHIN THEIR JURISDICTION AND ASSURE COMPLIANCE WITH LAWS AND REQUIREMENTS. RECORDS MAY INCLUDE:

- * FILES IDENTIFYING NONCONFORMING SIGNS INSTALLED PRIOR TO THE 1972 SIGN CONTROL LAW OR ERECTED LEGALLY AFTER THE LAW WAS ENACTED. SUCH SIGNS DO NOT MEET THE REQUIREMENTS FOR A NEW SIGN PERMIT BUT NEED TO BE MONITORED UNTIL REMOVED OR LEGALLY RELOCATED.
- * COORDINATOR COMMUNICATIONS WITH SIGN OWNERS AND/OR LANDOWNERS, INCLUDING LETTERS, MEMOS, E-MAILS, AND NOTES DOCUMENTING TELEPHONE CALLS.
- * COMMUNICATIONS WITH BHO VERIFYING SIGN REMOVAL, OWNER CHANGE, ETC.
- * PHOTOS, GRAPHICS, LAYOUTS, SKETCHES, FIELD NOTES, ETC. (MAY BE SCANNED INTO OASIS SYSTEM).
- * ENFORCEMENT ACTIONS, REMOVAL ORDERS, HEARING DECISIONS

RETENTION: EVENT (SIGN REMOVED, PERMIT TERMINATED AND TERMINATION SUMMARY DATA ENTERED INTO OASIS) + 10 YEARS AND DESTROY.

00271000. **HISTORIC OUTDOOR ADVERTISING SIGN RECORDS, PERMIT LOG BOOKS, C P** **PERM** **N**

1960'S - 2001: THIS RECORDS SERIES COVERS OLD PHOTOS, SIGN PERMIT LOGS AND INVENTORY CARDS USED TO TRACK SIGNS, SOME OF WHICH WERE ERECTED PRIOR TO THE CURRENT REGULATIONS FOR THE PROGRAM. PRE-EXISTING SIGNS WERE GRANDFATHERED INTO THE PROGRAM. DATA CONTAINED IN LOGBOOKS AND ON CARDS HAS BEEN PARTIALLY MIGRATED TO THE OASIS SYSTEM. PAPER RECORDS NEED TO BE KEPT FOR POTENTIAL ENFORCEMENT ACTIONS. NO OTHER SIGN DOCUMENTATION EXISTS.

00272000. **OUTDOOR ADVERTISING PROGRAM ENFORCEMENT ACTIONS, HEARINGS A** **EVT+10** **DEST** **N**

BHO MAINTAINS FILES OF ADVERTISING SIGN APPEALS AND HEARINGS FOR POLICY RESEARCH PURPOSES AND TO ASSURE CONSISTENT INTERPRETATION OF REGULATIONS. RECORDS IN THIS SERIES DOCUMENT WIS DOT ACTIONS TO REMOVE ILLEGAL SIGNS AND ENFORCE THE LAW. FILES MAY INCLUDE THE FOLLOWING:

- * BHO CORRESPONDENCE WITH SIGN OWNER'S RELATED TO NON-PAYMENT OF FEES
- * REGIONAL CORRESPONDENCE SUCH AS WASRING LETTERS AND ORDERS TO CORRECT A PROBLEM OR REMOVE NON-COMPLIANT SIGNS
- * COPIES OF HEARINGS AND APPEALS DECISIONS, LITIGATION RECORDS, SETTLEMENT AGREEMENTS

RETENTION: EVENT (SIGNED REMOVED, PERMIT TERMINATED, AND TERMINATION SUMMARY DATA ENTERED INTO OASIS) +10 YEARS.

00273000. **OUTDOOR ADVERTISING ANNUAL FEE BILLING CORRESPONDENCE** **EVT+6** **DEST** **N**

RECORDS IN THIS SERIES ICLUDES SIGN OWNER'S HARD COPY RESPONSES TO ANNUAL FEE ASSESSMENTS. RECORDS IDENTIFY AMOUNT PAID, CHECK NUMBER AND FOLLOW-UP CORRESPONDENCE RELATED TO SIGN CHANGES, UNPAID FEES OR FEE DISPUTES.

NOTE: BHO WILL HOLD FEE RECORDS UNTIL PAYMENT STRUCTURE ISSUES ARE RESOLVED AND FEES ON ALL SIGNS HAVE BEEN COLLECTED BEFORE IMPLEMENTING THIS SCHEDULE.

RETENTION: EVENT (ATE ALL SIGN FEES COLLECTED) + 6 YEARS AND DESTROY.

00274000. **OASIS OUTDOOR ADVERTISING PROGRAM MASTER INVENTORY DATA** **P** **PERM** **N**

SINCE 2001, DATA ON OUTDOOR ADVERTISING SIGNS HAS BEEN MAINTAINED IN THE OASIS DATABASE. DATA IS HOUSED IN ORACLE. THIS RECORDS SERIES IS A MASTER INVENTORY OF ALL CONTROLLED SIGNS. DATA FOR EACH

SIGN RECORD INCLUDES THE FOLLOWING:

- * SIGN AND PERMIT DATA: UNIQUE # THAT FUNCTIONS AS THE PERMIT NUMBER AND A SIGN REFERENCE NUMBER, ISSUE DATE, INSTALL DATE, SIGN OWNER NAME AND CONTACT INFORMATION, SIZE / TYPE, ACTIVE / INACTIVE STATUS, REMOVAL DATE OR NONE, INSTALLER.
- * SIGN LOCATION DATA: DISTRICT, COUNTY, HIGHWAY, SIGN OWNER, LANDOWNER NAME AND CONTACT INFORMATION, ZONING, MUNICIPALITY
- * PHOTOS OF SIGNS AND MATERIAL SCANNED INTO THE SYSTEM SUCH AS A LOCATION MAP
- * ANNUAL FEE ASSESSMENT AND PAYMENT DATA

DATA ON ACTIVE SITES IS CONTINUOUSLY UPDATED AS LONG AS THE SIGN EXISTS.

DATA ON INACTIVE SIGN (GENERALLY, SIGNED REMOVED) IS FLAGGED AS NOT ACTIVE.

RETENTION: MAINTAIN ACTIVE AND INACTIVE DATA UNTIL THE OASIS USER INTERFACE IS UPGRADED, REPLACED OR DISCONTINUED AND DESTROY.

ELECTRONIC RECORDS APPRAISAL NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, TO MAKE SURE THAT IT REMAINS AVAILABLE THROUGHOUT THE STATED RETENTION PERIOD, AND TO MEET THE REQUIREMENTS OF ADMINISTRATIVE RULE 12 (SEE [HTTP://ENTERPRISE.STATE.WI.US/HOME/ERECORDS/PRIMER.HTM](http://enterprise.state.wi.us/home/erecords/primer.htm) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)) A READABILITY AND RETRIEVAL CHECK MUST BE DONE AT LEAST EVERY THREE YEARS AND TRANSFER TO NEW STORAGE MEDIA AT LEAST EVERY FIVE YEARS.

OFFICIAL COPY: BHO - RETENTION: PERMANENT.

<u>00275000.</u>	<u>OASIS AD HOC OUTPUT REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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THE OASIS DATABASE IS CAPABLE OF GENERATING OUTPUT REPORTS UPON REQUEST. REGIONS MAY PRINT OUT REPORTS FOR USE IN INVENTORY SIGNS ALONG CONTROLLED ROUTES AND FOR SHORT-TERM PURPOSES. REPORTS MAY BE GENERATED IN RESPONSE TO MANAGEMENT OR PUBLIC REQUESTS. NO COPIES NEED TO BE RETAINED.

RETENTION: EVENT - NO LONGER NEEDED AND DESTROY.

<u>00276000.</u>	<u>OUTDOOR ADVERTISING PROGRAM PUBLIC INFORMATION AND GUIDANCE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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THE PROGRAM PROVIDES SIGN CONTROL INFORMATION INCLUDING:

- * OUTDOOR SIGN REGULATIONS
- * PERMIT FEES AND ANNUAL FEE INFORMATION
- * PROCEDURES AND FORMS
- * PROGRAM PERSONNEL: SIGN COORDINATORS AND PROGRAM MANAGER

THIS INFORMATION IS ALSO MADE AVAILABLE ON THE WIS DOT WEBSITE

RETENTION: EVENT (SUPERSEDED BY UPDATED VERSION) + 3 YEARS AND DESTROY

<u>00277000.</u>	<u>OUTDOOR ADVERTISING PROGRAM POLICY FILES</u>	<u>EVT+20</u>	<u>SHSW</u>	<u>N</u>
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RECORDS IN THIS SERIES DOCUMENT OUTDOOR ADVERTISING PROGRAM POLICIES AND PROCEDURES. RECORDS INCLUDE PROGRAM MANUALS, HANDBOOKS, STANDARDS, SPECIFICATIONS, PRACTICES, PROCEDURES, AND OTHER GUIDANCE FOR SIGN COORDINATORS AND OTHER STAFF IMPLEMENTING THE PROGRAM. TOPICS INCLUDE THE FOLLOWING: SIGN ACCESS, ANNUAL MEETING MATERIALS, BONUS, BANNERS, ELECTRONIC CHANGEABLE MESSAGES, DIRECTIONAL SIGNS, 1991 FAP RECORDS, FHWA REVIEWS, EFFECTIVE CONTROL, FORMS DEVELOPMENT, DATABASE CONVENTIONS, ILLEGAL SIGNS, LICENSING, LOCAL ISSUES, MEASURING BETWEEN SIGNS, MEASURING FROM NEAREST INTERSECTION, NONCONFORMING SIGNS, OAAW, PROPOSED LEGISLATION, ON-PREMISE SIGNS, OTHER STATES AND NABHA, PERMITTING, POLITICAL SIGNS, RFP DEVELOPMENT, REAL ESTATE RELATED MATERIALS, SCENIC EASEMENTS AND BYWAYS, GENERAL REGULATIONS, POLICIES AND INTERPRETATIONS, REMOVING SIGNS, RULE REVISIONS, ZONING AND UNZONED AREAS, 84.305 VEGETATION REMOVAL APPLICATIONS, UNAUTHORIZED VEGETATION CUTTING INCIDENTS.

RETENTION: EVENT (POLICY ISSUE RESOLVED OR SUPERSEDED BY UPDATED MATERIALS) +20 AND TRANSFER TO WHS.

RECORDS NEED TO BE RETAINED FOR A PERIOD OF TIME AFTER THEY ARE SUPERSEDED OR THE POLICY ISSUE IS RESOLVED FOR ADMINISTRATIVE AND LEGAL PURPOSES, TO REFERENCE SIGN COMPLIANCE.

<u>00278000.</u>	<u>REVIEW OF CONSULTANT GEOTECHNICAL REPORTS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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CENTRAL OFFICE FOUNDATION & PAVEMENTS ENGINEERING UNIT, TECHNICAL SERVICES SOIL ENGINEERS REVIEW CONSULTANT GEOTECHNICAL REPORTS WHEN THE REPORT INVOLVES ITEMS BEYOND REGION EXPERIENCE OR EXPERTISE AND / OR WHEN THE REGION ASKS THE UNIT TO PROVIDE A SECOND OPINION ON AN ISSUE AND REVIEW THE PROJECT / REPORT. REVIEWS GENERALLY INVOLVE ONLY THOSE REPORTS WITH SIGNIFICANT GEOTECHNICAL CONCERNS. THESE INVESTIGATIONS ARE TAILORED TO THE SPECIFIC PROJECT AND RECORDS IN THE SERIES INCLUDE THE FOLLOWING:

- * COPY OF CONSULTANT REPORT
- * COMMENTS ON CONSULTANT REPORT, CONSULTANT RESPONSES AND DISCUSSIONS
- * ADDITIONAL INFORMATION BASED ON REVIEW OF THE SITE AND / OR PAST SUBSURFACE INVESTIGATION WORK,
- * BORINGS PERFORMED TO ASSIST IN PROPER SITE ASSESSMENT AND GENERATION OF ALTERNATIVE SOLUTIONS

RETENTION: PERMANENT

<u>00279000.</u>	<u>AIRPORT INVESTIGATIONS AND REPORTS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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CONSULTANTS PERFORM ALL AIRPORT DESIGN WORK, BUT THE WISDOT CONDUCTS VARIOUS SUBSURFACE INVESTIGATIONS FOR AIRPORTS, TO CHARACTERIZE SUBSURFACE CONDITIONS FOR DESIGN OF RUNWAYS, TAXI-WAYS, PARKING APRONS, BUILDINGS AND TOWERS. WISDOT COORDINATES WITH THE CONSULTANT AND THE DTIM BUREAU OF AERONAUTICS TO DETERMINE PROJECTS NEEDS AND AN APPROPRIATE SUBSURFACE INVESTIGATION TO DETERMINE SOIL STRENGTH PARAMETERS. RECORDS IN THIS SERIES INCLUDE:

- * WRITTEN SOIL INVESTIGATION REPORT AND RECOMMENDATIONS
- * BORINGS
- * SOIL TESTS AND LAB ANALYSIS OF SOIL SAMPLES

OFFICIAL COPY: FOUNDATION & PAVEMENTS, TECHNICAL SERVICES - RETENTION: PERMANENT

PERMANENT RETENTION JUSTIFICATION: TO DOCUMENT THE INTEGRITY AND SAFETY OF HIGHWAY STRUCTURES AND ROADWAY FOUNDATION. RECORDS PROVIDE GEOTECHNICAL, SCIENTIFIC ANALYTICAL DATA FOR ROADWAY INFRASTRUCTURE.

<u>00280000.</u>	<u>INCLINOMETER ANALYSIS REPORTS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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INCLINOMETERS ARE USED TO CHECK FOR AND / OR MONITOR SOIL MASS MOVEMENTS BELOW THE GROUND SURFACE, I.E., SLOPE STABILITY PROBLEMS. MEASUREMENTS ARE REPEATED OVER TIME TO ESTABLISH THE RATE AND AMOUNT OF SOIL MOVEMENT. THE TIME BETWEEN READINGS CAN VARY FROM DAYS TO MONTHS.

INCLINOMETER DATA CAN THEN BE ANALYZED TO DETERMINE: THE DEPTH AT WHERE DEFORMATION WITHIN THE SLOPE IS OCCURRING, AND EXTENT OF LATERAL MOVEMENT OCCURRING WITHIN A SLIDING MASS; RATE AT WHICH SLIDING IS OCCURRING, AND WHETHER MOVEMENT IS ACCELERATING OR DECELERATING; AFFECT CONSTRUCTION ACTIVITIES MAY BE HAVING ON MARGINALLY STABLE NATURAL SLOPES; AND THE EFFECTIVENESS OF REMEDIAL ACTIONS, WHICH MAY HAVE BEEN TAKEN TO PRECLUDE FURTHER SLOPE MOVEMENT.

RETENTION: PERMANENT

<u>00281000.</u>	<u>PILE DRIVING ANALYSIS</u>	<u>CR+75</u>	<u>DEST</u>	<u>N</u>
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THE WIS DOT USES PILE DRIVING ANALYZER (PDA) EQUIPMENT TO CONDUCT DYNAMIC FIELD TESTS THAT MONITOR PILE DRIVING AND THE CAPACITY OF DRIVEN PILES DURING INSTALLATION. THE DEVICE CAN ALSO BE USED IN PLACE OF THE CURRENT METHOD TO DETERMINE PILE CAPACITIES. THE ANALYZER IS USED TO:

- * MONITOR / CHECK PILE LOAD CAPACITIES DURING DRIVING
- * CHECK THE PILE DRIVING HAMMER PERFORMANCE
- * MONITOR AND/ OR CHECK STRUCTURAL INTEGRITY OF A PILE
- * HELP DETERMINE THE MOST ECONOMICAL PILE TYPE
- * HELP DETERMINE THE PROPER PILE HAMMER SELECTION
- * SET THE PILE DRIVING CRITERIA

RETENTION: CR+75 YEARS AND DESTROY

<u>00282000.</u>	<u>GEOLOGIC AND GEOPHYSICAL INVESTIGATIONS & REPORTS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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GEOLOGIC INVESTIGATIONS: WIS DOT CONDUCTS GEOLOGIC INVESTIGATIONS TO ADDRESS VARIOUS ISSUES. TYPICALLY THESE INVESTIGATIONS ARE PERFORMED TO DETERMINE THE SPECIFIC GEOLOGY OF A SITE AND SUBSEQUENTLY RELATE THIS GEOLOGICAL HISTORY TO THE PROPOSED PROJECT. KNOWLEDGE OF THE AREA'S GEOLOGY AIDS IN HIGHWAY PROJECT DESIGN, INFORMATION PROVIDED BY A GEOLOGICAL ASSESSMENT MAY INCLUDES:

- * BEDROCK TYPES AND FORMATIONS
- * CHARACTERISTICS AND CONTACT ELEVATIONS
- * ACCEPTABLE ROCK SLOPES AND
- * PROBABLE BORROW MATERIALS

GEOPHYSICAL INVESTIGATIONS: WIS DOT PERSONNEL CONDUCT HIGHLY TECHNICAL GEOPHYSICAL INVESTIGATIONS OF THE EARTH. INVESTIGATIONS RELATE TO PLANNED OR ONGOING HIGHWAY DESIGN AND CONSTRUCTION PROJECTS IN SOME CASES, BUT CAN ALSO BE CONDUCTED ON A REGULAR BASIS TO DETERMINE POTENTIAL SUBSURFACE CONCERNS AND PROBLEMS. GEOPHYSICAL INVESTIGATIONS INCLUDE THE FOLLOWING:

- * SEISMIC AND RESISTIVITY ANALYSIS: USED TO DETERMINE DEPTHS TO DIFFERING SOIL LAYERS, WATER TABLE AND / OR BEDROCK, OFTEN CONDUCTED IN AREAS THAT ARE NOT EASILY ACCESSIBLE TO DRILLING RIGS.

* GROUND PENETRATING RADAR (GPR) ANALYSES: NON-INVASIVE SUBSURFACE INVESTIGATIVE TECHNOLOGY USED TO LOCATE PHYSICAL UNDERGROUND ANOMALIES.
 * VIBRATION MONITORING ANALYSES: WIS DOT PROJECT COSTRUCTION CREATES GROUND VIBRATIONS FROM HEAVY TRAFFIC, PILE DRIVING OPERATIONS AND BLASTING, THAT CAN DAMAGE ADJACENT STRUCTURES, EQUIPMENT MEASURES AND RECORDS VIBRATIONS CREATED, AND PROJECT MANAGER ASSURES THAT VIBRATIONS ARE WITHIN ACCEPTABLE STATE AND FEDERAL MAXIMUM LIMITS.
 * CORROSION TESTING & ANALYSES: CONDUCTED TO ESTIMATE THE LIFE OF METAL STRUCTURES, I.E. CULVERTS OR STEEL PILING, PLACED IN CONTACT WITH SOIL AND / OR WATER. INVESTIGATIONS TEST FOR CERTAIN ELEMENTS, MINERALS, POLLUTANTS AND MICROBES IN THE SOIL AND WATER IN THE SITE IN QUESTION.

RETENTION: PERMANENT (THESE INVESTIGATIONS HAVE ONGOING VALUE)

<u>00284000.</u>	<u>SALT STUDY SAMPLING & ANALYSIS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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WIS DOT CONDUCTS SALT STUDIES THAT ARE PERFORMED TO DETERMINE THE EFFECTS OF ROAD SALT ON THE SURROUNDING ENVIRONMENT INCLUDING WATER, SOIL AND VEGETATION. THE INVESTIGATION IS DONE BY SAMPLING VARIOUS ITEMS SUCH AS SOILS, PLANTS AND WATER ON SITE AND PERFORMING LABORATORY TESTS TO DETERMINE THE CONCENTRATIONS OF SODIUM AND CHLORIDE PRESENT. NORMALLY, THIS IS DONE OVER TIME TO MONITOR INCREASES OR DECREASES IN CONCENTRATIONS. THESE STUDIES HAVE ONGOING OPERATIONAL VALUE TO THE DEPARTMENT TO PLAN, DESIGN, CONSTRUCT, AND MAINTAIN HIGHWAYS. NEW STUDIES BUILD UPON PREVIOUS STUDY RESULTS.

RETENTION: PERMANENT

<u>00286000.</u>	<u>HIGH VOLUME WASTE REUSE STUDIES</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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WIS DOT CONDUCTS STUDIES DEALING WITH HIGH VOLUME WASTE PRODUCT REUSE UPON REQUEST. TYPICAL PRODUCTS PREVIOUSLY INVESTIGATED INCLUDE FLY ASH, BOTTOM ASH, FOUNDRY SAND, POTTERY CULL, BROKEN GLASS, AND RUBBER TIRES. THE DEPTH AND DETAIL OF A STUDY DEPENDS ON THE MATERIAL, DESIRED WASTE USE, INVOLVED PRIVATE AND GOVERNMENT AGENCIES AND REQUESTED INFORMATION. FREQUENTLY, THESE STUDIES ARE COORDINATED WITH OUTSIDE AGENCIES AND MANUFACTURING GROUPS. THESE STUDIES HAVE ONGOING OPERATIONAL VALUE TO THE DEPARTMENT TO PLAN, DESIGN, CONSTRUCT AND MAINTAIN HIGHWAYS. NEW STUDIES BUILD UPON PREVIOUS STUDY RESULTS.

RETENTION: PERMANENT

<u>00287000.</u>	<u>FOUNDATION AND SOILS GUIDELINES, DIRECTIVES & POLICIES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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THE WIS DOT FOUNDATION & PAVEMENTS ENGINEERING UNIT ESTABLISHES GUIDELINES AND POLICIES PERTAINING TO GEOTECHNICAL ISSUES, AND INVESTIGATION METHODOLOGY. DOCUMENTS IN THIS SERIES ARE CREATED TO ENSURE CONSISTENCY AND UNIFORMITY THROUGHOUT THE STATE AND INCLUDE THE GEOTECHNICAL BULLETINS.

RETENTION: EVENT (DOCUMENT OBSOLETE OR SUPERSEDED BY UPDATED DOCUMENT) + 3 YEARS AND DESTROY.

<u>00288000.</u>	<u>FOUNDATION & PAVEMENTS ENGINEERING UNIT TRACKING LOG</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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THIS ACCESS DATABASE WAS DEVELOPED IN THE 1980'S TO TRACK GEOTECHNICAL INFORMATION, INCLUDING SOILS REPORTS, STUDIES, AND SITE INVESTIGATION REPORTS. THE SYSTEM TRACKS GEOTECHNICAL FOUNDATION WORK COMPLETED AND SITES INVESTIGATED. SEARCH AND QUERY CAPABILITIES PERMIT LINKS TO PDF VERSIONS OF REPORTS, AND LINKS TO ARC INFORMATION, GIS DATA AND LOCATION MAPS. DATA ELEMENTS INCLUDE LOCALATIONAL PARAMETERS, I.E. COUNTY, TOWNSHIP, RANGE, SELECTION; PROJECT ID OR DESIGN ID NUMBER, INVESTIGATION TYPE CONDUCTED, DATES OF WORK, AND PDF VERSIONS OF REPORT, INCLUDING TEXT, CADDS BORING LOGS AND OTHER GOETECHNICAL DATA. THE SYSTEM INCLUDES PROJECT DATA FROM 1970 FORWARD. CURRENT PROJECTS ARE CONTINUOUSLY ADDED TO THE LOG. NO DATA IS DELETED.

RETENTION: PERMANENT.

<u>00289000.</u>	<u>AD HOC OUTPUT REPORTS - FOUNDATION & PAVEMENTS ENGINEERING U</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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RECORDS IN THIS SERIES ARE AD HOC REPORTS GENERATED FROM THE FOUNDATION AND PAVEMENTS ACCESS TRACKING DATABASE. REPORTS MAY BE GENERATED AS ELECTRONIC SORTS TO BE DISPLAYED OR AS PAPER OUTPUTS. THEY ARE GENERATED AS NEEDED OR IN RESPONSE TO REQUESTS. THESE MAY BE RECREATED AT ANY TIME.

RETENTION: NOT NEEDED AND DESTROY.

<u>00290000.</u>	<u>PAVEMENT DESIGN SOFTWARE DOCUMENTATION</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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SOFTWARE USED FOR PAVEMENT DESIGN INCLUDES: WISPAVE PAVEMENT DESIGN SOFTWARE IS A WISDOT-DEVELOPED TOOL (IN VISUAL BASIC WITH AN ACCESS DATABASE) FOR DESIGN OF PAVEMENT ENGINEERING FOR PAVEMENT STRUCTURES. THIS TOOL IS NOT USED USED FOR PAVEMENT RECORD KEEPING, ONLY TO FACILITATE PAVEMENT ENGINEERING FOR SPECIFIC PROJECTS. ALL OUTPUT REPORTS GENERATED MAY BE INCORPORATED INTO

PAVEMENT DESIGN REPORTS.

MECHANICAL EMPIRICAL PAVEMENT DESIGN GUIDE OR MEPDG IS A NEW NATIONAL SOFTWARE FOR PAVEMENTS THAT WAS COMMISSIONED BY NCHRP AND ADOPTED BY AASHTO. MEPDG IS AN ANALYSIS TOOL TO PERFORM ANALYSES OF PAVEMENT STRUCTURE DESIGNS FOR SPECIFIC HIGHWAY PROJECTS, AND IDENTIFY DISTRESSES AND DEFICIENCIES OF ALTERNATIVES. MEPDG WILL ANALYZE DISTRESS FACTORS AND COMPREHENSIVELY DETERMINE HOW PAVEMENTS RESPOND TO TRAFFIC LOADING AND CLIMATE. RESULTS WILL BE INCORPORATED INTO PROJECT DESIGN AND CONSTRUCTION SPECIFICATIONS AS NECESSARY, INCLUDING THE PAVEMENT DESIGN REPORT. NOTE: MEPDG DOES NOT GENERATE LIFE CYCLE COST ANALYSES AND IS NOT A DATA STORAGE TOOL.

RECORDS IN THIS SERIES COVERS SOFTWARE USED IN THE PAVEMENT DESIGN PROCESS AND INCLUDE THE FOLLOWING:

- * WISPAVE DOCUMENTATION TO MAINTAIN, UPDATE, REVISE AND USE THE TOOL. RETAIN ALL CURRENT CODE DESCRIPTIONS, PROGRAMMING INFORMATION AND OTHER SUFFICIENT DOCUMENTATION TO MAINTAIN, UPGRADE AND USE THE SYSTEM. NOTE: SYSTEM IS BEING UPDATED
- * MEPDG DOCUMENTATION REQUIRED TO USE THE SOFTWARE, THE RELATED AASHTO GUIDE, OR INTERIM GUIDE, AND DOCUMENTATION DEVELOPED SPECIFICALLY FOR WISDOT TO IMPLEMENT THE TOOL AND SUPPORT USERS OF THE SYSTEM. RETAIN ALL CURRENT TECHNICAL INFORMATION, AND OTHER SUFFICIENT DOCUMENTATION TO USE THE SYSTEM AND SUPPORT WISDOT'S IMPLEMENTATION EFFORTS.

ONLY DOCUMENTATION THAT IS COMPLETELY SUPERSEDED BY COMPLETELY NEW DOCUMENTATION MAY BE DESTROYED.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

<u>00291000.</u>	<u>REGION PAVEMENT DESIGN REPORT (PDR)</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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REGIONS MAINTAIN PDR RECORDS PER THIS SERIES. THE WISDOT REGIONAL PAVEMENT ENGINEER OR OTHER WIS DOT STAFF PREPARES A PAVEMENT DESIGN REPORT (PDR), AS WELL AS REVIEWS CONSULTANT'S PDR, FOR CERTAIN PAVEMENT PROJECTS IN THE PARTICULAR REGION. THE PDR IS USED FOR PLAN DEVELOPMENT. RECORD SERIES COVERS WISDOT AND CONSULTANT PAVEMENT DESIGN REPORTS (PDR) AND SELECTED SUPPORTING MATERIALS.

* A PAVEMENT DESIGN REPORT MAY HAVE UP TO TWO COMPONENTS. IT MAY CONTAIN A STRUCTURAL DESIGN AND SOMETIMES A LIFE CYCLE COST ANALYSIS. PDR CONTENTS ARE IN ACCORDANCE WITH FDM 14-15-5. IN SOME CASES AS ABBREVIATED REPORT IS ACCEPTABLE.

* FUTURE REPORTS MAY INCLUDE MEPDG ANALYSIS OF THE PARTICULAR ROADWAY: FAILURE FACTORS, HOW THE PAVEMENT RESPONDS TO TRAFFIC LOADING AND WEATHER, AND PROJECTED PAVEMENT SERVICE LIFE.

RECORDS IN THIS SERIES INCLUDE ALL OF THE FOLLOWING REGIONAL PAVEENT DESIGN REPORTS (PDR'S).

- * PDR REPORTS PREPARED BY WISDOT REGION PAVEMENT ENGINEER
- * CONSULTANT MAJOR HIGHWAY PDR'S: WHEN CONSULTANTS PREPARE PDR'S FOR MAJOR HIGHWAYS (STH, INTERSTATES, AND USH), THE REGION PAVEMENT ENGINEER REVIEWS THESE PDRS FOR COMPLIANCE WITH THE FACILITIES DEVELOPMENT MANUAL.
- * LOCAL ROADS PDRS: LOCAL PROGRAM MANAGEMENT CONSULTANTS REVIEW PDRS THAT ARE PREPARED FOR CTH AND LOCAL ROAD PAVEMENT DESIGNS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

<u>00291A00.</u>	<u>REGION PAVEMENT DESIGN REPORT (PDR) WORKPAPERS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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RECORDS IN THIS SERIES ARE BACKGROUND MATERIALS THAT HAVE LIMITED , SHORT-TERM REFERENCE VALUE FOR PDR CREATION. RECORDS MAY INCLUDE:

- * WORK PLANS, TIME LINES, STATUS REPORTS, SCHEDULES, ETC.
- * HANDWRITTEN NOTES, MESSAGES, CORRESPONDENCE AND WORKING DRAFT PDR OUTPUTS, INCLUDING COMMUNICATIONS BETWEEN REGION PERSONNEL AND CONSULTANTS OR OTHER INTERESTED PARTIES.

WORK PAPERS HAVE REFERENCE VALUE ONLY UNTIL THE PDR IS FINALIZED

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = PDR FINALIZED.

00292000.	<u>STATEWIDE ANNUAL PAVEMENT DESIGN REPORT REVIEW</u>	<u>CR+5</u>	<u>DEST</u>	<u>N</u>
<p>RECORDS IN THIS SERIES COVER THE WISDOT PAVEMENT TYPE SELECTION REPORT REVIEW OF PAVEMENT DESIGNS STATEWIDE. THE REPORT DOCUMENTS THE FOUNDATION AND PAVEMENTS UNIT'S REVIEW OF PDRS ANNUALLY (CURRENTLY ON STATE FISCAL BASIS) FOR COMPLIANCE WITH STANDARDS SPECIFIED IN CHAPTER 14, FACILITIES DEVELOPMENT MANUAL AND OTHER POLICIES AND REQUIREMENTS. RECORDS ALSO INCLUDE THE PDR COMMENTS.</p>				

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

00293000.	<u>PAVEMENT WARRANTY TRACKING SYSTEM MASTER DATA</u>	<u>EVT+50</u>	<u>DEST</u>	<u>N</u>
<p>THE FOUNDATION & PAVEMENTS UNIT CURRENTLY USES AN MS ACCESS DATABASE TO ELECTRONICALLY TRACK PROJECT PAVEMENT WARRANTY DATA FOR LET HIGHWAY PROJECT CONTRACTS. REGION STAFF ENTER SPECIFIC WARRANTY DATA, INCLUDING; PROJECT NUMBER, PROJECT LOCATION, PAVEMENT TYPE (ASPHALT OR CONCRETE), THICKNESS REQUIRED AND NECESSARY PAVEMENT SPECIFICATIONS, CONTRACTOR NAME, ADDRESS, DATE OF WARRANTY, TERM OF WARRANTY, AND WARRANTY END DATE. A "NOTES" SECTION IS PROVIDED TO ENTER WISDOT PAVEMENT INSPECTION DATA, COMMENTS, PROBLEMS NOTED, ETC.</p>				

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = WARRANTY END

00294000.	<u>PAVEMENT RESEARCH STUDY BACKGROUND MATERIALS</u>	<u>EVT+25</u>	<u>DEST</u>	<u>N</u>
<p>THE FOUNDATION & PAVEMENTS UNIT CONDUCTS IN-HOUSE RESEARCH STUDIES AND OVERSEES RESEARCH STUDIES CONTRACTED TO OUTSIDE RESEARCHERS TO EVALUATE PAVEMENT DESIGN, CONSTRUCTION METHODS AND MATERIALS ON SELECTED STRETCHES OF HIGHWAY. STUDIES GENERALLY HAVE STATEWIDE APPLICABILITY. END PRODUCTS OF STUDIES ARE PAVEMENT RESEARCH REPORTS THAT PROVIDE THE TECHNICAL BASIS FOR DEVELOPING AND REVISING PAVEMENT POLICY AND GUIDANCE MATERIALS. FINAL REPORTS ON TOPICS SUCH AS THE FOLLOWING ARE CONSIDERED PUBLIC DOCUMENTS AND ARE DISTRIBUTED TO WISCONSIN DEPOSITORIES, PER S. 35.83, WIS. STATS.</p>				

- * FEASIBLE PAVEMENT DESIGN ALTERNATIVES
- * PERFORMANCE EVALUATIONS OF PAVMENT STRUCTURES
- * NOISE AND TEXTURING
- * PERFORMANCE-RELATED CONCRETE AND/OR HOT MIX ASPHALT (HMA) PAVEMENT SPECIFICATIONS
- * PAVEMENT SURFACE TREATMENTS
- * DOWEL BAR MATERIALS AND SPACING PATTERNS
- * REBAR COATING AND TREATMENTS, ETC.

RECORDS IN THIS SERIES ARE STUDY BACKGROUND MATERIALS NEEDED FOR ONGOING REFERENCE AND FUTURE RESEARCH PURPOSES, INCLUDING:

- * COPY OF STUDY CONTRACT, IF RESEARCH IS CONDUCTED BY OUTSIDE RESEARCHER
- * STUDY OVERVIEW, INCLUDING WORK PLAN AND METHODOLOGY
- * SIGNIFICANT LITERATURE AND/ OR BIBLIOGRAPHICAL NOTES
- * DATA, STATISTICS, SIGNIFICANT SURVEY NOTES AND PHOTOS AND INTERIM ASSESSMENTS THAT ARE NOT INCLUDED IN FINAL PUBLIC DOCUMENT

EVENT = REPORT PUBLISHED

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

00294A00.	<u>PAVEMENT MAINTENANCE LFA / STATE PROJECT CASE FILES FOR STATE</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
<p>RECORDS IN THIS SERIES ARE ROUTINE WORK PAPERS USED TO TRACK THE STATUS AND PROCESS OF CONDUCTING A PAVEMENT RESEARCH STUDY AND THAT HAVE SHORT-TERM REFERENCE VALUE UNTIL THE PARTICULAR STUDY REPORT IS FINALIZED.</p> <ul style="list-style-type: none"> * TIME LINES, ROUTINE STATUS REPORTS, SCHEDULES, PROCEDURAL AND ADMINISTRATIVE MATERIALS. * RAW DATA, COMPUTATIONS, HANDWRITTEN NOTES, MESSAGES, AND WORKING STUDY REPORT DRAFTS * EDITORIAL COMMENTS AND SUGGESTIONS; CORRESPONDENCE BETWEEN RESEARCH AND WISDOT STAFF * DATA FROM OTHER STATES ' PAVEMENT RESEARCH STUDIES, INCLUDING COPIES OF REPORTS, ETC. 				

ROUTINE RESEARCH STUDY WORK PAPERS MAY BE DESTROYED AFTER THE STUDY REPORT IS PUBLISHED.

EVENT = REPORT PUBLISHED

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

00295000. PAVEMENT MAINTENANCE LFA / STATE PROJECT CASE FILES FOR STATE EVT+5 DEST N

MAINTENANCE PROJECTS ARE ROUTINE, CORRECTIVE, REHABILITATION OR RESURFACING MAINTENANCE PROJECTS, NOT RECONSTRUCTION (LET PROJECTS). REGIONS ORIGINATE LFAS/STATE PROJECTS, IDENTIFY ROAD, COUNTY, TYPE OF WORK, ETC.; REGIONS AND COUNTIES DEVELOP DESIGNS; AND COUNTY WORK FORCES AND CONTRACTORS PERFORM PAVEMENT MAINTENANCE UNDER COUNTY AGREEMENTS OR CONTRACTS WITH WISDOT, PER FDM CHAPTER 3. THE HIGHWAY MAINTENANCE MANUAL OUTLINES REQUIREMENTS. RECORDS IN THIS SERIES DOCUMENT THE LFA/STATE MAINTENANCE PROJECT FOR STATE ROADS AND INCLUDE THE FOLLOWING INFORMATION:
 * PROJECT IDENTIFIER, HIGHWAY NAME, LOCATION, WORK, COSTS, TYPE OF MAINTENANCE
 * PAVEMENT SHOULDER AND CULVERT PIPES ROADWAY, SHOULDER, DRAINAGE DITCHES IF ANY

THE TRUAX PAVEMENT MAINTENANCE MANAGEMENT ENGINEER IN BTS / FOUNDATION AND PAVEMENTS UNIT MANAGES AND MONITORS LOCAL FORCE ACCOUNT (LFA)/STATE PAVEMENT PROJECTS THROUGHOUT THE STATE AND ROUTES COPIES OF PAVEMENT MAINTENANCE RECORDS TO THE WISDOT CENTRAL OFFICE FILE, THE REGION MAINTENANCE ENGINEER, AND TO DIVISION OF TRANSPORTATION INVESTMENT MANAGEMENT (DTIM) INCLUDING THE BUREAU OF FINANCIAL SERVICES FOR PAYMENT AND TO MONITOR EXPENSES.

EVENT = FINAL COST STATEMENT

00296000. PAVEMENT LAYER AND BASE INVENTORY MASTER DATA EVT+10 DEST N

DTIM PAVEMENT DATA UNIT IS IN THE PROCESS OF DEVELOPING AN MS ACCESS DATABASE TO INVENTORY AND TRACK HIGHWAY PAVEMENT LAYER AND BASE COMPONENTS. DATA THAT WAS COLLECTED IN THE MID-1990'S (ARC INFO DATA FROM 1994 -- SYSTEM NO LONGER USED) WILL BE MIGRATED. THIS RECORDS SERIES WILL PROVIDE WISDOT WITH A DETAILED LAYER AND BASE INVENTORY OF THE EXISTING PAVEMENT STRUCTURE FOR WISCONSIN ROADWAYS, INCLUDING LET PROJECTS AND LFA PROJECTS, USING BASE DATA EXTRACTED FROM PROJECT PLANS, ASBUILTS, NEW CONSTRUCTION DATA, INSPECTIONS, RIDE AND DISTRESS PERFORMANCE FIELD DATA AND OBSERVATIONS. DATA ELEMENTS TO BE INCLUDED: LOCATION OF A PAVEMENT, PAVEMENT CONSTRUCTION YEAR, PAVEMENT LAYER COMPONENTS, ETC. COUNTY DATA MAY ALSO BE ADDED IN TIME.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

LAYER AND BASE DATA IS USED FOR PAVEMENT DESIGN AND REPORTING PURPOSES AND PROVIDES A GENERAL LOOK AT WISCONSIN PAVEMENTS FOR RESEARCH, ANALYTICAL, AND STATISTICAL PURPOSES. BASE DATA SUPPORTS ROADWAY FUNDING AND INVESTMENT OF RESOURCES, TRANSPORTATION PLANNING, LEGAL AND REGULATORY RESEARCH, E.G., TO ANALYZE AND ASSESS ROAD LOADING (TRUCK WEIGHTS), PAVEMENT DAMAGE CAUSED BY SUPER LOADS, PUBLIC SAFETY, ETC. CUMULATIVE DATA HAS VALUE FOR THE LIFE OF THE STRETCH OF ROADWAY, UNTIL THE DATA IS COMPLETELY SUPERSEDED (ROADWAY COMPLETELY REBUILT)

EVENT = ROADWAY COMPLETELY REBUILT

00297000. PAVEMENT PERFORMANCE INVENTORY - BASE DATA RECORDS EVT+3 DEST N

THE PAVEMENT DATA MANAGEMENT UNIT IN THE DIVISION OF TRANSPORTATION INVESTMENT MANAGEMENT (DTIM) ASSESSES THE CONDITION OF 1/2 OF ALL STATE ROAD MILES YEARLY. CENTRAL OFFICE PERSONNEL ARE RESPONSIBLE FOR DATA COLLECTION IN ORDER TO MEASURE, ANALYZE, AND EVALUATE PAVEMENT PERFORMANCE. ANNUALLY, DATA ON 80 OR MORE PORTLAND CEMENT CONCRETE (PCC) PAVEMENTS AND ASPHALTIC CONCRETE (AC) PAVEMENTS, TOTALING MORE THAN 1,000 LANE MILES OF NEWLY CONSTRUCTED PAVEMENTS MAY BE TESTED, AS WELL AS REHABILITATION PAVEMENT PROJECT DATA AND EXISTING PAVEMENTS. VIDEO AND DIGITAL EQUIPMENT PROVIDES IMAGERY TO DOCUMENT RIDE QUALITY AND PAVEMENT DISTRESSES, I.E. CRACKING, RUTTING, FAULTING, ETC. AND VEHICLE -MOUNTED EQUIPMENT TAKES INDIVIDUAL ROAD INDEX (RI) VALUES EVERY 1/16TH INCH OF ROADWAY. FIELD CREWS ALSO COLLECT SPECIALIZED DISTRESS DATA MANUALLY. BASE DATA SUPPORTS THE PAVEMENT INVENTORY FILE (PIF) PROGRAMS.

RECORDS IN THIS SERIES INCLUDE ALL BASE DATA COLLECTED (VIDEO DIGITAL IMAGERY, NOTES, RAW DATA, AND OTHER INPUTS) RELATED TO THE CONDITION INCLUDING COMPILED DATA MAINTAINED IN C++ FILES ON WISDOT'S LAN. DATA IS STORED ON WISDOTS LOCAL LAN.

DATA IS USED BY THE PAVEMENT INFORMATION FILE (PIF) SYSTEM TO RATE PAVEMENT PERFORMANCE. I.E., CALCULATE PSI (PAVEMENT SERVICEABILITY INDEX); IRI (INTERNATIONAL ROUGHNESS INDEX) AND PDI (PAVEMENT DISTRESS INDEX) MANAGE THE ASSETS; AND TARGET REHABILITATION AND RECONSTRUCTION EFFORTS. OTHER SYSTEMS MAY USE DATA, INCLUDING; PMDSS TO GENERATE PDR'S; HPMS (HIGHWAY PERFORMANCE MONITORING SYSTEM) FOR PROJECT-SPECIFIC PAVEMENT PROJECT WORK AND REPORTING PURPOSES.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = DATA COLLECTION OR DATA ENTERED INTO PIF

<u>00298000.</u>	<u>PAVEMENT INFORMATION FILES (PIF) MASTER PERFORMANCE DATA</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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WISDOT EVALUATES PAVEMENT PERFORMANCE INVENTORY DATA AND ENTERS IT INTO PIF, A VSAM RELATIONAL ALPHANUMERIC DATABASE. PIF DATA IS USED FOR REPORTING AND TRANSPORTATION PLANNING PURPOSES. DATA INCLUDES:

- * THE PAVEMENT DISTRESS INDEX (PDI) IS A COMPUTED VALUE BASED ON THE OBSERVATION OF VARIOUS INDICIES, I.E., CRACKING TYPES, FAULTING, EROSION, DISTORTION, CONCRETE SLAB BREAKUP AND OTHER DISTRESS MANIFESTATIONS. THE PDI VALUE HAD BEEN COMPUTED FOR ASPHALT (AC) AND PORTLAND CEMENT CONCRETE (PCC) SINCE 1988.
- * RIDE DATA: SINCE 1969, PIF RIDE PERFORMANCE HAS BEEN ENTERED AS PAVEMENT SERVICEABILITY INDEX (PSI). PIF ALSO REPORTS RIDE DATA BY A MEASURE KNOWN AS THE INTERNATIONAL ROUGHNESS INDEX (IRI).
- * SEQUENCE NUMBER: THIS IS A UNIQUE IDENTIFIER OF EACH SECTION OF ROADWAY AND THE PRIMARY KEY TO PULL ALL PERFORMANCE OBSERVATIONS TOGETHER. ROADWAY / HIGHWAY CORRIDOR IDENTIFIERS ARE SPECIFIED FOR NOMINAL ONE-MILE LENGTHS FOR INTERSTATE, CRCP, AND STATE TRUNK NETWORK ROADS.
- * BACKGROUND FORMULAE AND ANALYTICAL ELEMENTS. A CICS APPLICATION ACCESSES FILES TO PROVIDE THE MOST CURRENT VALUES ON SEGMENTS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

<u>00298A00.</u>	<u>PIF REGULAR OUTPUT REPORTS</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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THE PIF SYSTEM GENERATES A NUMBER OF ANNUAL REPORTS AND 5-YEAR AVERAGE DATA REPORTS, USING RIDE AND DISTRESS DATE COLLECTED. AN ANNUAL "NEW CONSTRUCTION REPORT" PROVIDES RIDE AND DISTRESS DATA FOR ALL LET PROJECTS COMPLETED DURING THE REPORTING YEAR. AN ELECTRONIC VERSION OF REGULARLY GENERATED REPORTS MAY BE MADE AVAILABLE ON THE DOTNET WEBSITE. DTIM PAVEMENT DATA UNIT MAINTAINS REPORTS FOR REFERENCE AND RESEARCH PURPOSES. REPORTS IDENTIFY GENERAL CHARACTERSTICS, CONTRACTOR AND SIMILAR INFORMATION THAT HAS VALUE WHEN A ROADWAY SECTION PREMATURELY FAILS OR CONVERSELY WHEN IT HAS AN EXTENDED LIFESPAN.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = SUPERSEDED BY UPDATED REPORT

<u>00298B00.</u>	<u>PIF AD HOC OUTPUT REPORTS</u>	<u>CR+7</u>	<u>DEST</u>	<u>N</u>
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RECORDS IN THIS SERIES ARE AD HOC REPORTS GENERATED FROM THE PIF SYSTEM AS NEEDED, E.G., IN RESPONSE TO A QUEREY OR OPEN RECORDS REQUEST. BECAUSE REPORTS MAY BE REGENERATED WHENEVER NECESSARY, THEY DO NOT NEED TO BE RETAINED BEYONE THEIR IMMEDIATE USE. OUTPUTS ARE OFTEN GENERATED ON DEMAND PER REQUESTS FROM OTHER STATES, THE LEGISLATURE, OR AN OPEN RECORDS REQUEST. LEGAL PURPOSES * "PAVEMENT WARRANTY REPORT" -- IRENE TRACKING ARE WARRANTIES WORTH THE \$. YOU = TECHNICAL BACKGROUND INFO ON PERFORMANCE -- RELATED E PASSED ON TO IRENE HERE OR COPIES OF "NEW CONSTRUCTION REPORTS" ARE MAD AVAILABLE

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

<u>00299000.</u>	<u>PAVEMENT PERFORMANCE ANALYSIS (PMDSS) REPORT DATA</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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THE PAVEMENT MANAGEMENT DECISION SUPPORT SYSTEM (PMDSS) IS A VSAM STANDALONE SYSTEM THAT GENERATES DETAILED DATA REPORTS OF PAVEMENT PERFORMANCE, TREATMENT RECOMMENDATIONS AND PAVEMENT STRUCTURAL HISTORY TO FACILITATE PROJECT DEVELOPMENT AND INITIAL SCOPING. THE PAVEMENT MANAGEMENT ENGINEER ANALYZES AND EVALUATES HOW PAVEMENTS ARE PERFORMING USING PAVEMENT DISTRESS AND RIDE SURVEY DATA (LOADED FROM PAVEMENT INFORMATION FILES -- PIF); PROJECTS HOW LONG A PAVEMENT WILL LAST; AND DETERMINES APPROPRIATE CORRECTIVE ACTIONS AND IMPROVEMENTS TO BE TAKEN ON A PAVEMENT.

PMDSS DATA ELEMENTS INCLUDE; PARTICULAR ROADWAY IDENTIFIERS; RIDE QUALITY FACTORS (RIDE AND DISTRESS DATA); FUTURE PROJECTIONS OF PAVEMENT USEFUL LIFE; AND RECOMMENDED CORRECTIVE ACTIONS AND

TREATMENTS.

- * PAVEMENT PERFORMANCE AND TREATMENT RECOMMENDATIONS: STANDARD REPORT PRESENTS TWO YEARS OF PROJECTED PAVEMENT PERFORMANCE AND SUBSEQUENT RECOMMENDED TREATMENTS. INCLUDES INDEX VALUES (IRI, PSI, PDI), INDIVIDUAL PAVEMENT PROBLEMS, AND ASSOCIATED TREATMENT RECOMMENDATIONS.
- * PAVEMENT STRUCTURAL HISTORY REPORT IS GENERATED FROM THE LAYER AND BASE FILES TO SUMMARIZE OPERATIONS THAT HAVE OCCURRED AT A GIVEN LOCATION. SECTIONS ARE HOMOGENEOUS CROSS SECTIONS OF ROADWAY. THIS REPORT INCLUDES INFORMATION ON BOTH THE PLACEMENT AND REMOVAL OF PAVEMENT LAYERS, BASES AND SUB BASES.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

PMDSS REPORTS ARE SITE-SPECIFIC PAVEMENT REPORTS AND IMPORTANT BACKGROUND DOCUMENTS THAT WISDOT MANAGERS USE TO DEVELOP HIGHWAY IMPROVEMENT PLANS, INCLUDING SIX-YEAR HIGHWAY PLANS.

EVENT = REPORT FINALIZED.

<u>00316000.</u>	<u>DISAPPROVED, SUSPENDED AND DEBARRED CONTRACTOR LIST</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
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CHAPTER TRANS 504.03, WIS STATS., REQUIRES THE WISDOT TO COMPILE AND MAINTAIN A CURRENT, CONSOLIDATED LIST OF DEBARRED, SUSPENDED AND INELIGIBLE CONTRACTORS. THE LIST IS USED TO ENSURE THAT IT DOES NOT SOLICIT OFFERS FROM, AWARD CONTACTS TO, OR CONSENT TO SUBCONTRACT WITH LISTED CONTRACTORS (SPECIFIED IN S. 504.04) PER STATUTORY REQUIREMENTS, RECORDS RELATING TO EACH DEBARRED OR SUSPENDED CONTRACTOR INCLUDES THE FOLLOWING INFORMATION:

- * NAMES AND ADDRESSES OF ALL DEBARRED OR SUSPENDED CONTRACTORS.
- * CAUSE OR CAUSES FOR EACH DEBARRMENT OR SUSPENSION
- * ANY LIMITATIONS ON OR DEVIATIONS FROM THE NORMAL EFFECT OF DEBARRMENT OR SUSPENSION
- * EFFECTIVE DATE OF THE DEBARRMENT OR SUSPENSION AND, IN THE CASE OF A DEBARRMENT, TERMINATION DATE

THIS RECORD IS MAINTAINED IN AN MS WORD FILE AND ALSO POSTED TO THE WISDOT WEB SITE IN .PDF FORMAT.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = TERMINATION DATE OF SUSPENSION

<u>00317000.</u>	<u>HIGHWAY LET PROJECT CONTRACT FILE</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT CONTRACTS FOR HIGHWAY CONSTRUCTION PROJECTS, UNDER S.84.06(3) AND (4), WIS. STATS. PROJECTS ARE FUNDED WITH FEDERAL HIGHWAY FUNDS, PER 23CFR PART 172.5 AND CH. 84.01(3), WIS STATS. NEGOTIATED CONTRACTS LET TO BID FOR HIGHWAY DESIGN AND CONSTRUCTION PROJECTS INCLUDE BOTH HIGHWAY IMPROVEMENT AND MAINTENANCE WORK. CONTRACTORS ARE BID AND SELECTED THROUGH A NEGOTIATION PROCESS. THE CONTRACT FILE RECORDS INCLUDE:

- * CONTRACT TRANSMITTAL FORM DT 25 RECOMMENDATION TO TGOVERNOR FOR CONTRACT AND BOND APPROVAL: CONTAINS SUMMARY CONTRACT INFORMATION, SIGNED BY GOVERNOR
- * CONTRACTUAL AGREEMENT
- * CONTRACT CORRESPONDENCE - AWARD LETTER, CONTRACT EXECUTION LETTER, DBE INFORMATION
- * CONTRACT BOND: PRIMARY CONTRACTOR AND/OR SUBCONTRACTORS ARE REQUIRED TO HAVE BONDS TO ASSURE QUALITY AND USEFUL LIFE OF WORK.
- * CONTRACTOR WARRANTY CFR 23 635.413 GUARANTY AND WARRANTY: PRIMARY CONTRACTOR AND/OR SUBCONTRACTORS ARE REQUIRED TO HAVE BONDS TO ASSURE USEFUL LIKE OF WORK. WARRANTY EXAMPLES INCLUDES BRIDGES AND OTHER STRUCTURES, SIGNS AND PAVEMENTS. NOTE: WARRANTIES ARE NOT INCLUDED FOR ALL LET PROJECTS.

BPD MAINTAINS INFORMATION ABOUT THE CONSTRUCTION PROJECT FOR THE DURATION OF THE PROJECT, FILED BY PROJECT ID. WHEN A CONSTRUCTION CONTRACT CONSISTS OF MORE THAN ONE PROJECT ID THE CONSTRUCTION PROJECT IS FILED BY THE LOWEST PROJECT ID FOR THE CONTRACT. THE CONTRACT IS RETAINED TO PROVIDE FOR CONTRACT ADMINISTRATION INCLUDING CONSULTANT MANAGEMENT OVERSIGHT, EVALUATION OF WORK OPERATORS, POST LETTING DESIGN, CONSTRUCTION CONTRACT ACCOUNTING, CONSTRUCTION FINALS COMPLETION, ENFORCR LABOR PROVISIONS, EVALUATION OF CONSTRUCTION MATERIALS QUALITY, AND WARRANTY EXPIRATION.

RETENTION: OFFICIAL FILE: MAINTAINED BY THE BUREAU OF PROJECT DEVELOPMENT FOR THE DURATION OF THE PROJECT THROUGH CLOSE (FINAL COST STATEMENT) AND WARRANTY PERIOD EXPIRATION DATE. BPD FORWARDS THE CLOSED CONTRACT TO WISDOT CENTRAL FILES. REGIONS MAINTAIN A MORE INCLUSIVE COPY OF THE LET CONTRACT, INCLUDING CONTRACT MODIFICATIONS, CONTRACTOR CORRESPONDENCE AND CLOSURE DOCUMENTS IN THE REGION CONSTRUCTION PROJECT FILE.

EVENT = FINAL PROJECT COST STATEMENT AND WARRANTY EXPIRATION DATE

<u>00318000.</u>	<u>EMERGENCY AND TRAFFIC MITIGATION CONTRACT CASE FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT NEGOTIATES SPECIAL EMERGENCY REPAIR CONTRACTS WHEN IT IS NECESSARY TO RESPOND QUICKLY TO ROADWAY AND / OR STRUCTURE DAMAGE. TRAFFIC INCIDENTS MAY RESULT IN ACCIDENTAL DAMAGE TO BRIDGES, SOGNALS, LIGHTING OR GUARDRAILS. FLOODS, TORNADOS OR OTHER NATURAL CAUSES MAY CAUSE WEATHER DAMAGE. IN THESE CASES, THE DEPARTMENT AWARDS CONTRACTS FOR EMERGENCY HIGHWAY REPAIR PROJECTS, WAIVING STANDARD BID REQUIREMENTS IN ORDER TO MAINTAIN HIGHWAY SAFETY AND TRAFFIC FLOW.

RECORDS FOR THESE CONTRACTS INCLUDE:

- * CONTRACT TRANSMITTAL FORM DT 25 RECOMMENDATION TO GOVERNOR FOR CONTRACT AND BOND APPROVAL: CONTAINS SUMMARY CONTRACT INFORMATION, SIGNED BY GOVERNOR
- * CONTRACTUAL AGREEMENT
- * CONTRACT MODIFICATIONS
- * CONTRACT CORRESPONDENCE -- AWARD LETTER, CONTRACT EXECUTION LETTER, DBE INFORMATION
- * CONTRACT WARRANTY AND BOND: PRIMARY CONTRACTOR AND / OR SUBCONTRACTORS MAY BE REQUIRED TO HAVE WARRANTY BONDS TO ASSURE QUALITY AND USEFUL LIFE OF WORK.

REGIONS MAY HAVE COPIES OF EMERGENCY REPAIR CONTRACTS THAT IMPACT THEIR REGIONS.

EVENT = FINAL PAYMENT.

00319000. **BID ANALYSIS MANAGEMENT SYSTEM / DECISION SUPPORT SYSTEM (BAM** **EVT+50** **DEST** **Y**

THE WISDOT MAINTAINS MASTER DATA RELATED TO BIDDING LET PROJECTS IN AN ORACLE DATABASE SUPPORTED BY THE BPD / PUBLICATIONS & CONSTRUCTION STANDARDS TECHNOLOGY UNIT. END USERS OF THE SYSTEM ARE PRIMARILY IN DIVISIONS OF TRANSPORTATION INVESTMENT MANAGEMENT (DTIM) AND TRANSPORTATION SYSTEM DEVELOPMENT (DTSD). COMPONENTS OF THE SYSTEM ARE USED TO ENTER AND COLLECT DATA, WHICH IS ULTIMATELY UPLOADED TO BAMS / DSS TABLES IN THE TRNS.PORT ORACLE DATABASE WHICH IS PART OF THE WISDOT CONTRACT MANAGEMENT SYSTEM. DATA COMES FROM THE FOLLOWING SOURCES:

- * PES: PROPOSAL AND ESTIMATE SYSTEM - INTERIM FILES MOVE TO CAS
- * LAS: LETTING AND AWARD SYSTEM - INTERIM FILES MOVE TO CAS, AND DATA IS PASSED TO DSS AFTER EACH LETTING
- * CAS: CONSTRUCTION ADMINISTRATION SYSTEM - DATA MOVES TO BAMS / DSS

DATA TRACKS THE LETTING PROCESS THROUGH THE CONTRACTUAL AWARD PROCESS AND THROUGH CONTRACT MANAGEMENT TO FINAL CLOSE. DATA SUMMARIZES EACH BID CYCLE, BIDDERS, BIDS AND CONTRACTS AWARDED. HISTORICAL DATA HAS ONGOING REFERENCE VALUE ABOUT BID CYCLES AND LET CONTRACTING, INCLUDING STATISTICS FOR BIDDING PRACTICES OVER TIME. IT IS ALSO USEFUL FOR TRANSPORTATION PLANNING PURPOSES.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

SUMMARY BID DATA HAS LONG-TERM VALUE FOR STATSTICAL AND REFERENCE PURPOSES AND LEGAL VALUE USED TO TRACK CONTRACTOR COMPLIANCE WITH BIDDING REQUIREMENTS OVER TIME. DATA COULD BE USED TO IDENTIFY POSSIBLE COLLUSION OR BID-RIGGING ACTIVITY.

EVENT = FINAL VOUCHER PROCESSED IN CAS, BID CYCLE CLOSE DATE.

00321000. **ENVIRONMENTAL REPORTS (ER) HWY CORRIDOR FILES** **EVT+6** **DEST** **Y**

WISDOT PERSONNEL AND/OR CONSULTANTS PREPARE ENVIRONMENTAL REPORTS (ERS) TO DEMONSTRATE THAT A HIGHWAY PROJECT HAS BEEN GIVEN ENVIRONMENTAL SCRUTINY TO CONFIRM THAT IT IS CATEGORICALLY EXCLUDED FROM REQUIRING AN EIS. ERS DOCUMENT THAT PARTICULAR TYPES OF HIGHWAY PROJECTS WILL HAVE NO SIGNIFICANT ENVIRONMENTAL IMPACTS, INCLUDING:

- TYPE III PROJECTS: REQUIRE AN ER TO CONFIRM THAT THERE ARE NO SUBSTANTIVE EFFECTS THAT COULD BECOME "SIGNIFICANT" AND THEREBY REQUIRE AN EIS.
- TYPE IV PROJECTS (2A - CATEGORICAL EXCLUSION: PROGRAMMATIC): CERTAIN MAJOR ACTIONS OR PROJECTS REQUIRE NO ENVIRONMENTAL DOCUMENTATION BECAUSE, BASED ON PAST EXPERIENCE WITH SIMILAR ACTIONS, THEY HAVE NO POTENTIAL FOR SIGNIFICANT EFFECTS ON THE HUMAN ENVIRONMENT, I.E., THEY DO NOT: INDUCE SIGNIFICANT IMPACTS TO PLANNED GROWTH OR LAND USE FOR THE AREA; REQUIRE RELOCATION OF SIGNIFICANT NUMBERS OF PEOPLE; HAVE A SIGNIFICANT IMPACT ON ANY NATURAL, CULTURAL, RECREATIONAL, HISTORIC OR OTHER RESOURCE; INVOLVE SIGNIFICANT AIR, NOISE, OR WATER QUALITY IMPACTS; HAVE SIGNIFCANT IMPACTS ON TRAVEL PATTERNS, OR OTHERWISE, EITHER INDIVIDUALLY OR CUMULATIVELY, HAVE ANY SIGNIFICANT ENVIRONMENTAL IMPACTS. (TRANS 400.08 D, WIS ADM. CODE)
- ENVIRONMENTAL CHECKLISTS OR PROGRAMMATIC ER (2B CATEGORICAL EXCLUSION: STATE DOCUMENTED): THE CHECKLIST CONFIRMS THAT A PROJECT IS WITHIN A PROGRAM OF PROJECTS FOR WHICH AN ER WAS PREPARED DEMONSTRATING THAT THEY HAVE VERY SMALL OR NO EFFECTS. FOR EXAMPLE, THE CHECKLIST PROCESS SCREENED MINOR ROADWAY RECONDITIONING AND MINOR BRIDGE REPLACEMENT PROJECTS AND CONFIRMED THAT THEIR IMPACTS WERE NON-SUBSTANTIVE AND INSIGNIFICANT.
- ENVIRONMENTAL REPORTS (2C CATEGORICAL EXCLUSION - FHWA DOCUMENTED): THE ER USES THE SAME FORMAT AS THE EA BUT GENERALLY REQUIRES ONLY THE SUMMARY OF "BASIC" SHEETS, DOCUMENTING NO SUBSTANTIVE

IMPACTS.
 -RELATED RECORDS: CORRESPONDENCE EVIDENCING COORDINATION WITH OTHER RESOURCE AGENCIES, ETC.

NOTE: THERE IS NO REQUIRED PUBLIC DISTRIBUTION REQUIREMENT FOR ER DOCUMENTS.
 RETENTION: EVENT (HIGHWAY PROJECT FINAL COST STATEMENT) + 6 YEARS AND DESTROY CONFIDENTIAL.

00322000.	<u>ENVIRONMENTAL REVIEW - PROJECT MONITORING GENERAL FILES</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>Y</u>
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REGION AND BEES ENVIRONMENTAL SPECIALISTS MAY CREATE AND MAINTAIN GENERAL REFERENCE RECORDS RELATED TO THEIR PARTICULAR ENVIRONMENTAL ISSUE AREA, I.E., ENDANGERED RESOURCES, ENVIRONMENTAL JUSTICE, SOCIO-ECONOMIC, ETC. THIS RECORDS SERIES COVERS THOSE SUBJECT-SPECIFIC GENERAL FILES THAT ARE USEFUL FOR ADMINISTRATIVE AND REFERENCE PURPOSES DURING HIGHWAY CONSTRUCTION PROJECTS BUT DO NOT ENTAIL COMMITMENTS THAT EXTEND BEYOND THE PROJECT COMPLETION. RECORDS ARE USED FOR INCIDENTAL REFERENCE AND BACKGROUND INFORMATION; THEY DO NOT HAVE LONG-TERM STATISTICAL AND ANALYTICAL VALUE. MAY INCLUDE:

- VOLUMINOUS BACKGROUND INFORMATION AND COPIES OF TECHNICAL MATERIALS USED TO DESCRIBE THE PARTICULAR ENVIRONMENT. MAY BE SUMMARIZED IN THE EIS, EA OR ER DOCUMENTS BUT NOT INCLUDED IN ITS ENTIRETY, E.G., AGRICULTURAL IMPACT STATEMENT (AIS) PREPARED BY TEH WIS. DATCP.
- ROUTINE CORRESPONDENCE AND COMMUNICATIONS BETWEEN WISDOT AND LOCAL, STATE AND FEDERAL AGENCIES CREATED AND RECEIVED TO COORDINATE ENVIRONMENTAL EFFORTS.
- INCIDENTAL ENVIRONMENTAL INFORMATION COLLECTED DURING THE PROJECT PLANNING AND DEVELOPMENT, I.E., DEMOGRAPHIC AND POPULATION DATA IN MUNICIPAL, REGIONAL OR STATE-WIDE STUDIES AND REPORTS;
- SITE OBSERVATION NOTES: WILDLIFE SPECIES SITED, VEGETATION PHOTOS, AESTHETICS, PARKS, NOISE CONTROL, ETC.
- INCIDENTAL NOTICES AND COMMUNICATIONS RELATED TO THE PROJECT.

RECORDS ARE LOCATED WITH REGIONAL ENVIRONMENTAL SPECIALISTS OR BEES PERSONNEL AND USED TO MONITOR PARTICULAR ENVIRONMENTAL CONDITIONS RELATED TO THE PROJECT SITE.
 RETENTION: EVENT (HIGHWAY PROJECT FINAL COST STATEMENT) + 3 YEARS AND TRANSFER TO WHS.

00322A00.	<u>ENVIRONMENTAL REVIEW WORK PAPERS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES ARE BACKGROUND MATERIALS AND WORK PAPERS GENERATED IN THE PROCESS OF PREPARING EIS, EA OR ER DOCUMENTS. THEY INCLUDE:
 -WORK PLANS, TIME LINES, STATUS REPORTS, SCHEDULES, PROCEDURAL AND ADMINISTRATIVE RECORDS.
 -HANDWRITTEN NOTES, MESSAGES, RAW DATA AND INITIAL COMPUTATIONS, AND WORKING DRAFTS USED IN THE PROCESS OF DEVELOPING THE DOCUMENTS.

WORK PAPERS HAVE REFERENCE VALUE UNTIL THE PARTICULAR DOCUMENT IS FINALIZED.

RETENTION: (APPROVAL OF ENVIRONMENTAL DOCUMENT) AND DESTROY.

00323000.	<u>ARCHAEOLOGICAL & HISTORY ENVIRONMENTAL ISSUES FILE</u>	<u>EVT+25</u>	<u>SHSW</u>	<u>Y</u>
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FDM CHAPTER 26 IDENTIFIES ARCHAEOLOGICAL AND HISTORICAL ENVIRONMENTAL FACTORS TO BE ADDRESSED TO DETERMINE IMPACTS OF HIGHWAY PROJECTS. RECORDS IN THIS SERIES TRACK THE ARCHAEOLOGICAL ENVIRONMENTAL REVIEW PROCESS.

- COMPREHENSIVE PROFILES OF PARTICULAR REGION, COUNTY, MUNICIPALITY, COMMUNITY, INCLUDING ARCHAEOLOGICAL AND HISTORY FEATURES, CHARACTERISTICS, STUDIES, STATISTICS, DETAILED BREAKDOWNS
- SECTION 106 ENVIRONMENTAL COMMITMENTS (ARCHAEOLOGICAL AND HISTORICAL IMPACT MITIGATION MEASURES)
- CORRESPONDENCE RELATED TO ARCHAEOLOGICAL AND HISTORICAL SITE OR PROJECT
- WISCONSIN PUBLIC LANDS FIELD ARCHAEOLOGICAL PERMIT
- ARCHAEOLOGICAL RESOURCE PROTECTION ACT (ARPA) PERMITS
- NOTIFICATION LETTERS (TRIBES, PUBLIC, HISTORICAL SOCIETIES)
- PROJECT MAPS
- DETERMINATION OF ELIGIBILITIES (ARCHAEOLOGY AND HISTORY)
- SECTION 106 RELATED HISTORIC PROPERTIES REPORTS (IDENTIFICATION, EVALUATION, MITIGATION)
- *ARCHAEOLOGICAL SURVEY FIELD REPORT (ASFR)
- *ARCHITECTURE/HISTORY SURVEY
- *ARCHAEOLOGICAL LITERATURE AND RECORDS REVIEW
- *BIBLIOGRAPHY ARCHAEOLOGICAL REPORT (BAR) FORM

NOTE: INFORMATION CONTAINED IN ARCHAEOLOGICAL REPORTS REGARDING ARCHAEOLOGICAL RESOURCES MAY BE CONFIDENTIAL UNDER (S. 44.48(1)(C), WIS. STATS.); INDIAN BURIAL SITE LOCATIONS ARE CONFIDENTIAL UNDER 157.70(2)(B), WIS. STATS. AND SECTION 304 OF THE NATIONAL HISTORIC PRESERVATION ACT. RECORDS IN THIS SERIES ARE USED FOR GENERAL REFERENCE AND ADMINISTRATIVE PURPOSES. THEY ARE ESPECIALLY USEFUL FOR FUTURE WISDOT ACTIONS, I.E., TO COMPARE LONG-TERM HUMAN AND NATURAL ENVIRONMENTAL IMPACTS ON ARCHAEOLOGICAL AND HISTORIC SITES AND TO IDENTIFY IMPACTS OVER TIME.

RETENTION: (OFFICIAL COPY): EVENT (HIGHWAY PROJECT FINAL COST STATEMENT) + 25 YEARS AND TRANSFER TO WHS

00324000.	<u>THREATENED & ENDANGERED (T&E) SPECIES PERMITS AND REPORTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT IS REQUIRED TO OBTAIN PERMITS WHENEVER THE WISDOT IS INVOLVED IN ACTIVITIES THAT HAVE AN IMPACT ON THREATENED SPECIES, INCLUDING PLANTS AND WILDLIFE. PERMITS INCLUDE:
 -INCIDENTAL TAKING PERMITS REQUIRED BY WISCONSIN DNR FOR TAKING ANIMALS OR PLANTS. - FOR ANIMAL
 -CONSULTANT REPORTS AND CORRESPONDENCE EVIDENCING COORDINATION WITH U.S. FISH & WILDLIFE AND DNR DOCUMENTING COMPLIANCE WITH REQUIREMENTS
 -ENDANGERED SPECIES: SURVEYS, REPORTS ON FINDINGS OF PLANTS, OTHER SPECIES, - CONFIDENTIAL (S. 23.27 (3)(B), WIS. STATS.
 -COORDINATION EFFORTS WITH DNR BUREAU OF ENDANGERED RESOURCES AND LOCAL AGENCIES
 -OTHER MATERIALS THAT DOCUMENT SPECIES RELOCATION

CONFIDENTIAL: NATURAL HERITAGE INVENTORY PROGRAM RECORDS IDENTIFYING NATIVE PLANT AND ANIMAL COMMUNITIES AND ENDANGERED, THREATENED, AND CRITICAL SPECIES, PER S. 23.27(3)(B), WIS. STATS.

RETENTION: EVENT (PERMIT EXPIRED, OR REPORT DATA) + 10 YEARS AND DESTROY CONFIDENTIAL

<u>00325000.</u>	<u>HAZARDOUS WASTE MANIFESTS</u>	<u>EVT+25</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT IS REQUIRED TO COMPLETE MANIFESTS DOCUMENTING TRANSPORTATION OF HAZARDOUS WASTE MATERIALS WHEN WISDOT IS THE GENERATOR. THE MANIFEST DOCUMENTS THE ORIGINATION SITE, TYPE OF AMOUNT OF WASTE TRANSPORTED AND DISPOSAL SITE. THE USEPA AND WIS. DNR REGULATE TRANSPORTATION OF WASTE MATERIALS AND THE FORM AND FORMAT OF MAINFESTS. FEDERAL REQUIREMENTS IN 40 CFR 262.20 (A)(2)(E)(2) AND 40 CFR 262.40 SPECIFY RETENTION OF MANIFESTS FOR AT LEAST THREE YEARS.

RETENTION: EVENT (DATE OF LAST BIENNIAL REPORT FILED FOR WASTE) + 25 YEARS AND DESTROY CONFIDENTIAL

<u>00326000.</u>	<u>BRIDGE ASBESTOS INSPECTION REPORTS - BRIDGES</u>	<u>EVT+25</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT OVERSEES BRIDGE ASBESTOS INSPECTIONS, REPORTS AND NOTIFICATIONS TO ASSURE THAT NO ASBESTOS-CONTAINING MATERIAL IS USED IN THE CONSTRUCTION OR MAINTENANCE OF A BRIDGE FACILITY. WISDOT INSPECTS ALL STRUCTURES THAT MEET THE FEDERAL DEFINITION OF BRIDGES CONTAINING MATERIALS UNDER 40 CFR 61.145. WISDOT NOTIFIES CONTRACTORS OF THE RESULTS OF BRIDGE ASBESTOS INSPECTIONS AND THEIR RESPONSIBILITIES REGARDING NOTIFICATION AND ABATEMENT. ENVIRONMENTAL CONSULTANTS CONDUCT BRIDGE ASBESTOS INSPECTIONS FOR ANY WISDOT PROJECTS WHEN A BRIDGE STRUCTURE IS SCHEDULED FOR RENOVATION, REHABILITATION, OR DEMOLITION, INCLUDING LOCAL ROAD BRIDGES, DESIGN CONSULTANT PROJECT AND WISDOT PROJECTS DESIGNED IN-HOUSE. ENVIRONMENTAL CONSULTANTS SUBMIT THE REPORT AS AN IMAGE FILE (CURRENTLY IN ADOBE ADOBE ACROBAT SOFTWARE) TO THE HAZARDOUS MATERIALS SPECIALIST IN BEES. ELECTRONIC COPIES ARE ALSO PROVIDED TO REGION ENVIRONMENTAL SPECIALISTS AND THE REGION PROJECT MANAGER. RECORDS IN THIS SERIES INCLUDE THE INSPECTION REPORT AND MAY ALSO INCLUDE ABATEMENT FOLLOW-UP CORRESPONDENCE.

OFFICIAL COPY RETENTION: EVENT (STRUCTURE DEMOLISHED) + 25 YEARS AND DESTROY.

<u>00327000.</u>	<u>WATER RESOURCES & HYDROGEOLOGY INVESTIGATIONS & REPORTS</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>Y</u>
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WISDOT ACTIONS MAY IMPACT WATER RESOURCES INCLUDING GROUNDWATER QUALITY, SAFE DRINKING WATER, WELLS, STORMWATER, OR HYDROGEOLOGY FACTORS. THE WIS. DNR REGULATES WATER QUALITY PER NR 140 GROUNDWATER QUALITY; NR 141 GROUNDWATER MONITORING WELL REQUIREMENTS; NR 809 SAFE DRINKING WATER; NR 812 WELL CONSTRUCTION & PUMP INSTALLATION; S.L 160, WIS. STATS. GROUNDWATER PROTECTION STANDARDS; S. 85.17, WIS. STATS. STORAGE OF HIGHWAY SALT; S. 85.18, STATS. GROUNDWATER PROTECTION; S. 292.11, STATS. HAZARDOUS SUBSTANCE SPILL LAW; TRANS 277 WIS.ADMIN CODE HIGHWAY SALT STORAGE.
 WISDOT AND/OR CONSULTANTS DEVELOP REPORTS TO INVESTIGATE WATER RESOURCES AND HYDROGEOLOGY FACTORS RELATED TO MANAGE WISDOT HIGHWAY PROJECTS AND WISDOT PARCELS.
 -STATEWIDE WATER RESOURCES REPORTS: BEES MAINTAINS
 -REGION PROJECT-SPECIFIC WATER RESOURCES SITE REPORTS: REGION ENVIRONMENTAL SPECIALIST MAINTAINS

RECORDS IN THIS SERIES COVER A RANGE OF WATER RESOURCES AND HYDROGEOLOGY INVESTIGATION TOPICS NOT INCLUDING WETLANDS. REPORTS DETAIL WATER RESOURCES ENVIRONMENTAL IMPACTS, INCLUDING:
 -WATER BODY LOCATOR AND INVENTORY DATA - LOCATION AND SEVERITY OF IMPACT
 -WATER CHEMISTRY DATA: SURFACE WATER, GROUNDWATER, STORMWATER DISCHARGES, SALT (CHLORIDES) STUDIES, CONTAMINANT MIGRATION, ETC.
 -WATER PROJECTS, E.G., STREAM RELOCATION: FIELD DATA FOR CHANNEL DESIGN, DEPTH AND WIDTH, ETC.
 -PHYSICAL FLOW DATA: ENVIRONMENTAL INVESTIGATIONS AND GEOTECHNICAL INVESTIGATIONS, SPRINGS, SINKHOLES, SEEPAGE, ETC.
 -RECOMMENDED WISDOT SPECIFIC ENVIRONMENTAL ABATEMENTS AND MITIGATION ACTIONS, INCLUDING COORDINATION WITH OTHER AGENCIES.

RETENTION: EVENT (HIGHWAY PROJECT FINAL COST STATEMENT) + 3 YEARS AND TRANSFER TO WHS.

<u>00328000.</u>	<u>WETLAND CASE FILES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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WISDOT HAS ONGOING RESPONSIBILITIES WHEN PROJECTS IMPACT WETLANDS: MONITOR WETLANDS, REPORT TO REGULATORY AGENCIES; AND PROVIDE EVIDENCE OF APPROPRIATE MITIGATION ACTIONS.
 -BEES RETAINS THE OFFICIAL COPY OF REPORTS FOR STATEWIDE BANK WETLAND SITES AND WMBAS ANNUAL LETTER REPORTS TO ARMY CORPS AND DNR
 -REGION ENVIRONMENTAL SPECIALISTS RETAIN THE OFFICIAL COPY OF REPORTS FOR ONSITE AND CONSOLIDATION

WETLAND BANK SITES

RECORDS IN THIS SERIES DOCUMENT WISDOT ACTIONS RELATED TO WETLANDS AND INCLUDE: WETLAND DELINEATION REPORT: THE U.S. CORPS OF ENGINEERS REQUIRES WETLAND SURVEYS EVERY 5 YERS. REPORT IS AN ENVIRONMENTAL "FOOTPRINT IN TIME" THAT SPECIFIES WETLAND BOUNDARIES AND PROVIDES BASE DATA TO IDENTIFY WETLANDS, APPLY FOR PERMITS, AND COMPLETE HIGHWAY PROJECTS. WETLAND PARAMETERS CHANGE OVER TIME, AND THE REPORT IS MAINTAINED FOR LONG-TERM REFERENCE AND WETLAND ADMINISTRATION: TO ASSESS IMPACTS: COMPARE PAST AND CURRENT WETLAND DATA. COMMITMENTS, SITE RESTORATION & MONITORING: INCLUDES FORMAL WETLAND AGREEMENTS (COMMITMENTS) TO MIGRATE ENVIRONMENTAL IMPACTS; LONG-TERM MANAGEMENT REQUIREMENTS; COPIES OF PLANS AND SPECIFICATIONS; AND EVIDENCE OF SITE RESTORATION AND APPROPRIATE MITIGATION ACTIONS. MAY ALSO INCLUDE COPY OF CONSERVATION EASEMENT IDENTIFYING DEED RESTRICTIONS (OFFICIAL REAL ESTATE RDA 395/00120).

WETLAND MITIGATION SITE SEARCH, DEVELOPMENT, DESIGN & CONSTRUCTION REPORTS: WHENEVER WETLAND FILL ACTIONS WILL OCCUR, WISDOT MUST CONDUCT A SEARCH FOR WETLAND PARCEL TO REPLACE THE FILL. BEES, REGION ENVIRONMETNAL SPECIALISTS OR CONSULTANTS SEARCH FOR ONSITE, NEAR-SITE OR BANKED WETLAND MITIGATION PARCELS TO REPLACE FILLS, USING MAPS AND GIS DATA OR THROUGH FIELDWORK. ONCE A SITE IS SELECTED, WISDOT OR ITS DELEGATES PERFORM STUDIES SUCH AS: SURFACE WATER HYDROLOGY, SUBSURFACE HYDROGEOLOGY AND SOILS, VEGETATION ANALYSIS. REPORTS SPECIFY ACTIONS TO BE TAKEN.

RETENTION: PERMANENT WISDOT HAS LONG-TERM LEGAL RESPONSIBILITIES TO MONITOR AND MANAGE WETLANDS. WISDOT IS REQUIRED TO OBTAIN CONSERVATION EASEMENTS ON ALL WETLAND MITIGATION PARCELS; SOME EXPIRE AFTER 30 YEARS (BUT MY BE RENEWED); OTHERS ARE IN PERPETUITY. RECORDS HAVE VALUE BEYOND COMPLETION OF HIGHWAY PROJECTS AND WETLAND REPLACEMENT ACTIONS: FOR FUTURE PROJECTS NEARBY, TO MONITOR WATERSHED WATER QUALITY AND HYDROGEOLOGY RECURRING ISSUES; AND AS BACKGROUND TO IDENTIFY, TRACK AND ACCOUNT FOR WETLAND REPLACEMENT AND MITIGATION ACTIONS.

00329000.	<u>WATER RESOURCES MASTER DATA</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>Y</u>
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THE BEES HYDROLOGELOGIST MAINTAINS WATER RESOURCES DATA (CURRENTLY EXCEL SPREADSHEETS). MASTER DATA PROVIDES BASE DATA TO INVENTORY AND IDENTIFY WATER BODIES AND WATER RESOURCES FOR WISDOT MONITORING AND COMPLIANCE PURPOSES. SCIENTIFIC DATA IS USEFUL FOR DEVELOPING ENVIRONMENTAL REPORTS, COORDINATING WITH OTHER REGULATORY AGENCIES, COMPLETING WISDOT HIGHWAY PROJECTS AND MITIGATING ENVIRONMENTAL IMPACTS RELATED TO WATER RESOURCES, E.G., STREAM RELOCATION, EROSION, RUNOFF FROM CONSTRUCTION PROJECTS, ETC. INCLUDES:

- WATER RESOURCES IDENTIFIERS, WATER RESOURCES TYPE AND LOCATOR INFORMATION, I.E., GIS COORDINATES
 - WATER CHEMISTRY: NATURAL AND CONTAMINANT, SURFACE WATER AND GROUNDWATER, STORM WATER
 - PHYSICAL DATA: WETLAND BANK SITE SELECTION AND MONITORING DATA, WATER FLOW, SOIL BORINGS
- DATA IDENTIFIES ENVIRONMENTAL IMPACTS, SEVERITY, ENVIRONMENTAL ABATEMENT, AND MITIGATION ACTIONS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHPATER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

DATA PROVIDES KEY INFORMATION FOR TRACK AND ACCOUNT FOR WETLAND REPLACEMENT ACTIONS; IDENTIFY THE IMPACT OF WISDOT ACTIONS OF WISCONSIN'S WETLANDS; AND COMPARE AND CONTRAST WISDOT WETLANDS BANKING AND ACCOUNTING OVER TIME.

RETENTION: EVENT (HIGHWAY PROJECT FINAL COST STATEMENT) + 3 YEARS AND TRANSFER TO WHS.

00330000.	<u>WETLAND MITIGATION (WMBAS) MASTER DATA - BEES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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THE WISDOT IS REQUIRED TO REPLACE WETLANDS WHENEVER HIGHWAY PROJECTS ENTAIL WETLAND FILLING. WHEN REPLACEMENT WETLANDS CONSIST OF GREATER AREA THAN REQUIRED, THE EXCESS ACREAGE MAY BE "BANKED" AND APPLIED TO OTHER WETLAND FILL ACTIONS. THE WETLAND MITIGATION BANK ACCOUNTING SYSTEM (WMBAS) ELECTRONIC DATABASE IS USED TO INVENTOROY, TRACK AND ACCOUNT FOR WISCONSIN WETLANDS AND INCLUDES: IDENTIFICATION OF EACH WETLAND; LOCATOR COORDINATES; HIGHWAY PROJECT IDENTIFIERS; ACREAGE LOST ADN ACREAGE REPLACED; FEDERAL FILLED VERSUS WETLAND MITIGATION AND REPLACEMENT ACTIONS; AND WISDOT ACTION DATES.

REGIONS IDENTIFY REGION-SPECIFIC WMBAS MITIGATION BANKS AND PARCELS, INCLUDING PROJECTED DEBITS AND CREDITS IN THE FUTURE. ANNUALLY, REGIONS SEND REPORTS IDENTIFYING MAJOR WETLAND MITIGATION IMPACTS AND MILESTONES RELATED TO ROAD PROJECTS TO BEES, TO BE UPLOADED TO BEES WMBAS MASTER EXCEL SPREADSHEET. BEES PERSONNEL MAINTAIN STATEWIDE ANNUAL REPORT OF ACTUAL DEBITS AND CREDITS RECORDED DURING EACH CONSTRUCTION YEAR IN SPREADSHEET FORMAT, CURRENTLY IN MS EXCEL SOFTWARE.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: PERMANENT
WISDOT IS REQUIRED TO HAVE CONSERVATION EASEMENTS ON ALL WETLAND MITIGATION PARCELS. MANY EASEMENTS EXPIRE AFTER 30 YEARS BUT MAY NEED TO BE RENEWED; OTHERS ARE IN PERPETUITY. MASTER DATA PROVIDES KEY INFORMATION TO TRACK AND ACCOUNT FOR WETLAND REPLACEMENT ACTIONS; IDENTIFY THE IMPACT

OF WISDOT ACTIONS ON WISCONSIN'S WETLANDS; AND COMPARE AND CONTRAST WISDOT WETLANDS BANKING AND ACCOUNTING OVER TIME. IT HAS ONGOING VALUE FOR ADMINISTRATIVE, LEGAL AND REGULATORY PURPOSES.

00330A00.	<u>WETLAND (WMBAS) REGION DETAILED WETLAND DATA</u>	<u>CR+50</u>	<u>SHSW</u>	<u>Y</u>
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REGION ENVIRONMENTAL SPECIALISTS USE ELECTRONIC METHODS TO IDENTIFY WETLANDS IN THE REGION; TRACK ADN DOCUMENT ALL REGIONAL MITIGATION EFFORTS; GENERATE STATISTICS INCLUDING PERCENTAGES OF PROJECTS COMPLETED; AND MONITOR REGIONAL HIGHWAY PROJECTS THAT ENTAIL WETLAND ACTIVITIES.. REGION DATA (GENERALLY IN MS ACCESS OR EXCEL) INCLUDES: WETLAND NAME, LOCATORS, AND KEY WETLAND MITIGATION MILESTONES, I.E., CRITICAL DATES: DATE OF DELINEATION, MITIGATION REPORT DATES, MITIGATION SITE SEARCHES, DATA OF PERMIT APPLICATIONS, DAT PERMIT RECEIVED. INCLUDES MITIGATION DATA: PROJECT NAME, ACREAGE, WETLAND IMPACTS, LOCATION OF MITIGATION, REPLACEMENT RATIO, ETC.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

REGIONS RETAIN DATA AS AN INDICATOR OF WISDOT ACTIONS RELATED TO WETLANDS AND TO RESPOND TO REGULATORY QUESTIONS AND COMPLIANCE ISSUES, AND FINAL COMPLETION OF HIGHWAY PROJECTS ON OR NEAR WETLAND SITES CAN TAKE 30 YEARS OR LONGER. IN ADDITION, CONSERVATION EASEMENTS ASSOCIATED WITH WETLANDS ARE LONG-TERM (30 YEARS RENEWABLE TO PERMANENT). DATA PROVIDES VALUABLE INFORMATION INCLUDING LOCATIONS OF ORIGINAL WETLANDS, DRAINAGE ISSUES, PROPERTY OWNER CLAIMS, WETLAND TYPES, AND WETLAND MITIGATION/REPLACEMENT ACTIONS (ONSITE, NEAR SITE, OR BANKED).

RETENTION: CREATION + 50 YEARS AND TRANSFER TO WHS

00331000.	<u>ENVIRONMENTAL SITE ASSESSMENT LISTS AND REPORTS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES ARE LISTS, REPORTS AND OTEHR PUBLIC INFORMATIONAL MATERIALS ABOUT WISDOT ENVIRONMENTAL PROJECTS. INCLUDES LISTS OF PROJECTS UNDERGOING SCREENING, DISTRIBUTION LISTS, COMPANIES AND CONTACTS WITH ENVIRONMENTAL EXPERTISE (E.G., ENVIRONMENTAL CONSULTANTS) AND OTHER ENVIRONMENTAL LINFORMATIONAL MATERIALS. THESE MATERIALS ARE PUBLISHED AND MADE AVAILABLE VIA THE DOTNET AND IN OTHER FORMATS FOR GENERAL INFORMATION PURPOSES. THESE LISTS AND REPORTS NOTIFY THE PUBLIC AND INTERESTED PARTIES OF WISDOT ENVIRONMENTAL REVIEW ACTIONS, PROVIDE ENVIRONMENTAL INFORMATION AND MAY IDENTIFY STATUS OF ENVIRONMENTAL ACTIONS, SUCH AS:
 -SECTION 106 SCREENING LIST PROJECT DETAILS - IDENTIFIES PROJECTS BY DOT REGION AND COUNTY
 -AREAS OF TRIBAL INTEREST FOR PROJECT NOTIFICATION
 -FORMS AND REQUIREMETNS BY ENVIRONMENTAL AREA: AGRICULTURAL, ENDANGERED RESOURCES, SOCIOECONOMIC ISSUES, ETC.

RETENTION: EVENT (SUPERSEDED OR UDPATED) + 2 YEARS AND DESTROY CONFIDENTIAL

00332000.	<u>WIS DOT ENVIRONMENTAL DOCUMENTATION AGREEMENTS AND MEMORA</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT ENVIRONMENTAL SERVICES SECTION HAS ENTERED INTO FORMAL INTERAGENCY COOPERATIVE AGREEMENTS AND MEMORANDA OF UNDERSTANDING (MOU) WITH OTHER FEDERAL, STATE AND LOCAL AGENCIES TO DOCUMENT ENVIRONMENTAL ISSUES AND CONCERNS. RECORDS IN THIS SERIES ARE OFFICIAL COPIES OF AGREEMENTS THAT DELINEATE WISDOT AND OTHER AGENCY RESPONSIBILITIES TO COOPERATIVELY EVALUATE ENVIRONMENTAL CONDITIONS AND IMPACTS. AGREEMENTS INCLUDE BUT ARE NOT LIMITED TO:
 -WISDOT/DNR COOPERATIVE AGREEMENTS: EROSION CONTROL AND STORMWATER MANAGEMENT; WATERWAY CROSSINGS AND OTHER FLOODPLAIN ENCROACHMENTS; ENDANGERED AND THREATENED SPECIES CONSULTATION, WETLAND MITIGATION, ETC.
 -WISDOT/DATCP (AGRICULTURE, TRADE & CONSUMER PROTECTION) AGREEMENTS: AGRICULTUREAL IMPACT STATEMENTS
 -WISDOT AND UW-LACROSSE (UW BOARD OF REGENTS) CULTURAL RESOURCE SERVICES
 -WISDOT AND UW-MILWAUKEE (UW BOARD OF REGENTS) CULTURAL RESOURCE SERVICES
 -WISDOT AND WISCONSIN STATE HISTORICAL SOCIETY (WHS) AND FHWA - SECTION 106 REVIEW
 -OTHER STATE INTERAGENCY AGREEMENTS, E.G. MOU CONCERNING COASTAL MANAGEMENT
 -FEDERAL INTERAGENCY AGREEMENTS: WISDOT/FEDERAL HIGHWAY ADMINISTRATION - COAST GUARD MOU ON COORDINATING EIS COORDINATOIN; U.S. FOREST SERVICE MOU FOREST HIGHWAYS OVER NATIONAL FOREST LANDS; FFA/WISDOT MOU NEPA/WEPA INVOLVING WISDOT AIRPORT DEVELOPMENT ACTIONS
 -STATE AND FEDERAL INTERAGENCY AGREEMENTS: U.S. FOREST SERVICE AND STATE OF WIS. OU REGARDING CHEQUAMEGON AND NICOLET NATIONAL FORESTS
 -OTHER AGREEMENTS: MOU WISDOT, FHWA, SHPO AND ACHP-ENHANCEMENT ACTIVITIES; PROGRAMMATIC AGREEMENT WISDOT, FHWA, SHPO AND ACHP - HISTORIC BRIDGES; PROGRAMMATIC AGREEMENT WISDOT FHWA, SHPO AND ACHP - BASCULE BRIDGES; PROGRAMMATIC AGREEMENT WISDOT, FHWA, SHPO AND ACHP - ADMINISTRATION OF FEDERAL-AID HIGHWAY PROJECTS IN WIS. WISDOT, FHWA, SHPO AND ACHP; MOU EPA/FHWA AND WISDOT - ENVIRONMENTAL STREAMLINING; SPECIES AND HABITAT CONSERVATION AGREEMENT WISDOT/DNR - INCIDENTAL TAKE OF KARNER BLUE BUTTERFLY; WISDOT/DNR STORMWATER MANAGEMENT MOU.

AGREEMENTS HAVE ONGOING VALUE FOR THE DURATION OF THE AGREEMENT TERMA ND UNTIL TERMINATED OR SUPERSEDED.

RETENTION: EVENT (AGREEMENT TERMINATION OR COMPLETELY SUPERSEDED BY UPDATED AGREEMENT) + 6 YEARS AND DESTROY.

00333000.	<u>ENVIRONMENTAL TRAINING MASTER FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
<p>WISDOT ENVIRONMENTAL SPECIALISTS DEVELOP GENERAL ENVIRONMENTAL INFORMATION AND TECHNICAL TRAINING MATERIALS FOR WISDOT PERSONNEL OR CONSULTANTS TO PERFORM ENVIRONMENTAL ASSESSMENTS, EVALUATE IMPACTS AND DOCUMENT FINDINGS CONSISTENTLY AND IN COMPLIANCE WITH FEDERAL AND STATE REQUIREMENTS. SOME TRAINING IS PROVIDED IN PERSON. THE WISDOT ALSO DELIVERS ON-LINE ENVIRONMENTAL COURSES THROUGH ITS WEB SITE. BASIC, INTERMEDIATE AND ADVANCED COURSES IDENTIFY POLICIES AND METHODOLOGIES TO FULFILL ENVIRONMENTAL OBLIGATIONS OF A PROJECT. REPRESENTATIVE TRAINING COURSES INCLUDE:</p> <ul style="list-style-type: none"> -FUNDAMENTALS OF ENVIRONMENTAL RESPONSIBILITY: OVERVIEW OF ENVIRONMENTAL IMPACT ISSUES: GUIDANCE AND REGULATION; THE WISDOT'S ENVIRONMENTAL ETHIC; IDENTIFICATION OF AREAS ASSESSED TO DETERMINE ENVIRONMENTAL IMPACTS. -INTRODUCTION TO SCREENING WORKSHEETS: PRIMER ON WISDOT'S ENVIRONMENTAL ETHIC AND PROCESSES IN PLACE TO MEET STATE AND FEDERAL ENVIRONMENTAL REGULATIONS. THIS IS A PREREQUISITE COURSE FOR WISDOT AND CONSULTANTS FOR ALL OTHER BUREAU OF ENVIRONMENT COURSES. -COMMUNITY ISSUES COURSES PROVIDE TRAINING TO ASSESS SPECIFIC RESOURCE IMPACTS AND INCLUDE: ENVIRONMENTAL JUSTICE; INDIRECT AND CUMULATIVE IMPACTS; COMMUNITY IMPACT ANALYSIS; HISTORIC PRESERVATION; BUILDINGS AND STRUCTURES; ARCHAEOLOGY PART 1 - COORDINATION WITH NATIVE AMERICAN TRIBES; ARCHAEOLOGY PART 2 - ARCHAEOLOGICAL INVESTIGATIONS, ARCHAEOLOGICAL MITIGATION AND ENVIRONMENTAL COMMITMENTS IN THE CONSTRUCTION CONTRACT, ETC. -HAZARDOUS MATERIALS COURSES: HAZARDOUS MATERIALS FOR THE PROJECT MANAGER; WRITING SPECIAL PROVISIONS FOR ROAD AND BRIDGE CONSTRUCTION; -NOISE AND AIR QUALITY TRAINING: TRAFFIC NOISE MODEL (TNM) TRAINING TO RUN THE TRAFFIC NOISE MODEL TO COMPLETE ENVIRONMENTAL DOCUMENTATION FOR SPECIFIC TRANSPORTATION PROJECTS. -WATERS; WETLANDS TRAINING: STORMWATER BASICS; WATERS, WETLANDS AND DOT FACILITIES DEVELOPMENT PROJECTS. 				

RECORDS IN THIS SERIES ARE OFFICIAL MASTER FILES, THAT INDIVIDUALS RESPONSIBLE FOR PROVIDING OR COORDINATING THE PARTICULAR TRAINING COURSES MAINTAIN IN THE ENVIRONMENTAL SERVICES SECTION. INCLUDES COURSE DESCRIPTION, OUTLINES, HANDOUTS, WORKSHEETS, AND OTHER MATERIALS USED FOR ENVIRONMENTAL TRAINING PURPOSES. MATERIAL POSTED TO THE WEB SITE IS A PUBLISHED COPY AND IS NOT CONSIDERED THE OFFICIAL COPY.

RETENTION: EVENT (COURSE OBSOLETE OR SUPERSEDED BY UPDATED MATERIALS) AND DESTROY.

00334000.	<u>CONSULTANT INDIRECT COST (OVERHEAD) AUDIT CASE FILE</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
<p>BEFORE ENGINEERING FIRMS NEGOTIATE CONTRACTS WITH WISDOT, THEY MUST HAVE AN INDIRECT COST (OVERHEAD) RATE APPROVED BY THE WISDOT AUDIT SECTION. THIS RATE IDENTIFIES TYPES OF PROJECT-SPECIFIC EXPENSES FOR WHICH THE FIRM CAN CHARGE. THE WISDOT AUDIT SECTION EITHER COMPLETES THE INDIRECT COST AUDIT OR APPROVES THE USAGE OF AN AUDIT DONE BY CPA FIRMS OR OTHER STATE AUDIT DEPARTMENTS. RECORDS IN THIS SERIES INCLUDE:</p> <ul style="list-style-type: none"> -CONSULTANT FINANCIAL REPORT (DT 1865), SUBMITTED ANNUALLY WITHIN FIVE MONTHS AFTER THE END OF THE FIRM'S FISCAL YEAR END: USED TO ESTABLISH AN INDIRECT COST PROVISIONAL OVERHEAD RATE AND PROVIDES INFORMATION USED DURING CONTRACT NEGOTIATION AND SUBSEQUENT AUDIT PROCESSES -WISDOT WORKPAPERS, COMPUTATIONS, ANALYSIS AND ASSESSMENT OF INTERNAL CONTROLS, SPREADSHEETS AND OTHER SUPPORTING DOCUMENTATION CREATED IN THE PROCESS OF ESTABLISHING AN AUDITED INDIRECT COST (OVERHEAD) RATE. <p>CONFIDENTIAL: FEDERAL LAW RESTRICTS ACCESS TO CONFIDENTIAL CONSULTANT OVERHEAD RATE INFORMATION IN AUDIT REPORTS (23 U.S.C. 112(B)(2)(F) AND 23 C.F.R. 172(D)).</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM</p> <p>RETENTION: EVENT (AUDIT PERIOD DATE) + 4 YEARS AND DESTROY CONFIDENTIAL</p>				

00335000.	<u>CONSULTANT FINAL INDIRECT COST (OVERHEAD) AUDIT REPORTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
<p>DOT CREATES AUDIT REPORTS TO ARRIVE AT FINAL AUDITED INDIRECT COST RATES THAT CONSULTANT FIRMS CAN CHARGE AND CERTAIN TYPES OF PROJECT-SPECIFIC EXPENSES. THE WISDOT AUDIT SECTION COMPLETES THE AUDIT REPORT OR APPROVES THE USE OF AN AUDIT REPORT COMPLETED BY CPA FIRMS OR OTHER STATE AUDIT DEPARTMENTS. THIS RECORD SERIES INCLUDES ONLY THE FINAL CONSULTANT INDIRECT COST (OVERHEAD) AUDITED REPORT.</p> <p>RECORDS IN THIS SERIES INCLUDE PAPER COPIES AND ELECTRONIC VERSIONS OF THE REPORTS. CONSULTANTS MAY CONTINUE WORKING ON SPECIFIC PROJECTS FOR SEVERAL YEARS, AND FINAL REPORTS PROVIDE INFORMATION NEEDED FOR BUSINESS REFERENCE PURPOSES.</p> <p>CONFIDENTIAL: PER SS. 84.01(32), WIS. STATS., THIS IS A CONFIDENTIAL RECORD THAT MAY CONTAIN PAYROLL INFORMATION OR OTHER FINANCIAL DATA. FEDERAL LAW RESTRICTS ACCESS TO CONFIDENTIAL CONSULTANT OVERHEAD RATE INFORMATION IN AUDIT REPORTS (23 U.S.C. 112(B)(2)(F) AND 23 C.F.R. 172.7 (D)).</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND</p>				

HTTP://DOTNET/BMSRECORDS/RECELEC.HTM
 RETENTION: EVENT (AUDIT PERIOD DATE) + 10 YEARS AND DESTROY CONFIDENTIAL

<u>00336000.</u>	<u>CONSULTANT ACTUAL COST AUDIT REPORTS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES ARE WISDOT AUDIT SECTION PROJECT AUDIT REPORTS OF FIRMS EMPLOYED TO WORK ON ACTUAL COST-BASED PROJECTS, I.E., FIRMS WITH CONTRACTS THAT ENTAIL FEDERAL FUNDS TO PERFORM PART OF ALL OF THE PROJECT. AUDIT REPORTS ARE OF BOTH PRIME FIRMS AND FIRST TIER SUBCONTRACTED FIRMS. THE WISDOT AUDIT SECTION, DTIM FILES AUDIT REPORTS BY FIRM NAME, BY PROJECT. CONSULTANTS OFTEN CONTINUE WORK ON SPECIFIC PROJECTS FOR SEVERAL YEARS, AND REPORTS PROVIDE INFORMATION NEEDED FOR BUSINESS REFERECE PURPOSES. RECORDS IN THIS SERIES INCLUDE PAPER AND ELECTRONIC VERSIONS OF THE REPORTS AND:

- PORTIONS OF THE CONTRACT BEING AUDITED
- CONTRACT COST ESTIMATE
- INVOICES BEING AUDITED - MS EXCEL SPREADSHEET
- TESTING, SAMPLING OF ITEMS BILLED
- RECONCILIATION WORK PAPERS

CONFIDENTIAL: PER SS. 84.01(32), WIS. STATS., THIS IS A CONFIDENTIAL RECORD THAT MAY CONTAIN PAYROLL INFORMATION OR OTHER FINANCIAL DATA. FEDERAL LAW RESTRICTS ACCESS TO CONFIDENTIAL CONSULTANT OVERHEAD RATE INFORMATION IN AUDIT REPORTS (23 U.S.C. 112(B)(2)(F) AND 23 C.F.R. 172.7(D)).
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM.

RETENTION: EVENT (AUDIT PERIOD DATE) + 4 YEARS AND DESTROY CONFIDENTIAL

<u>00337000.</u>	<u>PROJECT AUDIT WORK PAPERS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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THE AUDIT AND CONTRACT ADMINISTRATION CONDUCTS AUDITS OF VARIOUS TYPES OF HIGHWAY PROJECTS WHEN WISDOT ISSUES CONTRACTS FOR WHICH FEDERAL FUNDS ARE USED. THESE PROJECT AUDITS ARE CONDUCTED AFTER PROJECT COMPLETION. AUDITED ENTITIES INCLUDE: CONTRACTORS, CONSULTANTS, PRIVATE TRANSIT OPERATORS, LOCAL UNITS OF GOVERNMENT, RAILROAD AND UTILITY COMPANIES, REAL ESTATE FIRMS, AND OTHER ENTITIES THAT RECEIVE COST-BASED CONTRACTS, INCLUDING THE FOLLOWING TYPES:

- HIGHWAY ENGINEERING, CONSULTING, SURVEYING, SPECIALIZED SERVICES;
- LAND SURVEYS, REAL ESTATE APPRAISAL AND TITLE SEARCH CONTRACTS
- RAZING AND REMOVING PROJECTS FOR CONSTRUCTION AFTER RIGHT OF WAY LAND PURCHASE
- SPECIALTY SERVICES:
- ENVIRONMENTAL/HAZARDOUS MATERIALS WORK
- LANDSCAPE ARCHITECTURE
- HISTORIC PRESERVATION
- PLANNING STUDIES FOR ALL MODES OF TRAVEL
- TRAFFIC MITIGATION PROJECTS: WAGES AND BENEFITS FOR STAFF (LOCAL POLICE, COUNTY SHERIFF) TO MAINTAIN TRAFFIC FLOW IN UNIQUE SITUATIONS DURING ONGOING CONSTRUCTION PROJECTS, ROAD SAFETY.
- TRANSIT OPERATING ASSISTANCE GRANTS

RECORDS IN THIS SERIES INCLUDE PAPER AND ELECTRONIC MATERIALS THAT AUDITORS CREATE AND RECEIVE IN ORDER TO PREPARE A PROJECT AUDIT, INCLUDING: WORK PAPERS, COMPUTATIONS, ANALYSIS AND ASSESSMENT OF INTERNAL CONTROLS, SPREADSHEETS AND OTHER SUPPORTING DOCUMENTATION CREATED DURING AUDIT.

CONFIDENTIAL: PER SS. 84.01 (32), WIS. STATS., THIS IS A CONFIDENTIAL RECORD THAT MAY CONTAIN PAYROLL INFORMATION OR OTHER FINANCIAL DATA. FEDERAL LAW RESTRICTS ACCESS TO CONFIDENTIAL CONSULTANT OVERHEAD RATE INFORMATION IN AUDIT REPORTS (23 U.S.C. 112(B)(2)(F) AND 23 C.F.R. 172.7 (D)).
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM

RETENTION: EVENT (AUDIT PERIOD DATE) + 4 YEARS AND DESTROY CONFIDENTIAL

<u>00338000.</u>	<u>AUDIT DATA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THE AUDIT SECTION MAINTAINS AN AUDIT DATABASE (CURRENTLY IN MS ACCESS) TO FACILITATE THE AUDITING PROCESS FOR PROJECT AUDITING PURPOSES AND APPROVAL OF OVERHEAD RATES. AUDITORS REVIEW AND APPROVE OR ADJUST PAYMENTS MADE TO CONTRACTORS, BASED ON THE TERMS AND CONDITIONS OF CONTRACTS, DEPARTMENT POLICIES AND FEDERAL STANDARDS. SELECTED DATA IS INCLUDED OR REFERENCED IN AUDIT REPORTS.

PROGRAM MANAGERS SUBMIT A PROGRAM MANAGER'S REQUEST AUDIT FORM TO AUDIT SECTION. FOR CERTAIN AUDITS, DATA IN THE AUDIT DATABASE IS DOWNLOADED FROM EAPS (ENCUMBRANCE/ACCOUNT PAYABLE SYSTEM). THIS RECORDS SERIES INCLUDES FINANCIAL DATA RELATED TO PROJECTS, CONTRACTS, WORK ORDERS, CONTRACTOR AND CONSULTANT OVERHEADS, TIME SHEETS, EVALUATIONS, ETC. FOR THE FOLLOWING TYPES OF AUDIT FUNCTIONS:

- PREQUALIFICATION FINANCIAL RATINGS
- PROJECT AUDITS

-NON-PROJECT AUDITS
 -INDIRECT COST AUDITS
 -GRANTS

CONFIDENTIAL: PER SS. 84.01(32), WIS. STATS., THIS IS A CONFIDENTIAL RECORD THAT MAY CONTAIN PAYROLL INFORMATION OR OTHER FINANCIAL DATA. FEDERAL LAW RESTRICTS ACCESS TO CONFIDENTIAL CONSULTANT OVERHEAD RATE INFORMATION IN AUDIT REPORTS (23 U.S.C. 112(B)(2)(F) AND 23 C.F.R. 172(D)).
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN HAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: EVENT (AUDIT PERIOD DATE) + 10 YEARS AND DESTROY CONFIDENTIAL

00339000.	<u>CPA REPORT REVIEW OF TRANSIT GRANT</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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WHEN LOCAL UNITS OF GOVERNMENT HAVE THEIR OWN CPA AUDIT, WISDOT RELIES ON THE CPA AUDIT, PER OMB CIRCULAR A-133, AUDITS OF STATES, LOCAL GOVERNMENTS AND NON-PROFIT ORGANIZATIONS. GRANT TYPES INCLUDE TRANSIT OPERATING AND CAPITAL GRANTS, ENHANCEMENT GRANTS, TEA GRANTS, HIGHWAY SAFETY GRANTS, ETC. THE AUDIT AND CONTRACT ADMINISTRATION SECTION APPROVES AUDITS CONDUCTED BY OTHER AUDITORS, I.E., FIRMS, OTHER GOVERNMENTAL AGENCIES, ETC. THE SECTION MAINTAINS THE OFFICIAL COPY OF AUDIT DOCUMENTS FOR REFERENCE PURPOSES. ADDITIONAL COPIES GO TO THE AUDITED ENTITY, RESPONSIBLE PROGRAM UNIT AND THE BSHP BUREAU DIRECTOR.

CONFIDENTIAL: PER SS. 84.01(32), WIS. STATS., THIS IS A CONFIDENTIAL RECORD THAT MAY CONTAIN PAYROLL INFORMATION OR OTHER FINANCIAL DATA. FEDERAL LAW RESTRICTS ACCESS TO CONFIDENTIAL CONSULTANT OVERHEAD RATE INFORMATION IN AUDIT REPORTS (23 U.S.C. 112(B)(2)(F) AND 23 C.F.R. 172.7(D)).
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: EVENT (AUDIT PERIOD DATE) + 4 YEARS AND DESTROY CONFIDENTIAL

00340000.	<u>SINGLE AUDIT REVIEW RECORDS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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TRANSPORTATION ENHANCEMENT PROGRAM PROJECT SPONSORS MAY BE REQUIRED TO HAVE A SINGLE ORGANIZATION AUDIT PERFORMED BY A QUALIFIED INDEPENDENT AUDITOR UNDER FEDERAL LAW AND REGULATIONS. FEDERAL CIRCULAR NO. A-133, ISSUED BY THE FEDERAL OFFICE OF MANAGEMENT AND BUDGET (OMB) AND STATE SINGLE AUDIT GUIDELINES ISSUED BY THE WISCONSIN DEPARTMENT OF ADMINISTRATION (DOA) IDENTIFY AUDIT REQUIREMENTS. THIS RECORD SERIES COVERS COPIES OF THE SINGLE AUDIT REPORTS SUBMITTED TO WISDOT.
 CONFIDENTIAL: PER SS.84.01(32), WIS. STATS., THIS IS A CONFIDENTIAL RECORD THAT MAY CONTAIN PAYROLL INFORMATION OR OTHER FINANCIAL DATA. FEDERAL LAW RESTRICTS ACCESS TO CONFIDENTIAL CONSULTANT OVERHEAD RATE INFORMATION IN AUDIT REPORTS (23 U.S.C. 112(B)(2)(F) AND 23 C.F.R. 172.7(D)).

RETENTION: EVENT (AUDIT PERIOD DATE) + 4 YEARS AND DESTROY CONFIDENTIAL

00341000.	<u>HIGHWAY TECHNICIAN CERTIFICATION PROGRAM ADVISORY BOARD RECC</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT HAS A REPRESENTATIVE ON THE HTCP ADVISORY BOARD THAT DIRECTS AND ADMINISTERS THE HIGHWAY TECHNICIAN CERTIFICATION-TESTING PROGRAM. RECORDS IN THIS SERIES ARE THE WISDOT LIAISON FILES THAT DOCUMENT COORDINATION WITH THE HTCP AND WISDOT OVERSIGHT AND MONITORING COURSES TO ASSURE THAT COURSE CONTENT IS CONSISTENT WITH TECHNICIAN CERTIFICATION STANDARDS AND CONSTRUCTION SPECIFICATIONS. INCLUDES:

-HTCP MEETING RECORDS: AGENDAS, MEETING MINUTES OR NOTES, AND MAJOR DECISIONS
 -COURSE OBSERVATIONS: STATUS NOTES, CLASS UPDATES, AND CIRRICULUM CHANGES.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: CREATION (MEETING OR OBSERVATION DATE) + 3 YEARS AND DESTROY.

00341A00.	<u>HIGHWAY TECHNICIAN CERTIFICATION MASTER DATA</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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THE UW-PLATTEVILLE MAINTAINS HIGHWAY TECHNICIAN CERTIFICATION DATA IN ELECTRONIC FORMAT SENDS A TABLE TO UPDATE THE MTS (MATERIALS TRACKING SYSTEM). DATA IN THIS SERIES SPECIFIES THE PARTICULAR QUALIFICATIONS OF ALL HIGHWAY TECHNICIANS PERFORMING SAMPLING/TESTING WORK FOR THE WISDOT MATERIALS TESTING LABORATORY.

PLATTEVILLE SPREADSHEET DATA IS ENTERED INTO A TABLE IN MTS
 NOTE: APPLICANTS APPLY DIRECTLY TO UW-PLATTEVILLE TO TAKE TESTS AND OBTAIN TECHNICIAN CERTIFICATION IN PARTICIULAR AREAS. THE UNIVERSITY OF WISCONSIN-PLATTEVILLE RECEIVES APPLICATIONS; ADMINISTERS AND SCORES TECHNICIAN TESTS; AND FORWARDS APPROVAL DATA IN ELECTRONIC FORMAT TO TEH MTS. THE UW-PLATTEVILLE ALSO MAINTAINS APPLICATIONS AND TESTES RECORDS FOR THE WISDOT. MOST CERTIFICATIONS ARE EFFECTIVVE FOR THREE YEARS AND MAY BE UPDATED ANNUALLY IF/WHEN TECHNICIANS UPDATE THEIR PARTICULAR QUALIFICATIONS, I.E., SUCCESSFULLY PASS TESTS AND OBTAIN ADDITIONAL CERTIFICATIONS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEE THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: (SUPERSEDED OR NON-RENEWAL DATE) + 3 YEARS AND DESTROY CONFIDENTIAL.

<u>00342000.</u>	<u>CENTRAL MATERIALS TESTING LAB EQUIPMENT INVENTORY LISTS</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT MATERIALS TESTING LAB, TRUAX, MAINTAINS INVENTORY AND EQUIPMENT LISTS IN ELECTRONIC FORMAT, CURRENTLY IN MS ACCESS AND WORD TABLES, AND/OR PAPER. INVENTORY INFORMATION NEEDED TO IDENTIFY AND TRACK LAB EQUIPMENT INCLUDES:

- TYPE OF EQUIPMENT,
- SERIAL NO., MANUFACTURER, MODEL NO., BRAND,
- APPLICABLE VERIFICATION (CALIBRATION) PROCEDURE
- IN USE, NEXT,
- INSTRUCTION MANUAL,
- LOCATION, RESPONSIBLE PARTY

WHEN EQUIPMENT IS PURCHASED, TESTING LAB PERSONNEL ADD THE ITEM TO THE ONGOING EQUIPMENT INVENTORY RECORDS LISTS, CONCURRENTLY WITH CALIBRATING THE EQUIPMENT. LISTS ARE UPDATED REGULARLY.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: CREATION + 5 YEARS AND DESTROY

<u>00343000.</u>	<u>MATERIALS MANAGEMENT LAB EQUIPMENT INSPECTION / CALIBRATION & EVT+5</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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THE TESTING LAB IS RESPNSIBLE FOR CONDUCTING, OR ARRANGING TO CONDUCT, LABORATORY EQUIPMENT INSPECTION AND/OR CALIBRATION TO MEET SPECIFIED PROPERTIES AND FUNCTION WITHIN REQUIRED CALIBRATION TOLERANCES.

EQUIPMENT INSPECTIONS PERFORMED ENTAIL TEMPERATURE, LOAD, AVERAGE COMPRESSIVE STRENGTH, ETC. AND RESULTS DETERMINE THAT THE MATERIAL BEING TESTED COMPLIES WITH THE PHYSICAL REQUIREMENT OF THE APPLICABLE AASHTO AND ASTM (AMERICAN SOCIETY OF TESTING MATERIALS) SPECIFICATION TO THE EXTENT OF TESTS PERFORMED AND ACTION RECOMMENDED, I.E., NONE, REPAIR OR REPLACE EQUIPMENT. REPORTS IDENTIFY THE INSPECTOR, APPARATUS (EQUIPMENT), STANDARD TEST PROCEDURE BY NUMBER, CALIBRATION EQUIPMENT USED TO PERFORM THE INSPECTION, LOCATION OF TEST, AND INSPECTION DATES. REPORT RECORDS ARE MADE AVAILABLE IN ELECTRONIC FORMAT AND ALSO FILED ELECTRONICALLY AFTER EACH INSPECTION/CALIBRATION, THE QUALITY OPERATIONS ENGINEER RECEIVES A COPY OF THE WRITTEN INSPECTION REPORT(S) IDENTIFYING THE PERSON RESPONSIBLE FOR UPDATING THE CENTRAL FILE OR EQUIPMENT INSPECTION REPORTS AND FOR TAKING APPROPRIATE ACTIONI AS A RESULT OF INSPECTIONS AND/OR CALIBRATIONS.

RECORDS ARE FILED IN THE WISDOT CENTRAL LAB OR IN SATELLITE REGIONAL LABS ALONG WITH EQUIPMENT MANUFACTUREERS' INSTRUCTIONS AND LITERATURE. RECORDS ARE INDEXED INTO THE FOLLOWING CATEGORIES:

- THERMOMETERS
- BALANCES AND SCALES
- OVENS
- SIEVES SHAKERS
- LOAD TESTING EQUIPMENT
- LIQUID BITUMINOUS
- BITUMINOUS MIXTURES
- SOILS AND AGGREGATES
- HYDRAULIC CEMENT
- CONCRETE
- METALS
- OTHER

RETENTION: EVENT (CALIBRATION TEST DATE) + 5 YEARS AND DESTROY.

<u>00344000.</u>	<u>MATERIALS SAFETY (MSDS) DATA SHEETS</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES ARE FILED TO COMPLY WITH FEDERAL OSHA REQUIREMENTS. MSDS SHEETS DESCRIBE HAZARDS RELATED TO EACH TYPE OF MATERIAL THAT THE LAB HANDLES AND SPECIFIES HANDLING AND SAFETY PRECAUTIONS TO BE TAKEN. THE LAB NEEDS TO MAINTAIN EACH DATA SHEET FOR AS LONG AS CENTRAL OR SATELLITE LABS WILL HANDLE THE PARTICULAR MATERIAL AND FOR A PERIOD OF TIME THEREAFTER TO BE SURE THAT NO AFTER-EFFECTS OCCUR.

RETENTION: EVENT (PARTICULAR MATERIAL TEST DISCONTINUED) + 20 YEARS AND DESTROY.

<u>00345000.</u>	<u>NEW PRODUCT AND METHODS INVESTIGATIONS AND TEST RESULTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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THE NEW PRODUCTS ENGINEER IN THE QUALITY ASSURANCE UNIT, BUREAU OF THE TECHNICAL SERVICES INVESTIGATES AND TESTS NEW PRODUCTS AND METHODS FOR INCORPORATION INTO WISDOT TRANSPORTATION

SYSTEMS. NEW PRODUCT AND METHODS TESTING INVOLVES READING PRODUCT LITERATURE; MONITORING PRODUCT RESEARCH INITIATIVES; INSTALLING NEW PRODUCTS FOR SAMPLE TESTING; REVIEWING NEW METHODS; AND ANALYZING RESULTS. NEW PRODUCTS AND METHODS MAY INCLUDE MATERIALS FOR EROSION CONTROL, WEATHER RESISTANT MATERIALS, SURFACE TREATMENT OF ASPHALT PRODUCTS, DOWEL BARS IN PAVEMENT, REBAR COATING, ETC. THE NEW PRODUCTS ENGINEER MAINTAINS A PAPER FILE OF ALL PRODUCT SUBMITTALS. RECORDS IN THIS SERIES MAY INCLUDE THE FOLLOWING COLLECTED TO PERFORM THE PRODUCT/METHOD TESTS AND EVALUATE RESULTS.

- PRODUCT SPECIFICATIONS, PRODUCT LITERATURE, TECHNICAL REFERENCE, MATERIAL, SCIENTIFIC JOURNALS
- TEST PLAN AND METHODOLOGY
- RAW DATA, COMPUTATIONS, ANALYSIS, TEST RESULTS.
- COMMENTS ON PRODUCTS AND METHODS EVALUATED: PRODUCT/METHOD ASSESSMENT REPORT (PMAR) SUMMARIES OF PERFORMANCE RESULTS, FIELD EXPERIENCE, ISSUES ENCOUNTERED AND OVERALL ASSESSMENTS ARE ALSO MADE AVAILABLE TO WISDOT AND AUTHORIZED INDIVIDUALS ON THE DOTNET IN .PDF FORMAT. NEW PRODUCTS ENGINEER MAINTAINS OFFICIAL COPIES IN PAPER FILE WITH OTHER MATERIALS.
- NEW PRODUCTS REPORTS-CONCLUSIONS AND RECOMMENDATIONS.
- CONTINUED MONITORING REPORTS-IN CASES WHERE FOLLOW UP ASSESSMENTS ARE DONE TO ASSESS PRODUCT PERFORMANCE AND WEAR OVER TIME.

RETENTION: EVENT (CLOSED= INVESTIGATION, TESTING AND MONITORING COMPLETED) + 5 YEARS AND DESTROY.

00346000.	<u>MATERIALS (PREQUALIFIED PRODUCTS) FINAL TEST REPORTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT MATERIALS MANAGEMENT SECTION, CENTRAL LAB TESTS AND APPROVES MATERIALS THAT MAY BE USED FOR STATEWIDE HIGHWAY CONSTRUCTION AND CERTIFIES SUPPLIERS OF THOSE MATERIALS. WISDOT CENTRAL OR SATELLITE LABS CONDUCT TESTS FOR MATERIALS THAT HAVE THE MOST SIGNIFICANT IMPACT (SAFETY, COST, WEAR AND USE) ON WISCONSIN ROADWAYS AND USE THE MATERIALS TRACKING SYSTEM (MTS) TO ANALYZE DATA AND OUTPUT FINAL TEST RESULTS. THIS RECORDS SERIES COVERS FINAL REPORTS OF EVERY PRODUCT TESTED IN HOUSE (BY WISDOT CENTRAL OR STELLITE LABS). FINAL TESTS RESULTS JUSTIFY WHETHER OR NOT THE PRODUCT, SUPPLIER, OR SOURCE MAY BE USED FOR WISCONSIN PRODUCTS, INCLUDING:

- FINAL REPORTS OF PRODUCTS THAT MEET PREQUALIFICATION STANDARDS- TO BE INCLUDED ON LISTS
- FINAL REPORT OF FAILED PRODUCTS-WILL NOT BE LISTED AS PREQUALIFIED
- FINAL REPORTS OF NON-STANDARD PRODUCTS
- ADDITIONAL SUPPORTING INSPECTIONS, OBSERVATIONS, NOTES, CORRESPONDENCE, E-MAIL MESSAGES, OR OTHER DOCUMENTATION RELATED TO PRODUCT PREQUALIFICATION.

RETENTION: EVENT (TEST DATE) + 10 YEARS AND DESTROY.

00347000.	<u>MATERIALS TRACKING SYSTEM - MTS MASTER DATA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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WISDOT MAINTAINS AND TRACKS MATERIALS MANAGEMENT IN THE MATERIALS TRACKING SYSTEM (MTS), CURRENTLY IN POWERBUILDER SOFTWARE FOR ORACLE. THE SYSTEM LISTS CONSTRUCTION MATERIALS THAT MAY BE USED FOR HIGHWAY CONSTRUCTION; IDENTIFIES MATERIALS TEST RESULTS; AND MAY ALSO REFERENCE EXTERNAL SUPPORTING DOCUMENTS. FIELD PERSONNEL ENTER CERTAIN TEST DATA INTO A FIELD STANDALONE COMPONENT, TO BE UPLOADED TO ORACLE. CENTRAL AND REGION LAB STAFF ACCESS ORACLE ADN ENTER DATA DIRECTLY.

- MATERIALS IN THE SYSTEM ARE CONSIDERED ACCEPTABLE ON THE BASIS OF VERIFICATION ASSURANCE DATA REPORTED. MASTER BASE DATA IDENTIFIES PRODUCTS THAT WERE EVER PREQUALIFIED/USED AND INCLUDES:
- CATEGORY OF MATERIALS, PREQUALIFICATION/CERTIFICATION DATES; DATES.
 - FINAL QUALITY VERIFICATION (QV) TEST RESULTS - WISDOT MATERIALS/PRODUCTS SAMPLING
 - DOCUMENT REFERENCES: E.G., HARD COPY DOCUMENT CERTIFIED REPORT OF TEST AND ANALYSIS ON FILE IN CENTRAL OR REGIONAL LAB) AND OTHER TEST DATA IS NOT KEYED INTO THE SYSTEM.
 - CERTIFIED SOURCE OF SUPPLY INVENTORY DATA: E.G., GRAVEL PIT, QUARRY, FACTORY PROVIDER, INCLUDING SPECIFIC MATERIALS TESTED AND CERTIFIED (SAND, ROCK, ETC.) FROM EACH SITE.
 - MAY ALSO INCLUDE DATA ABOUT NON-CONFORMING BUT ALLOWED (ACCEPTED) MATERIALS USED FOR PROJECTS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: PERMANENT
 MASTER MTS DATA IS RETAINED TO CONFIRM THAT MATERIALS MEET QUALITY ASSURANCE STANDARDS; AND TO IDENTIFY PARTICULAR MATERIALS USED IN HIGHWAY CONSTRUCTION, INCLDING ROADWAYS AND STRUCTURES. BASIC INVENTORY DATA ABOUT THE MATERIAL, INCLUDING SUPPLIERS AND SOURCES, HAS ONGOING VALUE TO MANAGER MATERIALS, COMPARE THEM, ASSESS DURABILITY, TRACK PERFORMANCE, AND, SHOULD MATERIALS FAIL, DEAL WITH LEGAL REPERCUSSIONS.

00348000.	<u>APPROVED PRODUCT LISTS</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
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THE MATERIALS MANAGEMENT SECTION COMPILES AND MAINTAINS LISTS OF PRODUCTS THAT ARE PRE-QUALIFIED FOR USE ON WISCONSIN DOT PROJECTS. LISTS INCLUDE:

- PRE-QUALIFIED PRODUCTS
- APPROVED SUPPLIERS AND
- INDEPENDENT THIRD PARTY PLANT CERTIFICATIONS COMPLETED BY CERTIFYING AGENCIES, SUCH AS THE AMERICAN CONCRETE PIPE ASSOCIATION, NATIONAL PRECAST CONCRETE ASSOCIATION,ETC. THE INDEPENDENT 3RD PARTY

CERTIFIES THE PLANT AND DOCUMENTS COMPLIANCE, EITHER IN A NOTIFICATION LETTER TO WISDOT OR BY POSTING PRE-QUALIFIED PLANTS TO THEIR WEB SITE. WISDOT LINKS TO SITES AND ALSO UPLOADS DATA TO WISDOT APPROVED LISTS. NOTE: WISDOT ADDS THIS DATA TO ITS OWN TO CREATE ONE COMPREHENSIVE LIST. LISTS ARE UPDATED ANNUALLY OR MORE FREQUENTLY AS NEEDED. CENTRAL LAB MAINTAINS A PAPER COPY OF EACH LIST GENERATED IN THE QUALITY ASSURANCE UNIT, TRUAX AND AN ELECTRONIC VERSION WITH ANNOTATED REVISIONS AND CHANGES ON A SHARED DRIVE IN MS EXCEL. A PDF VERSION ALSO IS PUBLISHED ON THE WISDOT WEB SITE AND MADE AVAILALE TO CONTRACTORS AND THE PUBLIC.

ELECTRONIC RECORDS APPRAISAL NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, TO MAKE SURE THAT IT REMAINS AVAILABLE THROUGHOUT THE STATED RETENTION PERIOD, AND TO MEET THE REQUIREMENTS OF ADMINISTRATIVE RULE 12. (HTTP://ENTERPRISE.STATE.WI.US/HOME/ERECORDS/PRIMER.HTM AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM) A READABILITY AND RETRIEVAL CHECK MUST BE DONE AT LEAST EVERY 3 YEARS AND TRANSFER TO NEW STORAGE MEDIA AT LEAST EVERY 5 YEARS. RETENTION: EVENT (SUPERSEDED BY UPDATED LIST) + 20 YEARS AND DESTROY.

00349000.	<u>FIELD VERIFICATION (QC AND QV) TEST SUPPORT MATERIALS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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WHEN REQUIRED AS PER THE SPECIFICATION, REGIONAL LABS TEST MATERIALS FOR CONFORMANCE TO STANDARD SPECIFICATIONS. LABS PERFORM FIELD VERIFICATION TESTING AND ENTER DATA INTO THE MATERIALS TRACKING SYSTEM (MTS) FOR MATERIALS TESTED IN THE CONTEXT OF HIGHWAY PROJECTS. ONLY WISDOT OR DESIGNATED AGENTS PERFORM MATERIALS ACCEPTANCE (QV) TESTING TO VERIFY CONTRACTOR (QC) TESTING TO VALIDATE THE QUALITY OF THE PRODUCT. RECORDS IN THIS SERIES COVER ALL INPUT SOURCE DOCUMENTS AND ORIGINAL WORKSHEETS, FIELD DATA SHEETS TO PERFORM THESE TESTS AND BACK UP DATA ENTRY. MATERIALS MANAGEMENT PERSONNEL IN REGIONS MAINTAIN:

- RAW DATA, TEST WORK SHEETS, NOTES, COMPUTATIONS, DATA SHEETS TO TRACK INTERMEDIATE RESULTS CREATED DURING FIELD TESTS
- MATERIALS SAMPLES: DATA AND SUPPORTING DOCUMENTATION RELATED TO SOILS, AGGREGATES, ASPHALTIC MATERIALS, STEELS, CEMENTS, PAINTS, GLASS BEADS, GEOTEXTILES-RAW DATA AND SUPPORTING DOCUMENTATION
- MANUFACTURER'S CERTIFIED REPORTS OF TESTS OR ANALYSIS: CONTRACTORS SUBMIT CERTIFIED REPORTS OF TESTS OR ANALYSES TO REQUEST MATERIALS APPROVAL; REGIONS REVIEW THOSE RELATED TO PROJECTS. REPORTS INCLUDE MANUFACTURER/SUPPLIER INFORMATION; PRODUCT NAME AND USE; AASHTO AND/OR ASTM SPECIFICATION STANDARDS; LOT, BATCH, HEAT NUMBERS APPLICABLE; PHYSICAL AND CHEMICAL TEST RESULTS; CERTIFICATION REVIEW NOTATIONS, WISDOT REVIEWER NOTATIONS, COMMENTS AND APPROVALS; SHOP DRAWINGS AS REQUIRED IN STAND SPEC; CERTIFICATE OF COMPLIANCE. THE CONSTRUCTION MATERIALS MANUAL STATES THAT A COPY OF THIS REPORT MUST BE FILED IN THE TEST REPORT RECORD WHEN THE PROJECT IS COMPLETED.
- HMA (HOT MIX ASPHALT AND BASE AGGREGATE INFORMATION-STILL SUBMITTED IN PAPER FORMAT
- VENDOR SHIPMENT RECORDS: IN SPECIAL CASES, THE CONSTRUCTION CONTRACT REQUIRES CONTRACTOR VENDOR TO TRACK SHIPMENT-BY-SHIPMENT RECORDS, E.G., USE OF NON-CERTIFIED SUPPLIER, TYPE OF CRITICAL HIGHWAY MATERIAL. DATA MAY BE REFERENCE IN THE MTS SYSTEM.

FINAL RESULTS ARE GENERATED BY OR ENTERED INTO THE MATERIALS TRACKING SYSTEM (MTS) AND MAINTAINED IN ORACLE FORMAT. RECORDS IN THIS SERIES NEED TO BE KEPT UNTIL THE HIGHWAY CONSTRUCTION IS COMPLETED, CONSISTENT WITH RETENTION OF THE REGIONAL PROJECT PAPER FILES.

RETENTION: EVENT (FINAL PROJECT COST STATEMENT) + 6 YEARS AND DESTROY CONFIDENTIAL

00350000.	<u>HAZMAT ASSESSMENT REMEDIATION PROJECT CASE FILES - WIS DOT NO1</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES IDENTIFY CONTAMINATION CASES, I.E., PETROLEUM CONTAMINATION CASES, IN A PARTICULAR HIGHWAY CORRIDOR WHEN THE WISDOT IS NOT THE RESPONSIBLE PARTY FOR HAZMAT CLEANUP ACTIONS. RECORDS INCLUDE ENVIRONMENTAL ASSESSMENT REPORTS; ENVIRONMENTAL ANALYSIS; CORRESPONDENCE WITH RESPONSIBLE PARTIES, DESIGN CONSULTANTS AND/OR OTHER AGENCIES; AND OTHER MATERIALS USED TO DOCUMENT THE SITE ASSESSMENT AND SUBSEQUENT REMEDIATION. THE PARTICULAR WISDOT REGIONAL HAZMAT SPECIALIST AND REGIONAL PROJECT PERSONNEL MAINTAIN RECORDS FOR THE PURPOSE OF CORRIDOR PURCHASE, TO DOCUMENT CLEANUP AND REMEDIATION MEASURES TAKEN TO ADDRESS THE PROBLEM AND COMPLETE THE HIGHWAY PROJECT SAFELY. THE DNR DOES NOT SEND COMOPLETE REMEDIATION PROJECT RECORDS WHEN THE WISDOT IS NOT THE RESPONSIBLE PARTY. HOWEVER, WISDOT MAY UNDERTAKE MITIGATION AND CLEANUP EFFORTS EVEN WHEN NOT THE RESPONSIBLE PARTY. IF SO, WISDOT CREATES AND MAINTAINS REMEDIATION RECORDS.

RETENTION (OFFICIAL COPY): EVENT (HIGHWAY PROJECT FINAL COST STATEMENT) + 5 YEARS AND DESTROY CONFIDENTIAL

00350A00.	<u>HAZMAT ASSESSMENT REMEDIATION PROJECT CASE FILES - WIS DOT HAZ</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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RECORDS IN THIS SERIES RELATE TO HAZMAT REMEDIATION PROJECTS FOR WHICH THE WISDOT IS CONSIDERED A PARTY WITH RESPONSIBILITY FOR HAZMAT CLEANUP/ MITIGATION EFFORTS. THE BUREAU OF EQUITY AND ENVIRONMENTAL SERVICES (BEES) MANAGES THE REMEDIATION PROJECT IN THESE CASES. RECORDS INCLUDE THE SITE INVESTIGATION AND REMEDIATION MEASURE TO ADDRESS THE PROBLEM (PRIMARILY PETROLEUM CONTAMINATION) WITHIN A PARTICULAR HIGHWAY CORRIDOR. WISDOT HAS LONG-TERM LIABILITY FOR SITE CLEANUP AND RESERVES THE RIGHT TO REOPEN CASES. RECORDS PROVIDE EVIDENCE OF CLEANUP ACTIONS TAKEN AND INCLUDE:

- PHASE 1: HAZARDOUS MATERIALS ASSESSMENTS
- PHASE 2: SUBSURFACE INVESTIGATION: SITE ASSESSMENT REPORTS, SITE ANALYSIS DATA
- PHASE 2.5: REMEDIATION PLANNING FOR CONSTRUCTION OF A PROJECT
- PHASE 3: DEFINING FULL EXTENT OF CONTAMINATION
- PHASE 4: REMEDIATION
- DISPOSAL OF NON-HAZARDOUS WASTE
- DISPOSAL OF HAZARDOUS WASTE
- STRUCTURE NOTIFICATION
- ASBESTOS ON BRIDGES
- LANDFILLING OR BIOREMEDIATION OF NON-HAZARDOUS WASTE.
- CORRESPONDENCE AND OTHER CLEANUP DOCUMENTATION REQUIRED FOR CORRIDOR PURCHASE
- DEPARTMENT LIABILITY CLAIMS AND DEPARTMENT COMPLIANCE WITH DNR REQUIREMENTS
- REPORTS, PERMITS AND SOLID AND HAZARDOUS WASTE REMEDIATION REQUIREMENTS AS SPECIFIED IN NR 700, WIS. ADM. CODE ILR 49.
- LONG-TERM SITE MANAGEMENT COMMITMENTS.

FILED BY PROJECT # WITHIN DOT REGION. OFFICIAL COPY WITH BEES. REGIONS MAY HAVE COPIES.
RETENTION (OFFICIAL COPY): EVENT (SITE CLOSURE) + 10 YEARS AND TRANSFER TO WHS

<u>00351000.</u>	<u>ENVIRONMENTAL IMPACT STATEMENT (EIS) - RECORD OF DECISION</u>	<u>EVT+25</u>	<u>SHSW</u>	<u>Y</u>
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THE EIS IS A DETAILED FORMAL DISCLOSURE OF THE ENVIRONMENTAL IMPACT OF TRANSPORTATION PROJECTS. AN EIS IS ALWAYS REQUIRED FOR TYPE 1 TRANSPORTATION PROJECTS, I.E., MAJOR ACTIONS HAVING A SIGNIFICANT EFFECT UPON THE QUALITY OF THE HUMAN ENVIRONMENT. WISDOT PERSONNEL AND/OR CONSULTANTS DEVELOP A DRAFT EIS IN COMPLIANCE WITH REQUIREMENTS IN THE NATIONAL ENVIRONMENTAL POLICY ACT (NEPA), 42 U.S.C. 4332; CEQ REGULATIONS, 40 CFR PARTS 100 - 1508; THE WISCONSIN ENVIRONMENTAL POLICY ACT (WEPA), S. 1.11(2)(C), WIS. STATS; AND TRANS 400; WIS. ADM. CODE. THE PUBLIC DISCLOSURE ENTAILS A REQUIRED DISTRIBUTION OF THE DRAFT EIS, OPPORTUNITY FOR PUBLIC COMMENT INCLUDING A PUBLIC HEARING, AND PREPARATION OF A FINAL EIS. THE EIS IDENTIFIES THE PURPOSE OF AND NEED FOR THE PROJECT; POTENTIAL ADVERSE EFFECTS; ALTERNATIVES; AND MITIGATION MEASURES IMPLEMENTED. THIS RECORDS SERIES COVERS THE OFFICIAL MASTER FILE OF WISDOT ENVIRONMENTAL IMPACT STATEMENTS AND SUPPORTING DOCUMENTS. THE WISDOT FACILITIES DEVELOPMENT MANUAL PROCEDURE 21-1-1 OUTLINES THE PROCESS AND IDENTIFIES ENVIRONMENTAL JUSTICE, EROSION CONTROL, HAZARDOUS SUBSTANCES, HISTORICAL, LAKE OR WATERBOY, STORMWATER, TRAFFIC NOISE, WETLANDS, ETC. RECORDS INCLUDE:

- ENVIRONMENTAL ASSESSMENT WHEN IT IS DETERMINED THAT THE PROJECT HAS SIGNIFICANT ENVIRONMENTAL EFFECTS AND AN EIS IS REQUIRED.
- DRAFT EIS AND FINAL EIS DOCUMENTS WITH FHWA RECORD OF DECISION (ROD) FINAL DETERMINATION
- RECORDS DOCUMENTING THE EA AND EIS DISCLOSURE PROCESSES: NOTICES, DOCUMENT DISTRIBUTION PUBLIC COMMENTS RECEIVED, PUBLIC HEARING RECORDS, DISTRIBUTION LISTS, ETC.

RETENTION: (OFFICIAL COPY): EVENT (HIGHWAY PROJECT FINAL CLOSE STATEMENT) + 25 YEARS AND TRANSFER TO WHS.

<u>00352000.</u>	<u>MATERIALS REPORTING SYSTEM (MRS) CONTRACTOR QUALITY CONTROL</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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HIGHWAY CONTRACTORS OR THEIR AGENTS PERFORM QUALITY CONTROL (QC) TESTING AND ENTER PROJECT-SPECIFIC DATA REQUIRED PER THE CONTRACT INTO A MATERIALS REPORTING SYSTEM THAT IS USED FOR MATERIALS REPORTING IN THE CONTEXT OF HIGHWAY PROJECTS. ATWOOD SYSTEMS INC., AN EXTERNAL CONSULTING FIRM UNDER CONTACT WITH WISDOT, MAINTAINS THE MRS IN SYBASE, WITH A BACK UP TO THE WISDOT ORACLE DATABASE. DATA IDENTIFIES:

- CONCRETE PAVEMENTS DATA (IMPLEMENTED IN 2008)
- PAVEMENT RIDE DATA TEST RESULTS
- CONCRETE STRUCTURES- FRESH CONCRETE AND CONCRETE CYLINDER TESTS
- IDENTIFIES NON-CONFORMING MATERIALS; MRS INCLUDES INFORMATION FOR CONTRACTORS TO COMPUTE INCENTIVES AND DISINCENTIVES, I.E., BONUS, PENALTY AND INCENTIVE AMOUNT ESTIMATES.

RECORDS WERE PREVIOUSLY PART OF THE PROJECT FILE.
ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
PROJECT MANAGERS USE THIS DATA TO DETERMINE MATERIALS PAYMENTS AND COMPLIANCE WITH MATERIALS SPECIFICATIONS IN THE CONTRACT. DATA IS ALSO USEFUL FOR STATISTICAL PURPOSES. MRS DATA SUPPORTS HIGHWAY PROJECT QUALITY ASSURANCE AND PAYMENTS TO CONTRACTORS. IT ALSO PROVIDES A BASIS TO SUPPORT MATERIALS MANAGEMENT STANDARD SPECIFICATIONS; TO ASSESS PROCEDURES, RECOMMEND CHANGES (I.E., MIX DESIGNS, MATERIALS PARAMETERS); FOR STATISTICAL ANALYSIS AND PLANNING PURPOSES.

RETENTION: EVENT (FINAL PROJECT COST STATEMENT) + 10 YEARS AND DESTROY CONFIDENTIAL

<u>00353000.</u>	<u>INDEPENDENT ASSURANCE PROGRAM REPORTS AND DOCUMENTS</u>	<u>CR+7</u>	<u>DEST</u>	<u>Y</u>
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WISDOT IS REQUIRED TO PROVIDE AN UNBIASED AND INDEPENDENT EVALUATION OF ALL SAMPLING AND TESTING PERSONNEL, EQUIPMENT AND PROCEDURES USED TO TEST HIGHWAY MATERIALS, AS MANDATED BY CFR TITLE 23 CHAPTER 1, SUBCHAPTER G, PART 637, SUBPART B. WISDOT CONDUCTS INDEPENDENT ASSURANCE TESTS ON THE

BASIS OF INDIVIDUAL TESTERS AND TEST TYPES, INCLUDING THOSE THAT WISDOT PERSONNEL, DESIGNATED AGENTS AND CONTRACTORS MAY GENERATE DURING THE FIELD ACCEPTANCE TESTING PROCESS. RECORDS INCLUDE:
 -SERIES OF INDEPENDENT ASSURANCE PROGRAM TESTING REPORTS: INCLUDE OBSERVATIONS OF SAMPLING AND TESTING, SPLIT SAMPLE TESTING AND EVALUATIONS.
 -SUPPORTING NOTES, DOCUMENTATION AND RELEVANT BACKGROUND MATERIALS.
 RECORDS CONSIST OF SOME IN PAPER FORMAT, MSWORD DOCUMENTS, SPREADSHEETS, ETC. INDEPENDENT TESTERS FORWARD RESULTS AND SUPPORTING MATERIALS TO CENTRAL LAB, TRAUX.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: CREATION + 7 YEARS AND DESTROY CONFIDENTIAL

<u>00354000.</u>	<u>INDEPENDENT ASSURANCE PROGRAM ANNUAL REPORT</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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ANNUALLY, WISDOT SUBMITS AN INDEPENDENT ASSURANCE PROGRAM ANNUAL REPORT TO THE FEDERAL HIGHWAY ADMINISTRATION, AS REQUIRED. THE REPORT PROVIDES DETAILED RESULTS AND SUMMARY INFORMATION DOCUMENTING THE WISDOT INDEPENDENT EVALUATION OF ITS MATERIALS MANAGEMENT SAMPLING AND TESTING PERSONNEL, EQUIPMENT AND PROCEDURES. PERSONNEL IN THE CENTRAL LAB, TRUAX GENERATE THE REPORT IN MS WORD, EXCEL AND ADOBE ACROBAT AND PROVIDE IT IN CD AND ELECTRONIC VERSIONS. THE OFFICIAL COPY IS RETAINED AS A ,PDF DOCUMENT.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUAD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: CREATION +10 YEARS AND DESTROY CONFIDENTIAL

<u>00365000.</u>	<u>EXTERNAL COMMUNICATIONS</u>	<u>EVT+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 WisDOT events and programs.

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

- News/press releases
- Media advisories
- Speeches and talking points
- Correspondence
- Photos, audio, and video recordings
- op-ed columns and articles
- Public service announcements

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Supersedes RDA 00366-000 - News and Information Releases

EVT + 3 yrs = date of creation; Transfer to WHS

<u>00371000.</u>	<u>CERTIFIED DISADVANTAGED BUSINESS ENTERPRISE (DBE) FIRM FILES</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>Y</u>
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Disadvantaged Business Enterprise (DBE) Certification Case Files - Approved: Records in this series document business firms seeking certification and annual recertification as Disadvantaged Business Enterprise (DBE) firms, as specified in federal 49 CFR Part 26. These are small business firms independently owned and controlled by one or more socially and economically disadvantaged persons. To participate in the DBE Program, a firm submits a certification application that can be attained from Equal Rights Officers in the Regions, Central Office, or the Milwaukee DBE Support Services Office. Records in the case file provide evidence for the firm to participate in the DBE program and that it possesses the resources and expertise to operate in the particular field of work as certified:
 -Wisconsin Program Unified Certification Program Application, including notarized Affidavit of Certification: for DBE certification or joint venture DBE

- Requested Work Area and Geographic Area (Form DT2188)
 - Contractors Statement of Experience (DT2186)
 - Cultural, social and legal aspects of the firm and its principals, including birth/naturalization/ tribal roll certificates
 - Partnership/incorporation agreements, board/stockholder minutes
 - Firm work history, including business status contracts, on-site reviews, third party/court challenges, hearings, decisions, etc.
 - Records of WisDOT specific, customized support/consulting services provided.
 - Completed Commitment to Subcontract, showing compliance with the DBE participation requirements, submitted to the DBE Office for review and approval. DBE office approval is required whether or not a DBE goal is included.
- Wisconsin has reciprocity agreements with other states to share certification information on DBE firms..
 RETENTION: Event (DBE submittal) + 20 years and transfer to Wisconsin Historical Society (WHS).

<u>00371A00.</u>	<u>INELIGIBLE DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM AP</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Disadvantaged Business Enterprise (DBE) Certification Case Files - Disapproved: Records in this series are disapproved records of

business firms seeking certification and annual recertification as Disadvantaged Business Enterprise (DBE) firms, as specified in federal 49 CFR Part 26. Records contain the same materials as approved DBE Certifications and appeals. RETENTION: Creation (submission) + 10 years and destroy.

<u>00373A00.</u>	<u>HIGHWAY PROJECT PLAN INDEX - BPD</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
<p>THIS RECORDS SERIES IS A SUMMARY AND INDEX FILE THAT THE BUREAU OF PROJECT DEVELOPMENT (BPD) MAINTAINS IN ELECTRONIC FORMAT. THE RECORD PROVIDES SUMMARY DATA FOR HIGHWAY TRANSPORTATION LET (CONSTRUCTION) PROJECT. FILES, CURRENTLY MS ACCESS, OFFER SUMMARY REFERENCE DATA AND INDEX KEYS TO IDENTIFY PROJECTS, LOCATE RELATED RECORDS AND INFORMATION, OR RESPOND TO QUERIES. SEPARATE DATA FILES INDEX:</p> <p>STATE LET PROJECT PLAN RECORD: HISTORICAL DATA FOR EVERY PLAN THAT DOT LET BACK TO 1920. EARLY DATA FROM OLD CONTRACTS SUMMARY CARD FILE MAINTAINED BY OFFICE OF HIGHWAY ENGINEERING. DATA ELEMENTS: PROJECT TITLE, TYPE OF WORK, SUBTITLE, COUNTY, ROUTE, STATE ID, FEDERAL ID. IN ADDITION TO STANDARD PROJECT ID NUMBERS, THIS FILE ALSO INCLUDES ODD AND UNUSUAL PROJECT IDENTIFIERS THAT ARE NOT INCLUDED IN OTHER DATABASES. THE FILE ALSO INCLUDES DATA REFERENCING EARLIER PROJECTS THAN THE CONTRACT MANAGEMENT TRNS*PORT SYSTEM CONTAINS. IT DOES NOT INCLUDE RIGHT-OF-WAY POINT DATA (ON OLD CARD FILE). LOCAL FORCE ACCOUNT (LFA) PROJECT PLAN RECORD: BPD ALSO HAS INDEX INFORMATION FOR SOME, BUT NOT ALL, LFA PROJECTS. FOR LFA PROJECTS, COUNTIES, VILLAGES, TOWNS, MUNICIPALITIES, CITIES ARE CURRENTLY CHARGED WITH THE WORK, INCLUDING BUILDING THE PROJECT. WISDOT MAINTAINS A FILE THAT INCLUDES HISTORICAL DATA FOR EVERY PLAN THAT DOT LET BACK TO 1920 (FROM OLD CONTRACTS SUMMARY CARD FILE). DATA ELEMENTS INCLUDE PROJECT TITLE, TYPE OF WORK, SUBTITLE, COUNTY, ROUTE, STATE ID, FEDERAL ID. THIS FILE MAY ALSO INCLUDE ODD PROJECT IDENTIFIERS THAT ARE NOT INCLUDED IN OTHER DATABASES.</p> <p>NOTE: COPY OF INDEXING INFORMATION WILL BE SENT TO WHS FOR ACCESS TO TRANSFERRED DOT HIGHWAY RECORDS, INCLUDING MICROFILM ASBUILTS (RDA 186).</p> <p>PERMANENT JUSTIFICATION: RECORD HAS ONGOING VALUE TO WISDOT AND MAY BE USED TO ASSURE THAT PROJECT NUMBERS ASSIGNED DO NOT DUPLICATE PREVIOUS IDENTIFIERS. IT ALSO PROVIDES READY REFERENCE TO THE BPD, ENGINEERING STAFF AND LEGAL COUNSEL. USED TO QUERY PROJECTS DATA BACK TO 1920, LOCATE RELATED FILES AND INITIATE WISDOT RESEARCH.</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADMO12.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM</p> <p>RETENTION: PERMANENT EVENT = PERMANENT</p>				
<u>00377000.</u>	<u>PROJECT IDEA GENERATION RECORDS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
<p>RECORDS COVERED BY THIS SERIES INCLUDE BUT ARE NOT LIMITED TO RECORDS GENERATED TO GET IDEAS ON FUTURE RESEARCH PROJECTS. THESE RECORDS MAY INCLUDE AMONG OTHERS SURVEYS, EMAIL MESSAGES REQUESTING PROJECTS, IDEAS LISTS, IDEA RANKING.</p> <p>RETENTION: EVENT (CREATION) + 3 YEARS AND DESTROY.</p>				
<u>00378000.</u>	<u>RESEARCH IDEA SELECTION PROCESS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
<p>RECORDS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO:</p> <ul style="list-style-type: none"> * IDEAL PROPOSAL SELECTION PROCESS * COMMITTEE MEETING AGENDAS, * MEETING MINUTES, NOTES AND BACKGROUND MATERIALS * COMMITTEE MEMBERSHIP ROSTERS * RECORDS DOCUMENTING THE ANALYSIS, REVIEW AND EVALUATION TO SELECT LIST OF IDEAS * IDEA RANKING * CORRESPONDENCE RELATED TO THE SELECTION AND APPROVAL OF AN IDEA THAT RESULTED IN A RESEARCH PROJECT. <p>RETENTION: EVENT (DATE STEERING COMMITTEE APPROVED THE SELECTED IDEA) +3 YEARS AND DESTROY.</p>				
<u>00379000.</u>	<u>PROJECT SOLICITATION AND PROJECT SELECTION RECORDS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
<p>RECORDS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO REQUESTS FOR PROPOSAL (RFP), PROJECT Q&A DOCUMENTATION, CORRESPONDENCE, PROPOSAL SELECTION PROCESS RECORDS, PROPOSALS, EVALUATION SCORE/RANKING SHEETS, COMMITTEE MEETING AGENDAS, MINUTES, NOTES, ANY BACKGROUND MATERIALS, AWARD AND REJECTION LETTERS, AND OTHER RELATED RECORDS.</p> <p>49CFR 18.42 REQUIRES AGENCIES TO RETAIN ALL DOCUMENTATION OF THE PROPOSAL, EVALUATION AND SELECTION OF THE CONSULTANT FOR THREE YEARS FROM COMPLETION OF THE PROJECT.</p> <p>NOTE: IT EXCLUDES THE SELECTED PROJECT PROPOSAL. THIS PROPOSAL IS INCLUDED WITH THE RECORDS COVERED IN RDA 00537-000-RESEARCH PROJECT FILES BELOW.</p> <p>RETENTION: EVENT (PROJECT CLOSURE) + 3 YEARS AND DESTROY. CLOSURE MEANS WHEN LAST INVOICE IS PAID OR EXPENDITURE REPORT IS SUBMITTED.</p>				

<u>00380000.</u>	<u>REAL ESTATE RIGHT-OF-WAY HIGHWAY PROJECT FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
<p>Records are created to document, manage and track the overall highway right-of-way project and may include, but are not limited to:</p> <ul style="list-style-type: none"> Conceptual Stage Relocation Plan Cost Allocation Encumbrance Nominal Payment Parcel Report Relocation Order Sales Study/ Project Data Books Project related correspondence <p>EVENT = date of project financial closure per final cost statement</p>				

<u>00380A00.</u>	<u>REAL ESTATE PARCEL APPRAISAL, NEGOTIATION, RELOCATION, AND ACC P</u>		<u>PERM</u>	<u>N</u>
<p>Records in this series document WisDOT property appraisal, negotiation, relocation, and individual parcel specific acquisition related items for highway right-of-way acquisitions. This does not include final proof of purchase documents, which are included in RDA 00120-000 - Real Estate Parcel Conveyance Files. Records in this series relate to individual parcels, not the entire project.</p> <p>Records in this series include, but are not limited to:</p> <ul style="list-style-type: none"> Administrative Revision Approvals, Purchase Agreements Appraisal documents: State and Owners' Appraisals, Appraisal Review Closing Statements, including summary of payments Commitments to property owners Nominal Waiver of Appraisal for parcels with valuations of \$10,000 or less Property Negotiations: Parcel negotiation diaries, Offering Price Approvals Related correspondence Relocation Case Files: Relocation Plan, Relocation Case Reports, Relocation Claims and Summary of Benefits, Relocation Determination of Benefits <p>Permanent retention justification: It is imperative that these records remain permanently to address ownership inquiries and compensation related issues that can arise at any time and through the years after a parcel has been acquired. These documents contain pertinent information that is not available at the County Register of Deeds.</p> <p>Note: RDA now includes commitments records. Supersedes RDA 00380-B- Commitments.</p> <p>EVENT = Permanent</p>				

<u>00380C00.</u>	<u>REVOCABLE OCCUPANCY PERMITS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
<p>Records in this series are permits between WisDOT and property owners adjacent to state trunk highway right-of-way (ROW) that authorize the use of Wis DOT land for an encroachment as specified/described in each permit. Wis DOT may issue revocable occupancy permits for existing encroachments on ROW.</p> <p>Records in this series include, but are not limited to:</p> <ul style="list-style-type: none"> • Project related correspondence • Revocable occupancy permit • Termination letter <p>The official records in this series may exist in paper or electronic format in the regional offices and the retention will apply to the applicable official records format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.</p> <p>EVENT = date encroachment has been removed by WISDOT or the owner or date permit has been terminated.</p>				

<u>00380D00.</u>	<u>REAL ESTATE PROJECT LITIGATION CASE FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
<p>Records in this series include appeals and litigation records related to the property acquisition process or compensation. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Litigation Diary • Litigation Report and Case Summary • Project related correspondence <p>The Wisconsin Department of Justice and Wisconsin court system will create case files whenever actions reach the level of court action, and these records will be retained per their retention policies. Wis DOT files may differ from the official court records.</p> <p>EVENT=Date of resolution of last appeal</p>				

00381000.	<u>CONSTRUCTION PROJECT ENGINEER'S & INSPECTOR DIARY</u>	<u>EVT+30</u>	<u>DEST</u>	<u>Y</u>
<p>CONSTRUCTION AND MATERIALS MANUAL (CMM) 1.65 CONTRACT RECORDS) REQUIRES THE PROJECT ENGINEER TO COMPLETE A DIARY FOR EACH CONSTRUCTION CONTRACT AWARDED, INCLUDING ALL PROJECTS. THE DIARY IS A KEY FINAL DOCUMENT THAT DESCRIBES THE PROJECT. DIARIES PROVIDE ENGINEERING DATA, WEATHER, PROJECT PROGRESS, DELAYS AND PERTINENT PROJECT OVERSIGHT AND MANAGEMENT INFORMATION. DIARY INFORMATION MAY ALSO INCLUDE STAFFING ARRIVAL AND DEPARTURE DATES; ALL SITE INFORMATION; DAYS CHARGED, CONTROLLING OPERATIONS, ADDITIONAL COMMENTS; ALL PERSONNEL WORKING THAT DAY, INCLUDING SUBCONTRACTORS, EQUIPMENT USED; INSPECTORS AND THEIR COMMENTS. THIS RECORDS SERIES INCLUDES: HANDWRITTEN DIARIES: UNTIL THE 1990'S DIARIES ONLY EXISTED AS HANDWRITTEN BOOKS THAT THE PROJECT ENGINEER/LEADER, INSPECTORS AND OTHER PERSONNEL GENERATED TO DESCRIBE CONSTRUCTION ACTIVITY. NOTE: THESE OLD HANDWRITTEN DIARIES ARE NOT ALSO CAPTURED IN ELECTRONIC FORMAT IN FIELDMANAGER. FIELD MANAGER OUTPUTS TO PAPER: WISDOT IMPLEMENTED THE FIELDMANAGER SYSTEM. THE REGION PROJECT ENGINEER MAY GENERATE DIARY DATA ONTO STANDARD SCREENS INCLUDING:</p> <ul style="list-style-type: none"> - PROJECT ENGINEER'S DIARY: - INSPECTOR'S DAILY REPORT (IDR): <p>AT THE CLOSE OF THE PROJECT, THESE ITEMS MAY BE PRINTED, ASSEMBLED AND SHIPPED TO REGION CENTRAL FILES IN THE FINALS BOX.</p> <p>NOTE: UNTIL ALL REGIONS STANDARDIZE DIARIES AND GENERATE ALL DIARY COMPONENTS IN ELECTRONIC FORMAT, PAPER OUTPUTS FROM FIELDMANAGER WILL ALSO BE MAINTAINED.</p> <p>LONG-TERM RETENTION: THE DAILY DIARY IS AN IMPORTANT RECORD THAT PROVIDES DETAILED DOCUMENTATION OF CONTRACT CHANGES, AMENDMENTS, SUBCONTRACTORS, PROJECT STATUS, DELAYS, INCIDENTS AND ACTIVITIES THAT OCCUR DURING ROADWAY CONSTRUCTION. REGIONS USE THE DIARY FOR REFERENCE PURPOSES THROUGHOUT THE PROJECT AND AFTER COMPLETION. IT MAY PROVIDE EVIDENCE IN THE EVENT OF CONTRACTUAL DISPUTES, CLAIMS, PRODUCT LIABILITY ISSUES, ETC.</p> <p>RETENTION: EVENT (PROJECT FINAL COST STATEMENT) + 30 YEARS AND DESTROY CONFIDENTIAL.</p>				
00381A00.	<u>CONSTRUCTION PROJECT DIARY & INSPECTOR'S DAILY REPORT</u>	<u>EVT+30</u>	<u>DEST</u>	<u>Y</u>
<p>FIELD MANAGER TM IS PROPRIETARY SOFTWARE USED TO CAPTURE PROJECT DIARY INFORMATION. INSPECTOR'S DAILY REPORT (IDR) DATA INCLUDES: TIME CHARGES, ACTIVITIES AND CONTRACTUAL ITEMS: EQUIPMENT, MAN-HOUR TIME CHARGES, DELAYS. NOTE: AFTER FIELDMANAGER WAS IMPLEMENTED, PROJECT LEADERS WERE DIRECTED TO ENTER INFORMATION FROM HANDWRITTEN DIARIES INTO FIELD MANAGER. THIS RECORDS SERIES COVERS THE ELECTRONIC VERSION OF ALL CONSTRUCTION DIARY DATA. REGIONS MAINTAIN ELECTRONICALLY IN PDF FORMAT WHEN THE PROJECT CLOSURES, INCLUDING:</p> <p>PROJECT ENGINEER'S DIARY: THE PROJECT ENGINEER USES THE FIELD MANAGER TM COMPONENT OF THE WISDOT TRNS PORT CONTRACT MANAGEMENT SYSTEM TO ENTER ADMINISTRATIVE STAFFING AND OTHER CONSTRUCTION CONTRACT DATA, INCLUDING EROSION CONTROL IMPLEMENTATION CHANGES, DESCRIBING EROSION CONTROL MEASURES THAT WERE ACTUALLY DONE.</p> <p>INSPECTOR'S DAILY REPORT (IDR): EACH PROJECT MAY RESULT IN DOZENS OF IDRS. IDRS ARE GENERATED ELECTRONICALLY IN FIELDMANAGER AND IMPORTED TO BECOME PART OF THE ENGINEER'S PROJECT DIARY. IDR DATA SCREENS CAPTURE DAILY CONSTRUCTION ACTIVITY, ENGINEERING DATA, WEATHER, PROJECT PROGRESS, DELAYS AND PERTINENT PROJECT OVERSIGHT AND MANAGEMENT INFORMATION. DATA ALSO INCLUDES STAFFING ARRIVAL AND DEPARTURE DATES; ALL SITE INFORMATION; DAYS CHARGED, CONTROLLING OPERATIONS, ADDITIONAL COMMENTS; ALL PERSONNEL WORKING THAT DAY, INCLUDING SUBCONTRACTORS, EQUIPMENT USED; INSPECTORS AND THEIR COMMENTS.</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM.</p> <p>LONG-TERM RETENTION: THE DAILY DIARY IS AN IMPORTANT RECORD THAT PROVIDES DETAILED DOCUMENTATION OF CONTRACT CHANGES, AMENDMENTS, SUBCONTRACTORS, PROJECT STATUS, DELAYS, INCIDENTS AND ACTIVITIES THAT OCCUR DURING ROADWAY CONSTRUCTION. REGIONS USE THE DIARY FOR REFERENCE PURPOSES THROUGHOUT THE PROJECT AND AFTER COMPLETION. IT MAY PROVIDE EVIDENCE IN THE EVENT OF CONTRACTUAL DISPUTES, CLAIMS, PRODUCT LIABILITY ISSUES, ETC.</p> <p>RETENTION: EVENT (PROJECT FINAL COST STATEMENT) + 30 YEARS AND DESTROY CONFIDENTIAL</p>				
00382000.	<u>RESEARCH PROJECT FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
<p>RECORDS IN THIS SERIES INCLUDES BUT ARE NOT LIMITED TO SELECTED PROJECT PROPOSAL, LETTER OF AWARD, ORIGINAL SIGNED CONTRACT, WORK PLAN, AMENDMENTS, PROJECT NO COST EXTENSION REQUESTS, MASTER CONTRACT, WORK ORDERS ISSUED UNDER MASTER CONTRACT, COPIES OF INVOICES, QUARTERLY PROGRAM REPORTS, CORRESPONDENCE AND OTHER PROJECT RELATED DOCUMENTATION.</p> <p>RETENTION: EVENT (PROJECT CLOSURE) + 5 YEARS AND DESTROY CONFIDENTIAL. CLOSURE MEANS WHEN LAST INVOICE IS PAID OR EXPENDITURE REPORT IS SUBMITTED.</p>				
00383000.	<u>RESEARCH PROJECT FINAL REPORTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
<p>RECORDS IN THIS SERIES INCLUDES BUT ARE NOT LIMITED TO FINAL RESEARCH REPORTS/STUDIES AND OTHER RELATED RECORDS PRODUCED AND COMPILED BY RESEARCHERS OR CONSULTANTS UNDER CONTRACT OR BY ADVISORY COMMITTEES OR DOT RESEARCH PROGRAM STAFF. THESE REPORTS ARE DISTRIBUTED EITHER INTERNALLY OR TO OTHER ENTITIES AS REQUIRED AND ALSO POSTED IN THE DOT RESEARCH WEBSITE.</p>				

NOTE: WISCONSIN DOCUMENT DEPOSITORY PROGRAM: SS 35.83 WIS. STATS., AS AMENDED BY 1991 WISCONSIN ACT 285, REQUIRE WISCONSIN STATE AGENCIES TO SEND COPIES OF THEIR PUBLICATIONS, REGARDLESS OF FORMAT, TO THE WISCONSIN REFERENCE AND LOAN LIBRARY FOR DISTRIBUTION TO LIBRARIES THROUGH THE WISCONSIN DOCUMENT DEPOSITORY PROGRAM.

AN ELECTRONIC COPY OF THE RESEARCH PROJECTS FINAL REPORTS IS SENT TO THE WISCONSIN DOCUMENT DEPOSITORY AS PART OF THE INITIAL DISTRIBUTION OF THESE REPORTS.

RETENTION: EVENT (DATE OF REPORT PUBLICATION) + 5 YEARS AND DESTROY.

<u>00384000.</u>	<u>POOL FUNDS LEAD STATE PROJECTS RELATED RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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WISDOT PARTICIPATES IN PROJECTS THAT ALLOW STATES TO POOL RESEARCH FUNDING THROUGH WITH OTHER FEDERAL, STATE, LOCAL AND PRIVATE AGENCIES TO UNDERTAKE LARGER RESEARCH PROJECTS WITH A FOCUS ON SPECIFIC TOPICS OF GEOGRAPHIC LOCATIONS.

RECORDS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO PROJECT FUNDING PLEDGE, PROJECT PROPOSAL REQUESTING TO USE 100% OF SPR FUNDS, FHWA APPROVAL, QUARTERLY PROGRESS REPORTS, BRIEFS, FUNDS TRANSFERS' DOCUMENTATION, TRANSFERS AND PROJECT RELATED CORRESPONDENCE.

RETENTION: EVENT (PROJECT CLOSURE) + 5 YEARS AND DESTROY. CLOSURE MEANS WHEN LAST INVOICE IS PAID OR EXPENDITURE REPORT IS SUBMITTED.

<u>00386000.</u>	<u>ENVIRONMENTAL ASSESSMENT (EA) HWY CORRIDOR CASE FILES - FONSI</u>	<u>EVT+25</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT AND/OR CONSULTANTS DEVELOP AN ENVIRONMENTAL ASSESSMENT (FHWA-37 DESIGNATION 3 -EA) TO DETERMINE WHETHER OR NOT A HIGHWAY PROJECT NEEDS AN ENVIRONMENTAL IMPACT STATEMENT (EIS) TO FULLY DOCUMENT ITS EFFECT UPON THE QUALITY OF THE ENVIRONMENT. THE EA ALSO IDENTIFIES WHETHER OR NOT AN ACTION MIGHT HAVE A SIGNIFICANT EFFECT. IF IT DOES, THE EA RECORDS BECOME PART OF THE EIS RECORD. IF NOT, THE ENVIRONMENTAL PROCESS ENDS WITH A FINDING OF NO SIGNIFICANT IMPACT (FHWA 37 DESIGNATION 4 - FONSI).

RECORDS IN THIS SERIES ARE EA DOCUMENTS GENERATED WHEN THE WISDOT IS THE PROJECT ADMINISTRATOR AND WHEN THE WISDOT DETERMINES THAT AN EIS IS NOT NEEDED. RECORDS INCLUDE:
 -ENVIRONMENTAL ASSESSMENT (EA) REPORT WITH ENVIRONMENTAL ANALYSIS SCREENING INFORMATION, PLAN VIEW, MAPS AND CORRESPONDENCE DETAILING ENVIRONMENTAL EFFECTS OF THE PROPOSED PROJECT
 -ECOLOGICAL, AESTHETIC, HISTORIC, CULTURAL, ECONOMIC AND SOCIAL/HEALTH ENVIRONMENTAL EVALUATIONS
 -FINDING OF NO SIGNIFICANT IMPACT (FONSI)

RETENTION: EVENT (HIGHWAY PROJECT FINAL COST STATEMENT) +25 YEARS AND DESTROY CONFIDENTIAL.

<u>00387000.</u>	<u>POOL FUNDS PROJECTS RELATED RECORDS - CONTRIBUTING STATE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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WISDOT PARTICIPATES IN PROJECTS THAT ALLOW STATES TO POOL RESEARCH FUNDING THROUGH WITH OTHER FEDERAL, STATE, LOCAL AND PRIVATE AGENCIES TO UNDERTAKE LARGER RESEARCH PROJECTS WITH A FOCUS ON SPECIFIC TOPICS OR GEOGRAPHIC LOCATIONS.

RECORDS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO: FUNDING COMMITMENT OR PLEDGE, FUNDS TRANSFER DOCUMENTATION INCLUDING ANY REQUIRED FORMS, LEAD AGENCY ACCEPTANCE MEMO, FUNDS TRANSFERS' DOCUMENTATION, PROJECT RELATED CORRESPONDENCE, AND OTHER RELATED RECORDS.

RETENTION: EVENT (CLOSURE OF TRANSPORTATION POOL FUNDS) + 5 YEARS AND DESTROY.

<u>00388000.</u>	<u>TECHNOLOGY TRANSFER ACTIVITIES RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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THE RESEARCH PROGRAM CONDUCTS A VARIETY OF TECHNOLOGY TRANSFER ACTIVITIES TO DISSEMINATE THE RESULTS OF RESEARCH AND TO COMMUNICATE EXISTING RESEARCH AND BEST PRACTICES FROM OTHER AGENCIES AND INSTITUTIONS. TECHNOLOGY TRANSFER ACTIVITIES AND PRODUCTS MAY INCLUDE, BUT ARE NOT LIMITED TO, THE FOLLOWING:

- * RESEARCH PROGRAM ANNUAL REPORT
- * RESEARCH PROGRAM NEWSLETTERS OR BROCHURES
- * POWERPOINT SLIDE SHOWS
- * SURVEYS OF BEST PRACTICES IN STATES AND OTHER AGENCIES AND SURVEY RESULTS
- * SYNTHESIS REPORTS OF PRACTICES IN STATES AND OTHER AGENCIES
- * LITERATURE SEARCHES AND COMPILATIONS OF CATALOGED LIBRARY MATERIALS
- * ADMINISTRATION, CONDUCT AND REPORTING OF TOPICAL PEER EXCHANGES.

RETENTION: EVENT (DATE OF PUBLICATION) + 5 YEARS AND DESTROY.

<u>00389000.</u>	<u>RESEARCH PROGRAM ADMINISTRATIVE PROCEDURES & PROGRAM MANA</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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RECORDS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO THE RESEARCH PROGRAM ADMINISTRATIVE

PROCEDURES, PERFORMANCE MEASURES, PROGRAM EVALUATIONS AND AUDITS AND OTHER RELATED RECORDS.

RETENTION: EVENT(SUPERSEDED) + 5 YEARS AND DESTROY.

00394000. STATE PLANNING & RESEARCH (SPR) ANNUAL WORK PROGRAM FINAL PU **EVT+5** **DEST** **N**

THE STATE PLANNING AND RESEARCH PROGRAM (SPR) AUTHORIZES FEDERAL FUNDS FOR MULTIMODAL TRANSPORTATION PLANNING AND RESEARCH NEEDS, PER SS 23CFR 420, PART 420 PLANNING AND RESEARCH PROGRAM ADMINISTRATION, AND SS 23CFR450-- PART 450 PLANNING ASSISTANCE AND STANDARDS.

WISDOT RESEARCH SECTION DEVELOPS AND PUBLISHES PART II OF THE WISCONSIN DEPARTMENT OF TRANSPORTATION FEDERAL HIGHWAY ADMINISTRATION JOINT PARTICIPATING STATE PLANNING & RESEARCH WORK PROGRAM FOR THE FEDERAL FISCAL YEAR (OCT. 1 - SEPT. 30) WHICH IS CURRENTLY PUBLISHED BY DOT'S DTIM'S PLANNING SECTION. THIS SECTION DESCRIBES RESEARCH DEVELOPMENT AND TECHNOLOGY TRANSFER (RD&T) PROJECTS, SELECTED THROUGH THE DEPARTMENT'S RD&T MANAGEMENT PROCESS. RECORDS IN THIS SERIES COVER THE FINAL PUBLICATION FOR THIS PUBLICATION AND ANY SUPPORTING DOCUMENTATION RECORDS.

RETENTION: EVENT (DATE OF APPROVAL BY FHWA) + 5 YEARS & DESTROY.

00405000. SOIL SURVEY REPORTS - STRUCTURES / FOUNDATION TECHNICAL **P** **PERM** **N**

THE WISDOT CENTRAL FOUNDATION & PAVEMENTS ENGINEERING UNIT GENERALLY CONDUCTS SOIL SURVEYS THAT INVOLVE STRUCTURES (BRIDGES, RETAINING WALLS, CULVERTS) AND / OR POTENTIAL FOUNDATION TECHNICAL CONCERNS, I.E., EMBANKMENTS, MARSHES.

NOTE: CONSULTANT ENGINEERS MAY ALSO GENERATE THESE TYPES OF SOILS SURVEY REPORTS.

THE FOUNDATION AND PAVEMENTS ENGINEERING UNIT MAINTAINS THE OFFICIAL COPY OF SOIL SURVEY REPORTS RELATED TO STRUCTURES AND FOUNDATION TECHNICAL CONCERNS.

RECORDS INCLUDE:

- * SOILS SURVEY REPORTS PREPARED BY WISDOT OR CONSULTANT SOILS ENGINEERS
- * SOIL CONSERVATION SERVICE (SCS) MATERIALS
- * REPORTS INCLUDE CADD DRAWINGS OF BORING LOGS DRAWN
- * SUPPORTING DOCUMENTS, I.E., AGGREGATE SOURCE MAPS, SOILS ASSOCIATION MAPS, TESTING DATA.

SOIL INFORMATION HAS CONTINUING ENGINEERING VALUE FOR THE PERIOD THAT THE WISDOT MAINTAINS AN INTEREST IN AND / OR RESPONSIBILITY FOR THE GEOGRAPHICAL LOCATION. SOILS DO NOT CHANGE WITH TIME, AND INFORMATION HAS ONGOING USE FOR DESIGN AND CONSTRUCTION WORK IN THE PARTICULAR CORRIDOR.

RETENTION: PERMANENT

00405A00. REGION SOIL SURVEY REPORTS - HIGHWAY DESIGN AND CONSTRUCTION **P** **PERM** **N**

THIS RECORDS SERIES INCLUDES THE FOLLOWING TYPES OF SOIL SURVEYS UNDERTAKEN FOR HIGHWAY PROJECTS:

* ROADWAY SOIL SURVEYS RELATED TO HIGHWAY DESIGN AND CONSTRUCTION PROJECTS: REGION SOIL ENGINEERS ARE GENERALLY CHARGED TO DEVELOP ROADWAY SURVEYS FOR THE PARTICULAR REGION.

* SOIL SURVEYS FOR STATE PROJECTS AND LOCAL PROJECTS - GENERATED BY ENGINEERING CONSULTANTS.

SOIL SURVEY REPORTS FOR PROJECTS INCLUDE: SOIL CONSERVATION SERVICE (SCS) MATERIALS; AGGREGATE SOURCE MAPS, SOIL ASSOCIATION MAPS, PLANS; LAB TEST DATA, COMPUTATIONS, AND TEST RESULTS.

COPIES OF REGION SOIL SURVEY REPORTS MAY BE PROVIDED TO: FOUNDATION & PAVEMENT, TSS; PAVEMENT DESIGNERS; DESIGN AND CONSTRUCTION PROJECT MANAGERS.

SOIL INFORMATION HAS CONTINUING ENGINEERING VALUE FOR THE PERIOD THAT THE WISDOT MAINTAINS AN INTEREST IN AND / OR RESPONSIBILITY FOR THE GEOGRAPHICAL LOCATION. SOILS DO NOT CHANGE WITH TIME, AND INFORMATION HAS ONGOING USE FOR DESIGN AND CONSTRUCTION WORK IN THE PARTICULAR CORRIDOR.

RETENTION: PERMANENT

00406000. BORING LOGS NOT DRAWN **EVT+50** **DEST** **N**

RECORDS IN THIS SERIES ARE TYPICALLY GENERATED DURING THE EARLY STAGES OF HIGHWAY DEVELOPMENT PROJECTS, OFTEN SEVERAL YEARS BEFORE ACTUAL HIGHWAY CONSTRUCTION OCCURS. BORING LOGS RECORD VISUAL PROPERTIES AND TEST RESULTS FOR VARIOUS SOIL TYPES AT PARTICULAR GEOGRAPHICAL LOCATIONS AND AT AT VARIOUS DEPTHS. SOIL SPECIALISTS INTERPRET DESCRIPTIONS, ANALYZE PROPERTIES, DETERMINE ENGINEERING VALUES FOR SOIL MECHANICS, SUBMIT REPORTS TO THE APPROPRIATE REGION CONSTRUCTION OFFICE. "NOT DRAWN" MEANS THAT THE LOGS ARE NOT CADD DRAWINGS AND ARE NOT INCLUDED IN SITE INVESTIGATION REPORTS. "DRAWN BORING LOGS" ARE INCLUDED IN SITE INVESTIGATION REPORTS AND OTHER TYPES OF GEOTECHNICAL REPORTS.

RETENTION: EVENT (REPORT SUBMITTAL DATE) + 50 YEARS AND DESTROY

00407000.	<u>SOIL SITE INVESTIGATIONS AND REPORTS - STRUCTURES (BRIDGES, BOX</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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THE WISDOT AND / OR CONSULTANTS CONDUCT SUBSURFACE SITE INVESTIGATIONS AND ANALYSES FOR RETAINING WALL APPLICATIONS AND FOR ALL NEW AND REPLACEMENT BOX CULVERTS AND BRIDGES ON THE STATE TRUNK HIGHWAY (STH), INTERSTATE AND US HIGHWAY (USH) SYSTEMS. SITE INVESTIGATIONS PROVIDE ACCURATE SUBSURFACE DATA AND SPECIFY PROPER FOUNDATION SUPPORT SYSTEMS AND DESIGN RECOMMENDATIONS. WRITTEN SITE INVESTIGATION REPORTS DISCUSS SUBSERVICE SITE CONDITIONS AND PROVIDE SOIL STRENGTH DESIGN PARAMETERS NEEDED TO DESIGN THE STRUCTURE. RECORDS IN THIS SERIES ARE THE WRITTEN SITE INVESTIGATION REPORT AND BACKGROUND INFORMATION GATHERED TO REQUIRED TO PRODUCE IT:

- * COUNTY MAP SHOWING SITE LOCATION
- * DRILLING REQUEST, PRELIMINARY PLAN, SITE RECONNAISSANCE REPORTS, ROUGH DESIGN SKETCHES
- * COPY OF THE STRUCTURE SURVEY REPORT
- * PRELIMINARY BRIDGE / CULVERT LENGTH, SIZE AND PIER LOCATION(S); VERTICAL AND HORIZONTAL GRADE LINES; BENCHMARK LOCATION AND ELEVATION; AND PLAN / PROFILE VIEWS OF THE PROPOSED STRUCTURE.
- * AS BUILT PLANS COPY, PILE DRIVING RECORDS.
- * PROJECT SCHEDULING INFORMATION, ASSIGNED STRUCTURE NUMBER, AND ANY OTHER SPECIAL CIRCUMSTANCES, GEOMETRY, ETC. THAT WOULD AFFECT THE STRUCTURAL DESIGN

THE REPORT MAY ALSO INCLUDE:

- * FIELD AND PROFILE BORING LOGS TAKEN TO DETERMINE GENERAL SOIL SITE PROFILE AND PROVIDE SOIL STRENGTH PARAMETERS
- * SOIL CORROSION ANALYSIS
- * LAB TEST REPORTS, DETAIL LAB COMPUTATIONS AND ANALYSIS, SITE SOIL SUMMARY NARRATIVES
- * GEOTECHNICAL DESIGN SKETCHES, PREVIOUS SITE INVESTIGATIONS, SITE PHOTOS (USUALLY COLOR), PLAN / PROFILE SHEETS AND CROSS-SECTIONS
- * ENGINEERING DESIGN / COMPUTATIONS - ROADWAY CORRIDOR STRUCTURE INVESTIGATION AND DESIGN, ANTICIPATED LOADS
- * BUREAU OF STRUCTURES, BUREAU OF PROJECT DEVELOPMENT - PART OF THE STRUCTURE FILE
- * REGIONS MAY HAVE COPIES IN DESIGN / CONSTRUCTION FILES

RETENTION: PERMANENT

00409000.	<u>SOIL SITE INVESTIGATION REPORT NON-STRUCTURE (COMPLEX)</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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WIS DOT FOUNDATION & PAVEMENTS ENGINEERING UNIT OR CONSULTANTS CONDUCT SITE INVESTIGATIONS THAT INVOLVE POTENTIAL FOUNDATION TECHNICAL CONCERNS, I.E., EMBANKMENTS, MARSHES. THE FOUNDATION & PAVEMENTS ENGINEERING UNIT MAINTAINS THE OFFICIAL COPY OF REPORTS TO DOCUMENT THE SOIL SITE GEOTECHNICAL ENGINEERING INVESTIGATION AND DETERMINE APPROPRIATE SOIL DESIGN PARAMETERS, ESTIMATED SOIL CONSOLIDATION RATE, SOIL COMPOSITION AND STRENGTH. INVESTIGATION REPORTS MAY ADDRESS THE FOLLOWING ENGINEERING ISSUES FOR THE SPECIFIC GEOTECHNICAL AREA:

- * SLOPE STABILITY INVESTIGATIONS
- * CONSOLIDATION & SETTLEMENT INVESTIGATIONS
- * GEOSYNTHETIC ANALYSES AND DESIGN: CONDUCTED TO INCORPORATE MAN-MADE MATERIALS INTO EARTH EMBANKMENTS
- * SOIL SETTLEMENT GAUGE AND PLATE ANALYSES
- * VANE SHEAR TEST
- * GEOTECHNICAL ENGINEERING
- * MONITORING WELL ANALYSIS

RECORDS FILED BY COUNTY / HIGHWAY / REGION / AND SOIL PROJECT NUMBER AND INCLUDE:

- * SITE INVESTIGATION REPORTS: SITE SOIL SUMMARY NARRATIVE, MAY ALSO INCLUDE SITE MAPS, FIELD AND PROFILE BORING LOGS, LAB TEST REPORTS, GEOTECHNICAL DESIGN SKETCHES, SOIL CORROSION ANALYSIS
- * SUPPORTING DOCUMENTATION: DRILLING REQUEST, SOIL SAMPLING RESULTS, LABORATORY TESTING AND ANALYSIS, DATA COMPUTATIONS, SITE RECONNAISSANCE REPORTS, ROUGH DESIGN SKETCHES, DETAILED LAB COMPUTATIONS, SITE PHOTOS, PROGRAM PRINTOUTS AND OUTPUTS.

NOTE: ENGINEERING CONSULTANTS MAY ALSO PERFORM THESE TYPES OF SOIL SITE INVESTIGATIONS, GENERALLY FOR SPECIFIC HIGHWAY PROJECT PURPOSES.

RETENTION: PERMANENT

00409A00.	<u>SOIL SITE INVESTIGATION REPORT NON-STRUCTURE (ROUTINE)</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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REGIONAL SOILS ENGINEERS OR CONSULTANTS CREATE SOIL SITE INVESTIGATION REPORTS FOR NON-STRUCTURES WHEN THE INVESTIGATION DOES NOT INVOLVE EMBANKMENTS, MARSHES, OR OTHER POTENTIAL FOUNDATION TECHNICAL CONCERNS. REPORTS RELATE TO REGIONAL DESIGN AND CONSTRUCTION PROJECTS AND INCLUDE THE FOLLOWING:

* SITE INVESTIGATION REPORTS - FOR NON-STRUCTURES GENERATED BY THE CENTRAL OFFICE FOUNDATION & PAVEMENTS, TECHNICAL SERVICES
 * REPORTS DEVELOPED BY ENGINEERING CONSULTANTS FOR STATE AND LOCAL PROJECTS. THESE ARE GENERALLY SUBMITTED TO REGIONAL DESIGN MANAGERS TO THE BUREAU OF STRUCTURES.

THIS RECORD SERIES DOCUMENTS THE TECHNICAL SOIL SITE GEOTECHNICAL ENGINEERING INVESTIGATION FOR ROADWAY CORRIDOR DESIGN AND CONSTRUCTION. INVESTIGATIONS DETERMINE APPROPRIATE SOIL DESIGN PARAMETERS, ESTIMATED RATE OF SOIL CONSOLIDATION, SOIL COMPOSITION AND STRENGTH. INVESTIGATION REPORTS ALSO ADDRESS THE FOLLOWING TYPES OF ISSUES:
 RECORD INCLUDES:

* SITE INVESTIGATION REPORTS: SITE SOIL SUMMARY NARRATIVE, MAY ALSO INCLUDE SITE MAPS, FIELD AND PROFILE BORING LOGS, LAB TEST REPORTS, GEOTECHNICAL DESIGN SKETCHES, SOIL CORROSION ANALYSIS.
 * SUPPORTING DOCUMENTATION: DRILLING REQUEST: SOIL SAMPLING RESULTS, LABORATORY TESTING AND ANALYSIS, DATA COMPUTATIONS, SITE RECONNAISSANCE REPORTS, ROUGH DESIGN SKETCHES, DETAILED LAB COMPUTATIONS, SITE PHOTOS, PROGRAM PRINTOUTS.

SOIL INFORMATION HAS CONTINUOUS ENGINEERING VALUE FOR AS LONG AS THE WIS DOT MAINTAINS AN INTEREST IN OR RESPONSIBILITY FOR THE GEOGRAPHICAL LOCATION.

RETENTION: PERMANENT

<u>00409B00.</u>	<u>SOIL SITE INVESTIGATION REPORT WORK PAPERS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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IN THE PROCESS OF DEVELOPING THE SOIL SITE INVESTIGATION REPORT, WIS DOT MAY CREATE THE FOLLOWING WORKING PAPER FILES IN PAPER OR ELECTRONIC FORMATS:

- * ELECTRONIC WORD PROCESSING DRAFT REPORTS
- * PRELIMINARY AND INTERMEDIATE COMPUTER OUTPUTS
- * DRAFT ANALYSES AND COMPUTATIONS
- * CADD WORK DRAWINGS
- * NON-ESSENTIAL STATUS CORRESPONDENCE, ETC.

RECORDS ARE GENERATED USING IN-HOUSE DEVELOPED AND COMMERCIAL SOFTWARE PACKAGES

RETENTION: EVENT (REPORT COMPLETED OR NOT NEEDED) AND DESTROY

<u>00410000.</u>	<u>REGION CONSTRUCTION CONTRACT & PROJECT FILE</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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THIS RDA COVERS DTSD REGION CONSTRUCTION CONTRACT & PROJECT FILES. IN MANY CASES ONLY REGIONS GENERATE AND MAINTAIN THE LEVEL OF DETAILED SUPPORTING DOCUMENTS, CONSTRUCTION CONTRACT CORRESPONDENCE AND RELATED CONTRACTUAL RECORDS. THESE ARE NOT ALSO FILED WITH THE MADISON CENTRAL FILES CONTRACT OR PROJECT RECORD. HIGHWAY CONSTRUCTION PROJECT CONTRACTS APPLY TO PROJECTS UNDER S. 84.06 (3) AND (4), WIS. STATS., FUNDED WITH FEDERAL HIGHWAY FUNDS, PER 23 CFR PART 172.5 AND CH. 84.01(3), WIS. STATS. THIS SERIES COVERS RECORDS THAT THE REGION CONSTRUCTION SERVICES COORDINATOR, CONTRACT SPECIALIST, PROJECT ENGINEER/LEADER AND FIELD PERSONNEL GENERATE, INCLUDING: CONTRACT: COPY OF LET CONTRACT (TRANSCRIPT) INCLUDING SPECIAL PROVISIONS AND ASP. INCLUDES CONTRACT SUBLETTING. REGIONS APPROVE REQUESTS TO SUBCONTRACT A PORTION OF THE WORK TO ANOTHER CONTRACTOR AND MONITOR ALL PROJECT WORK WITH FIRST TIER SUBCONTRACTORS SPECIFIED IN THE CONTRACT WITH THE PRIME.

CONTRACT MODIFICATIONS: CHANGE ORDERS, MODIFICATIONS, AMENDMENTS, AND EXTENSION OF CONTRACT INFORMATION, WITH SUPPORTING DOCUMENTATION. CONTRACT CLAIM RECORDS - FOR CLAIMS SETTLED AT THE REGIONAL LEVEL

INVOICES & PAYMENT DETAIL: CONTRACTOR PAYMENTS ARE BASED ON ESTIMATES SPECIFIED IN THE LET CONTRACT. THE PROJECT LEADER MAINTAINS CONTRACTOR INVOICES, AND SUBMITS DATA TO PAY USING THE FIELDMANAGER ELECTRONIC SYSTEM.

NOTE: LOCAL PROGRAM PROJECTS: FOR LOCAL PROGRAM PROJECTS, THE PROJECT MANAGER/MANAGEMENT CONSULTANT MAINTAINS PAYMENT RECORDS AND SUPPORTING DOCUMENTATION, INCLUDING ESTIMATE REVIEW AND APPROVAL DOCUMENTS INCLUDING FIELDNET AND CAS REPORT TO SUPPORT ALL PAYMENT RECORDS, I.E., RETAINAGE, LIQUIDATED DAMAGES, MATERIALS ISSUES

ECIP, EROSION CONTROL IMPLEMENTATION PLAN: THE CONTRACTOR IS CONTRACTUALLY REQUIRED TO DEVELOP THE ECIP BEFORE START OF CONSTRUCTION. THE PROJECT LEADER IDENTIFIES CHANGES TO THE ECIP IN DIARY DATA.

PROJECT CORRESPONDENCE: EXAMPLES: START NOTICE LETTER; PRECONSTRUCTION MEETING MINUTES; PROPOSES AND APPROVED WORK SCHEDULE; PROGRESS REPORTS; SUSPEND JOB NOTICE, PROPERTY OWNER CORRESPONDENCE, PROJECT CONTACTS; FEDERAL OVERSIGHT, OTHER STATE AGENCIES, ETC.

CONSTRUCTION PROJECT FIELD & FINALS RECORDS: THE PROJECT ENGINEER/LEADER AND REPRESENTATIVES ARE REQUIRED TO MAINTAIN ACCURATE AND COMPLETE RECORDS OF THE WORK DURING THE ADMINISTRATION OF A CONSTRUCTION CONTRACT. FIELD RECORDS INCLUDE COMPLETE, DETAILED DOCUMENTATION THAT THE PROJECT MEETS TERMS AND CONDITIONS OF THE CONTRACT AND IS CONSTRUCTED TO DEFINED SPECIFICATIONS. THE CONSTRUCTION & MATERIALS MANUAL (CMM) AND REGION-SPECIFIC DIRECTIVES SPECIFY REQUIRED FINALS RECORDS, INCLUDING: (CONTINUED)

* STRUCTURES PROJECT RECORDS: THE PROJECT LEADER/MANAGER COPIES OF RECORDS RELATED TO MANAGING STRUCTURAL COMPONENTS OF THE PROJECT, AND STRUCTURES BUREAU MAINTAINS OFFICIAL, THOROUGH RECORDS TO DOCUMENT CONSTRUCTION OF ALL WIS. BRIDGES AND OTHER STRUCTURES IN PAPER AND/OR SCANNED INTO THE

HIGHWAY STRUCTURE INFORMATION SYSTEM (HSIS). MATERIALS MANAGEMENT SECTION MAINTAINS OFFICIAL RECORDS FOR SHOPS THAT FABRICATE MATERIALS USED FOR ROAD STRUCTURES.
 * MATERIALS PROJECT RECORDS: CONTRACTORS SUBMIT REQUIRED CERTIFIED REPORTS OF TESTS OR ANALYSES TO REQUEST MATERIALS APPROVAL. NOTE: SINCE 1992, WISDOT HAS SPECIFIED RESPONSIBILITIES TO MAINTAIN PROJECT-SPECIFIC MATERIALS DATA AND RECORDS IN THE WISDOT MATERIALS LAB AT TRUAX, MADISON AND/OR IN REGION SATELLITE LABS. LABS MAINTAIN OFFICIAL COPIES OF THE FOLLOWING:
 RDA 347 MATERIALS TRACKING SYSTEM - MTS MASTER DATA.
 RDA 348 APPROVED PRODUCTS LISTS
 RDA 349 FIELD VERIFICATION (QC AND QV) TEST SUPPORT MATERIALS
 RDA 352 MATERIALS REPORTING SYSTEM (MRS) CONTRACTOR QC DATA MATERIALS RECORDS ARE MAINTAINED IN A SEPARATE FILE THROUGHOUT THE CONSTRUCTION PROJECT. THE REGION MATERIALS SPECIALIST MAY REVIEW THESE ITEMS DURING FINALS CLOSEOUT AND RETURN THEM TO REGION CENTRAL FILES.
 * SOURCE DOCUMENTS: DELIVERY TICKETS, RECEIPTS, SURVEY, MEASUREMENTS, COMPUTATIONS, HAUL ROAD LOGS, ETC.
 - PICTURES AND VIDEOS: BEFORE AND AFTER PROJECT PHOTOS AND IMAGES.
 - ALL OTHER FIELD PROJECT RECORDS: RELEASES, CLOSE OUT RECORDS: CONSTRUCTION PERMITS; TEMPORARY LIMITED EASEMENTS (TLE); ETC.
 RETENTION: EVENT (FINAL PROJECT COST STATEMENT AND WARRANTY TERMINATION) + 6 YEARS AND DESTROY CONFIDENTIAL

<u>00412000.</u>	<u>ROADSIDE MANAGEMENT & LANDSCAPE MAINTENANCE REVIEW AND COR</u>	<u>EVT+2</u>	<u>SHSW</u>	<u>N</u>
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COUNTY HIGHWAY CREWS PERFORM HIGHWAY MAINTENANCE AS DIRECTED BY WISDOT EMPLOYEES IN THE AREA IMMEDIATELY ADJACENT TO THE SHOULDER OF THE ROAD, INCLUDING: MOWING, NOXIOUS WEED CONTROL, WOODY VEGETATION CONTROL, PRAIRIE MANAGMENT, TREE AND SHRUBBERY PLANTING, SPRAYING, CUTTING, VEGETATIVE INVENTORIES AND OTHER ROADSIDE MAINTENANCE ACTIVITIES. THE WISDOT HIGHWAY MAINTENANCE & ROADSIDE MANAGEMENT SECTION SPECIFIES ROADSIDE LANDSCAPE MANAGEMENT POLICY IN THE FACILITY DEVELOPMENT MANUAL FDM CHAPTER 27, IN THE TRANSPORTATION LANDSCAPE HANDBOOK, AND COMPASS RATING MANUAL THE WISDOT HIGHWAY MAINTENANCE MANUAL 70 SERIES CHAPTERS SPECIFIES VEGETATIVE POLICY. THIS UNIT ALSO REVIEWS PLANTING PLANS RELATED TO HIGHWAY PROJECTS AND PROVIDES ADDITIONAL GUIDANCE, TRAINING AND TECHNICAL ASSISTANCE TO REGIONAL PERSONNEL AND CONSULTANTS AS NEEDED, I.E., IF/WHEN HIGHWAY PROJECTS INCLUDE WOODY LANDSCAPE MATERIAL. LANDSCAPE PERSONNEL MAY REVIEW EARLY PLANS. APPROVED PLANS ARE INCLUDED WITH THE PS&E MATERIALS IN THE BID DOCUMENTS FOR HIGHWAY CONSTRUCTION LET PROJECTS. THIS RECORDS SERIES COVERS BACKGROUND MATERIALS AND WORK PAPERS USED TO DEVELOP, REVIEW AND FINALIZE ROADSIDE VEGETATION MANAGEMENT PLANS AND INCLUDES:

- REVIEWERE COMMENTS AND OTHER CORRESPONDENCE RELATED TO ROADSIDE AESTHETICS AND LANDSCAPING.
- VISUAL IMPACT ASSESSMENTS (VIA): REGIONS MAY REQUEST LANDSCAPE PERSONNEL DEVELOPMENT OF THESE ASSESSMENTS.
- ROADSIDE MANAGEMENT AND MAINTENANCE MATERIALS RELATED TO SPECIFIC HIGHWAY DESIGN, CONSTRUCTION OR MAINTENANCE PROJECTS.

THE OFFICIAL COPY IS RETAINED IN THE REGION RESPONSIBLE FOR DEVELOPING THE PLAN OR IN THE BHO HIGHWAY MAINTENANCE ROADSIDE MANAGEMENT SECTION.

RETENTION: EVENT(FINAL PLAN INCORPORATED INTO PS&E) + 2 YEARS AND TRANSFER TO WHS.

<u>00413000.</u>	<u>MEMORIALS ON STATE HIGHWAY CASE FILES</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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FAMILIES AND FRIENDS OF CRASH VICTIMS MAY GRIEVE BY PLACING A MEMORIAL NEAR A CRASH SITE. HOWEVER, THE PLACEMENT OF MEMORIALS WITHIN A ROADWAY'S RIGHT-OF-WAY IS NOT ALLOWED UNDER STATE STATUTES. ROADSIDE MEMORIALS MAY ALSO BE A SAFETY HAZARD. THE WISDOT REMOVES A MEMORIAL AS SOON AS POSSIBLE IF IT POSES A SAFETY CONCERN, I.E.,

- IF IT INTERFERES WITH ROADWAY SAFETY FEATURES OR VISION
- IF IT NEGATIVELY IMPACTS THE FREE FLOW OF TRAFFIC
- IT IT WOULD BE A HAZARD SHOULD IT BE HIT
- A MEMORIAL WILL ALSO BE REMOVED IF:
- IT INTERFERES WITH ROUTINE MAINTENANCE
- IT FALLS INTO DISREPAIR
- THE DEPARTMENT RECEIVES A COMPLAINT

IF A MEMORIAL IS REMOVED, WISDOT NOTIFIES THE OWNER, IF KNOWN, WHERE IT MAY BE RETRIEVED. WISDOT ALSO SUGGESTS THAT FAMILIES AND FRIENDS WORK WITH AN ADJOINING LANDOWNER TO DESIGNATE AN APPROPRIATE LOCATION, OFF A ROAD'S RIGHT-OF-WAY, FOR PLACEMENT OF A MEMORIAL, OR THAT THEY ADOPT A HIGHWAY AS AN ALTERNATIVE. RECORDS IN THIS SERIES INCLUDE WISDOT NOTES, CORRESPONDENCE AND COMMUNICATIONS IDENTIFYING MEMORIALS ON STATE HIGHWAYS, INCLUDING NOTIFICATIONS TO OWNERS.

RETENTION: EVENT (REMOVAL OF MEMORIAL) + 1 YEARS AND DESTROY.

<u>00414000.</u>	<u>ROAD SALT STORAGE SITES TRANS 277 REGISTRATION</u>	<u>CR+6</u>	<u>DEST</u>	<u>N</u>
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UNDER TRANS 277, WIS. ADM. CODE, WISDOT IS RESPONSIBLE FOR ADMINISTERING A PROGRAM TO PREVENT CONTAMINATION OF WISCONSIN'S SURFACE AND GROUND WATER WITH CHLORIDES FROM ROAD SALT STORAGE FACILITIES AND PRACTICES. ANY PUBLIC OR PRIVATE ENTITY THAT STORES BULK ROAD SALT (SODIUM CHLORIDE) INDOORS OR OUTDOORS MUST COMPLY WITH THESE PROVISIONS WHEN STORING MORE THAN 1000 POUNDS OF BULK

ROAD SALT FOR USE ON A ROAD, DRIVEWAY OR PARKING FACILITY FOR THE PURPOSE OF PREVENTING OR REMOVING SNOW OR ICE. EVERY EXISTING AND NEW SALT STORAGE SITE AND STRUCTURE OR STOCKPILE FOR STORING SALT MUST BE REGISTERED WITH THE WISDOT, WHETHER THE BUILDING OR STOCKPILE IS INTENDED FOR TEMPORARY OR PERMANENT USE FOR SALT STORAGE. A WISDOT CONTRACTOR MONITORS SALT STORAGE SITES AND CONDUCTS ANNUAL INSPECTIONS. REGIONAL STAFF MAY VISIT SITES MORE FREQUENTLY BASED ON NON-COMPLIANCE, I.E., FAILURE TO HAVE RECORDS, SALT, NOT CLEANED, COMPLAINTS, ETC. ENTITIES ARE NOTIFIED OF PENDING ANNUAL CONSULTANT INSPECTIONS AND REMINDED TO RECERTIFY INFORMATION AND/OR UPDATE THE DT 1871. RECORDS IN THIS SERIES ARE FILED WITH THE REGIONAL SALT COORDINATOR AND INCLUDE:

- DT 1871-ROAD CHEMICAL STORAGE FACILITY RECORD: SUBMITTED BY REQUESTER
- DT 1872- TRANS-277-COMPLIANCE-COMPLAINT-DISCONTINUANCE-INSPECTION FORM: INSPECTION CONSULTANT COMPLETES
- DT 1873 - ROAD CHEMICAL STORAGE SUBSITE INSPECTION FORM: CONSULTANT COMPLETE
- DT 1874 - ROAD SALT SUBSITE INVENTORY RECORD: APPLICATIONS COMPLETE AND MAINTAIN AT THE FACILITY. NOT FILED OR CAPTURED AT WISDOT ROUTINELY. INSPECTORS MAY REVIEW DURING COMPLIANCE INSPECTIONS AND REQUEST COPY IF NECESSARY.
- DT - 2215 - COMPLIANCE/COMPLAINT RESPONSE: APPLICANTS RESPOND AND SIGN.
- REGION STAFF AND CONTRACTOR NOTES AND COMPLIANCE MONITORING CORRESPONDENCE.

THE CONSULTANT CONTRACTOR OR REGIONAL SALT COORDINATOR KEYS SELECTED SITE INVENTORY AND INSPECTION DATA INTO THE MATERIAL STORAGE SITE MANAGEMENT (MSSM) SYSTEM. OWNERS OF SALT STORAGE SITES ARE REQUIRED BY TRANS 277, ADM. CODE TO MAINTAIN 6 YEARS OF SALT RECORDS. THE WISDOT MAINTAINS FILES FOR CONSISTENT PERIODS OF TIME.

RETENTION: CREATION + 6 YEARS AND DESTROY.

<u>00414A00.</u>	<u>MATERIAL STORAGE SITE MANAGEMENT (MSSM) DATA - ELECTRONIC</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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SALT STORAGE APPLICANTS, A CONTRACTOR OR WISDOT PERSONNEL COLLECT SALT DATA INFORMATION USING FORMS AND INFORMATION LISTED IN THE ROAD SALT STORAGE SITES TRANS 277 REGISTRATION RDA ABOVE. A WISDOT CONSULTANT INSPECTS SALT SITES AND ENTERS SELECTED SUMMARY DATA INTO THIS MSSM TO DOCUMENT SITE COMPLIANCE IN DETAIL. DATA INCLUDES:

- SHED LOCATIONS: SALT STORAGE SITES
- FACILITY REGISTRATION DATA SUBMITTED BY THE APPLICANT
- COMPLIANCE DATA FROM SITE INSPECTIONS AND DIARIES (PERSONAL NOTES, CONTACTS, CALENDAR) PREPARED BY APPLICANT AND/OR INSPECTION CONSULTANT. FINAL DATA IS AS VERIFIED OR CORRECTED DURING THE INSPECTION.
- COMPLIANCE FOLLOW UP BY WISDOT AS NEEDED. REGIONS RECEIVE COMPLETED FORMS AND EMAIL INFORMATION.
- THIS RECORDS SERIES COVERS SALT STORAGE SITE COMPLIANCE DATA FOR SITES WITHOUT COMPLIANCE ISSUES OR CONCERNS. CURRENT SITE INSPECTION AND COMPLIANCE DATA IS RETAINED UNTIL SUPERSEDED BY A SUBSEQUENT INSPECTION, PROVIDED THE SITE COMPLIES WITH ALL TRANS 277 REQUIREMENTS.

NO PAPER RECORD EXISTS FOR THIS DATA. TRANS 277, WIS ADMIN. CODE REQUIRES TRACKING OF SALT STORAGE SITE COMPLIANCE. DETAILED COMPLIANCE DATA IS UPDATED REGULARLY.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12:

[HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: EVENT (DATA SUPERSEDED BY UPDATED COMPLIANCE INSPECTION) + 5 YEARS AND DESTROY.

<u>00414B00.</u>	<u>MATERIAL STORAGE SITE MANAGEMENT (MSSM) SITE HISTORY DATA</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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THIS RECORDS SERIES COVERS BASIC HISTORICAL DATA ABOUT THE SALT STORAGE SITE. IT PROVIDES A REFERENCE POINT TO TRACK ENVIRONMENTAL ISSUES, A TRAIL OF WISDOT COMPLIANCE MONITORING. DATA WITH LONG-TERM REFERENCE AND LEGAL VALUE INCLUDES:

- SHED LOCATIONS: SALT STORAGE SITES
 - SIGNIFICANT COMPLIANCE ISSUES AND CONCERNS.
- THESE SELECTED DATA MSSM DATA ELEMENTS HAVE ONGOING ADMINISTRATIVE AND LEGAL VALUE, TO TRACK SALT CONTAMINATION, GROUNDWATER OR OTHER ISSUES THAT IMPACT THE ENVIRONMENT AND PUBLIC HEALTH AND SAFETY.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12:

[HTTP://WWW.EGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.egis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

NO PAPER RECORD EXISTS FOR THIS DATA. TRANS 277, WIS ADMIN. CODE REQUIRES RETENTION OF SUMMARY SALT STORAGE SITE AND SIGNIFICANT COMPLIANCE INFORMATION FOR ENVIRONMENTAL PURPOSES: TO IDENTIFY CONTAMINATION, IDENTIFY GROUNDWATER ISSUES AND ASSURE PUBLIC HEALTH AND SAFETY.

RETENTION: PERMANENT

<u>00415000.</u>	<u>SALT INVENTORY & USAGE DATA (SIRS)</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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THE WISDOT PURCHASES SALT FOR HIGHWAY MAINTENANCE FROM SALT VENDORS, THROUGH THE PURCHASING BID AND CONTRACTING PROCESS. THE WISDOT SUBSEQUENTLY SUES THE SALT CONTRACT TO SET A PRICE FOR ANY COUNTY (AND MUNICIPALITY) TO OBTAIN SALT FOR WINTER DEICING PURPOSES. COUNTIES STOCKPILE SALT IN DOMES,

SHEDS, ETC. RECORDS IN THIS SERIES TRACK SALT INVENTORY AMOUNTS PURCHASED, SALT DISTRIBUTION TO COUNTY OR MUNICIPALITY SITES. SIRS PROVIDES UP-TO-DATE SALT INVENTORY FOR PURCASHING, ACCOUNTING AND PLANNING PURPOSES. DATA CURRENTLY IN MS EXCEL BUT IWLL BE CONVERTED TO ORACLE. DATA INCLUDES:
 -SALT INVENTORY: TOTAL QUANTITY PURCHASED FROM VENDOR(S),
 -SALT VENDOR/SUPPLIER AND COST DATA
 -COUNTY SALT ORDERS AND USAGE DATA
 -SUMMARY INVOICING AND FINANCIAL DATA(OFFICIAL TRACKED IN EAPS).
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTROINC RECORDS MUST MEET THE STANDARDS & REQUIRMENTS FOR THE MANAGEMENT OF ELECTROINC RECORDS OUTLINED IN CHAPTER ADM 12:
 HTTP://WWW.EGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM

RETENTION: CREATION + 10 YEARS AND DESTROY

00416000.	<u>WINTER STORM REPORT DATA</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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THE BHO WINTER MAINTENANCE UNIT MAINTAINS STORM REPORT INFORMATION IN AN MS ACCESS DATABASE. COUNTIES PROVIDE STORM DATA USING WEB FRONT-END INTERFACE (DELPHI) ON THE EXTRANET THAT SENDS A MESSAGE TO THE STATE WINTER MAINTENANCE ENGINEER. DATA IS CHECKED, AMENDED AS NECESSARY AND ADDED INTO THE DATABASE. DATA ELEMENTS INCLUDE PERSONNEL, EQUIPMENT, RESOURCES AND HOURS RELATED TO THE STORM AND SNOWFALL, TEMPERATURES, ETC. DATA RELATED TO THE INCIDENT. WEATHER AND STORM DATA IS USED TO TRACK STORMS AND WEATHER EVENTS THAT REQUIRE QUICK RESPONSE FROM COUNTY, STATE AND OTHER RESPONSIBLE PARTIES INCLUDING RESOURCE AND COST REQUIRED. DATA IS UPDATED CONTINUOUSLY TO SHOW WEATHER TRENDS: JUSTIFY WINTER MAINTENANCE EFFORTS: AND JUSTIFY WINTER BUDGET REQUESTS. CURRENTLY, WISDOT RUNS WEEKLY REPORTS AND ALSO COMPARES ANNUAL DATA AND DEVELOPS 5-YEAR ROLLING AVERAGES. STORM REPORT DATA IS MAINTAINED ON A SHARED DRIVE IN THE BHO, AND RESULTS ARE ALSO POSTED ON THE WISDOT EXTRANET. DATA IS UPDATED CONTINUOUSLY.
 ELECTROINC RECORDS NOTE:
 IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12:
 HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM

RETENTION: EVENT (SUPERSEDED) AND DESTROY

00417000.	<u>ANNUAL WINTER MAINTENANCE REPORTS</u>	<u>CR+25</u>	<u>DEST</u>	<u>N</u>
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ANNUAL REPORTS PROVIDE SUMMARY DATA ON WISDOT AND COUNTY WINTER MAINTENANCE ACTIVITIES AND EXPENDITURES. REPORTS IDENTIFY WINTER WEATHER CONDITIONS; SNOW AND ICE CONTROL PERFORMANCE INCLUDING DETAILED MATERIALS, EQUIPMENT, LABOR AND SERVICE COSTS. DATA IS A SNAPSHOT OF WINTER STATISTICAL TABLES, PRESENTED TO FACILITATE COMPARISONS ACROSS EGIONS AND STATEWIDE. IT SUMMARIZES STATEWIDE FACTS AND FIGURES AND ALSO COMPILES DATA FOR ALL 72 WISCONSIN COUNTIES. STATISTICS TRACK RISING SALT AND FUEL COSTS, WINTER SEVERITY AND OTHER FACTORS THAT MAY GENERATE HIGHER THAN AVERAGE STATEWIDE WINTER MAINTENANCE COSTS. COUNTY RESPONSES TO RISING COSTS ARE INCLUDED, AND THE REPORT HIGHLIGHTS EFFICIENT PRACTICES IN "BEST PRACTICES" SIDEBARS. IT INCLUDES EXPLANATIONS OF WINTER MAINTENANCE TECHNOLOGIES AND BEST PRACTICES, SUCH AS ANTI-ICING, PRE-WETTING, AND USE OF ROAD WEATHER INFORMATION SYSTEMS. THE REPORT CONTAINS ROLLING 5-YEAR AVERAGES OF WINTER STATISTICAL TABLES, BY COUNTY AND BY REGION. IT IS USED BY COUNTY HIGHWAY DEPARTMENTS AND HAS A WIDE AND DIVERSE AUDIENCE. THE BUREAU PROVIDES A PAPER REPORT(100 + PAGES) TO THE LEGISLATURE AND WHS LIBRARY: MAINTAINS PAPER COPY AND AN ELECTRONIC VERSION (MS WORD FORMAT) ON A SHARE DRIVE FOR EASE OF UPDATING; AND ALSO PUBLISHES ANNUAL REPORTS ON THE WISDOT EXTRANET SITE IN .PDF FORMAT.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET TEH STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12:
 HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM
 RETENTION: CREATION + 25 YEARS AND DESTROY

00418000.	<u>FROZEN ROAD / WEIGHT RESTRICTION PROGRAM SUMMARY SPREADSHEE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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WISDOT MANAGES THE FOLLOWING WINTER ROAD RESTRICTION PROGRAMS AND RECORDS AND POSTS INFORMATION TO THE WISDOT WEB SITE.
 FROZEN ROADS, CLASS II ROADS, ADN POSTED ROADS: FROM DECEMBER 1ST TO MAY 1ST ANNUALLY, WISCONSIN STATE HIGHWAYS MUST WITHSTAND AN EXTREME RANGE OF MOISTURE AND TEMPERATURE CONDITIONS FROM -30 F. TO +70 F THAT AFFECT THE STRUCTURAL STRENGTH OF PAVEMENTS AND BASE MATERIALS UNDER THE ROADWAY. THREE PROGRAMS TAKE ADVANATAGE OF THE FROZEN PAVEMENT AND SUB-BASE CONDITIONS DURING THE WINTER MONTHS AND ALSO PROTECT PAVEMENT'S WEAK CONDITIONS DURING THE SPRINGTIME FREEZING AND THAWING PERIOD.
 1. FROZEN ROAD DECLARATION PROGRAM: MID-DECEMBER TO LATE FEB OR EARLY MARCH, CERTAIN VEHICLES ARE ELIGIBLE TO HAUL INCREASED WEIGHT LIMITATIONS; NO SPECIAL PERMIT REQUIRED DURING THIS PERIOD. HIGHWAY MAINTENANCE MANUAL (HMM) 37.05 OUTLINES POLICY AND PROCEDURES. RECORDS INCLUDE MAP IDENTIFYING STATE ROADS TO WHICH THE FROZEN ROAD DECLARATION APPLIES-UPDATED ANNUALLY; SUSPENSION DECLARATION - FORMAL WISDOT DECLARATION OF POLICY; FROZEN ROAD DECLARATION HISTORY: TABLE IDENTIFIES YEAR, START/END DATES, EXTENSION DATE, # OF DAYS AND # OF WEEKS: FROZEN ROAD MAXIMUM AXLE WEIGHT LIMITATIONS - UPDATED ANNUALLY: AND RAW FOREST PRODUCTS OVERWEIGH PERMITS.
 2.CLASS II PROGRAM: TYPICALLY FROM EARLY MARCH UNTIL THE FIRST OR SECOND WEEK IN MAY, THE DEPARTMENT

MAY RESTRICT TRAVEL OF VEHICLES WITH OVERWEIGHTS PERMITS ON CERTAIN (CLASS II) ROADS DUE TO THE UNSTABLE CONDITION OF THE ROADWAY SUBGRADE DURING THE PERIOD WHEN FROST IS LEAVING THE GROUND. HMM GUIDELINE 37.10 OUTLINES POLICY AND PROCEDURES. RECORDS INCLUDE: CLASS II ROADWAY RESTRICTIONS LIST (UPDATED AS NEEDED); MAP IDENTIFYING CLASS II STATE ROADS; CLASS II ROADWAY LIST; AND CLASS II ROADS SPRING WEIGHT RESTRICTIONS HISTORY: TABLE IDENTIFIES YEAR, START/END DATES, # OF DAYS AND # OF WEEKS 3.SPRINGTIME POSTED ROAD PROGRAM: SOME ROADWAY SECTIONS(APPROXIMATELY 170 MILES, 13 SEGMENTS THAT ACCOUNT FOR LESS THAN 2% OF ALL STATE HIGHWAYS) ARE TOO WEAK TO WITHSTAND EVEN THE LEGAL LOAD LIMIT (80,000 POUNDS) DURING THE SPRINGTIME FREEZING AND THAWING. THESE HIGHWAY SECTIONS HAVE SIGNS POSTED INDICATING THE ALLOWABLE WEIGHT LIMITS DURING THE PERIOD NORMALLY FROM THE SECOND WEEK IN MARCH TILL LATE APRIL OR EARLY MAY. HMM GUIDELINE 37.15 OUTLINES THIS POLICY AND PROCEDURES. RECORDS INCLUDE MAP OF SPRINGTIME POSTED ROADS; SPRINGTIME POSTED ROADS LIST, BOTH UPDATED ANNUALLY
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12:
[HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: EVENT (SUPERSEDED BY UPDATED INFORMATION) + 5 YEARS AND DESTROY.

00419000.	<u>ROAD WEATHER INFORMATION SYSTEM (RWIS)</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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THE WISDOT ROAD WEATHER INFORMATION SYSTEM (RWIS) NETWORK CURRENTLY CONSISTS OF 59 SENSOR SITES SPREAD THROUGHOUT THE STATE. THE RWIS REMOT PROCESSOR UNITS (RPUS) ARE NTCIP COMPATIBLE; WINDOWS-BASED SERVERS, PHONE LINES AND MODEMS HANDLE RPU POLLING RESPONSIBILITIES THAT COLLECT ROAD AND WEATHER DATA THROUGHOUT WISCONSIN. QUIXOTE TRANSPORTATION TECHNOLOGIES (QTT), A WISDOT CONTRACTED VENDOR, COLLECTS THE DATA FROM THE SENSORS AND SENDS IT TO THE UNIVERSITY OF WISCONSIN TRAFFIC OPERATIONS AND SAFETY (TOPS) LAB, IN THE SCHOOL OF ENGINEERING. THE LAB PROVIDES ENGINEERING-ORIENTED SERVICES WITH REGARD TO TRAFFIC OPERATION IN WISCONSIN AND THROUGHOUT THE MIDWEST. THE TOPS LAB HAS A CONTRACTUAL RELATIONSHIP WITH WISDOT WITH REGARD TO THE MANAGEMENT OF THE DATA WITHIN THE RWIS AND SEVERAL OTHER INFORMATION SYSTEMS.
 WISDOT OWNS THE RWIS DATA AND THE TOPS LAB MAINTAINS IT IN AN ORACLE DATABASE AND PROVIDES ACCESS TO THE DATA VIA A WEB INTERFACE THAT ALLOWS DOT TO QUERY HISTORICAL RWIS DATA FROM THE DATABASE AND DOWNLOAD THE DATA IN FLAT FILE FORMAT. FORMAT INCLUDES: DATE, TIME, AIR TEMPERATURE, RELATIVE HUMIDITY, WIND SPEED AND DIRECTION, PRECIPITATION, PAVEMENT TEMPERATURE, PAVEMENT STATUS(WET, DRY, ICY, ETC.), AND ROAD CHEMICAL CONCENTRATION. RWIS RECORDS DATE BACK TO 2003. CURRENTLY TOPS LAB ONLY MAINTAINS RECORDS DATING BACK FROM 2005. RECORDS FROM 2003-2005 ARE CURRENTLY MAINTAINED BY QTT. THESE RECORDS WILL BE SENT TO THE TOPS LAB FOR MAINTENANCE AND ARCHIVING PURPOSES IN THE NEAR FUTURE. TOPS LAB RETAINS THE SOURCE DATA IT RECEIVES FROM QTT FOR 7 DAYS AFTER IT IS ENTERED INTO THE ORACLE DATABASE. WISDOT ALSO CONTRACTS WITH QUIXOTE TRANSPORTATION TECHNOLOGIES (QTT) FOR WEB SITE ADMINISTRATION AND MAINTENANCE, WITH THE WEB SERVER BASED AT QTT'S HEADQUARTERS IN ST. LOUIS. THE SYSTEM PROVIDES AN INTERACTIVE ROADWAY WEATHER INFORMATION SYSTEM MAP. THE RWIS MAP USES POP-UP WINDOWS AND PERMITS THE USER TO VIEW WEATHER INFORMATION WITHIN A TARGETED PORTION OF THE MAP. THE RWIS PROGRAM MANAGER IN THE BUREAU OF HIGHWAY OPERATIONS (BHO) PERFORMS OVERALL PROGRAM MANAGEMENT OF THE WISCONSIN RWIS.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12.
[HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 RWIS DATA HAS ONGOING ADMINISTRATIVE, STATISTICAL, LEGAL AND RESEARCH VALUE. WISDOT USES DATA TO ANALYZE ROAD CONDITIONS AND DRIVER BEHAVIOR; MONITOR WEATHER CONDITIONS AND ALERT THE PUBLIC; JUSTIFY POLICY; AND PROTECT PUBLIC HEALTH AND SAFETY.

RETENTION; PERMANENT

00425000.	<u>TRANSPORTATION PROGRAM MONITORING & OVERSIGHT COMMITTEE MEI</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>Y</u>
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Series covers minutes and related administrative records for WisDOT Transportation Program Monitoring & Oversight Committees charged to provide program oversight and accountability for use of program funds. Records document committee meetings, project review and analysis, decisions and actions, including:

- Committee Meeting Agendas,
- Meeting Minutes, notes and background materials, including subcommittee materials.
- Committee Membership Rosters
- Records documenting program project analysis, review and evaluation to select particular projects: engineering analysis and review documentation for functional adequacy, economic feasibility, intangible considerations such as community, environmental and economic impacts; background information; inspection reports, test results and raw data; project-specific correspondence, comments and management decisions.
- Report to the Transportation Projects Commission on Status of Major Highway Projects: Tracking mechanism, used by BSHP and Majors Committee, due to TPC by Feb. 1 and Aug. 1 annually.

Committee meeting records covered in this series include:

Statewide Projects Standing Committees: WisDOT standing committees provide centralized, executive-level program oversight for statewide projects. They include: Major Projects Programming Committee; Backbone Committee; High Cost Bridges Committee; and Transit and Aviation Program Committees

Specialized Programs Committees: WisDOT also appoints statewide committees to assure accountability for specialized programs, e.g., American Recovery & Reinvestment Act (economic stimulus).

Official Copy Location: Central Office Program Development & Analysis
 3R and Bridge Program Project Selection Committees: Each DOT region has committees with primary responsibility to select and monitor appropriate use of funds for the following types of projects at the regional level.
 - 3R (Resurfacing, Reconditioning and Reconstruction) projects.
 - Low cost bridge projects.

Official Copy Location: Each region - region-specific projects
 Retention: EVENT (meeting date) + 5 years and transfer to WHS.

EVENT = (Meeting date) + 5 years & transfer to WHS.

<u>00426000.</u>	<u>SIX-YEAR HIGHWAY IMPROVEMENT PROGRAM PLAN FILES - BSHP</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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WisDOT administers and maintains the highway improvement program covering 11,773 miles of state highways: 743 miles of Interstate freeways and 11,030 miles of state and US-marked highways. The program Development & Analysis Section has lead responsibility for the Six-Year Improvement Program and subprograms. Working with region planning and programming staff, the section develops and maintains plans and related files identifying Six-Year highway improvement project schedules and plans, basing decisions on long-range plan recommendations. The Department develops Six-Year plans annually, on a continuous, rolling basis.

This records series covers each Six-Year Program plan and related records. Contents include list of highway improvement projects scheduled for that year; type of project, amount of funds allocated for each project; and project priority. Records have ongoing value to recommend project funding; develop timetables for the future; and estimate when projects will be initiated. Regions may also maintain additional background information, computations, analysis and correspondence used to evaluate and prioritize projects.

Retention: EVENT (plan issue date) + 10 years & transfer to WHS.

<u>00427000.</u>	<u>STATE HIGHWAY REHABILITATION PROJECT SELECTION FILES - REGIONS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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THE EXISTING HIGHWAYS COMPONENT OF THE SHR SUB-PROGRAM DEALS WITH IMPROVEMENTS TO THE NON-CORRIDORS 2020 BACKBONE PORTION OF THE STATE HIGHWAY SYSTEM. IT FUNDS "3R" IMPROVEMENTS: RESURFACING, RECONDITIONING, AND RECONSTRUCTING EXISTING ROADWAYS AND THE MINOR ADDITION OF LANES, TRAFFIC AND SAFETY IMPROVEMENTS, AND MINOR REALIGNMENTS OF ROADWAY. ALSO INCLUDES PAVEMENT REPLACEMENT AND RECONSTRUCTION.
 COUNTY HIGHWAY COMMITTEES, MPOS, LOCAL OFFICIALS, LEGISLATORS AND THE PUBLIC ALL SUGGEST CANDIDATE PROJECTS. ANY PROJECTS CONSIDERED, BUT NOT SELECTED, IN THE LAST PROGRAM ARE ALSO INCLUDED AS CANDIDATES. WISDOT REGIONS USE A COMPUTERIZED MODEL OF THE STATE HIGHWAY SYSTEM, COUPLED WITH OCCASIONAL FIELD REVIEWS, TO DETERMINE WHERE DEFICIENT SEGMENTS EITHER EXIST OR WILL EXIST IN THE FUTURE, AND TO THEN DEVELOP CANDIDATE IMPROVEMENT PROJECTS THAT WILL ADDRESS THOSE DEFICIENCIES. REGIONS EVALUATE CANDIDATE IMPROVEMENT PROJECTS BY CONSIDERING SUCH THINGS AS PRIORITY OF NEED, USE AND LOCAL INTEREST.
 THIS SERIES COVERS COMMUNICATIONS AND BACKGROUND MATERIALS RECEIVED AND CREATED TO DETERMINE REGION-LEVEL "3R" IMPROVEMENTS FOR INCLUSION IN 6-YEAR PLANS.
 RETENTION: EVENT (SUPERSEDED BY NEXT SIX-YEAR PLAN) + 6 YEARS AND DESTROY CONFIDENTIAL.

<u>00428000.</u>	<u>META-MANAGER FILES - STATEWIDE DATA MODEL</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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META-MANAGER IS A MANAGEMENT SYSTEM THAT CONSISTS OF A COMPREHENSIVE SET OF DATA AND ANALYSIS TOOLS DISTRIBUTED TO REGIONS TO PROVIDE ASSISTANCE DEVELOPING, MANAGING AND MEASURING THE SIX-YEAR STN HIGHWAY IMPROVEMENT PROGRAM AND LONG-TERM NEEDS. META-MANAGER CONSISTS OF AN EXCEL SPREADSHEET CONTAINING SEVERAL TABLES; NINE DBASE FILES, AND A META-MANAGER ARCGIS SHAPEFILE WITH DATA INTEGRATED FROM OTHER APPLICATIONS, INCLUDING:
 - TRAFFIC SEGMENTS FROM TRADAS SYSTEM WITH TRAFFIC FORECASTING MODEL DATA (CURRENT VALUES, HISTORIES AND PROJECTIONS).
 - LOCATIONAL INTEGRATION OF HIGHWAY SEGMENTS FROM PAVEMENT FILE, DEFICIENCY FILE, FIIPS SYSTEM AND TRADAS.
 COMPONENTS ARE GEOGRAPHICALLY INTEGRATED CORPORATE DATA REPRESENTING:
 - PAVEMENT AND BRIDGE CONDITION
 - SIX YEAR PROGRAM INFORMATION
 - HIGHWAY GEOMETRIC AND ATTRIBUTE INFORMATION
 - HIGHWAY CRASHES, HIGHWAY CAPACITY, ETC.
 - PAVEMENT AND BRIDGE DETERIORATION AND IMPROVEMENT "RESET" MODELS
 - ANALYSIS MODELS FOR EVALUATING: ALTERNATIVES, COSTING, PRIORITIES AND BUDGET CONSTRAINTS.
 THIS RECORDS SERIES COVERS THE STATEWIDE DATA SET THAT THE PROGRAM DEVELOPMENT & ANALYSIS SECTION CREATES, GENERALLY THREE TIMES PER YEAR, CONTAINING COMPREHENSIVE STATEWIDE DATA AND ALSO INCLUDES REGION-SPECIFIC COMPONENTS CREATED FOR EACH REGION:
 - REGION-SPECIFIC EXCEL SPREADSHEET WORKBOOKS CONTAINING META-MANAGER DATA SETS: BASE, ROADWAY, PAVE (UNIMPROVED AND IMPROVED); SAFETY; PAVE SCOPE, MOBILITY, BRIDGE (UNIMPROVED AND IMPROVED) AND SAFETY "SPOT".
 - REGION-SPECIFIC SHAPEFILE, GEOGRAPHIC REPRESENTATION OF THE REGION
 - DBASE TABLES (DERIVED FROM THEMATIC SHEETS IN THE EXCEL WORKBOOK) THAT CAN BE COORDINATED WITH

SPATIAL REPRESENTATION.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: <HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF> AND <HTTP://DOTNET/BMSRECORDS/RECELEC.HTM>

RETENTION: EVENT (SUPERSEDED BY UPDATED MODEL) + 10 YEARS AND DESTROY.

<u>00428A00.</u>	<u>META-MANAGER FILES - REGIONS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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REGIONS USE THE META-MANAGER MANAGEMENT SYSTEM TO FACILITATE DEVELOPING, MANAGING AND MEASURING THE SIX-YEAR STN HIGHWAY IMPROVEMENT PROGRAM AND LONG-TERM NEEDS. META-MANAGER DATA PROVIDES SIGNIFICANT INSIGHT INTO THE WISCONSIN STATE TRUNK HIGHWAY SYSTEM CONDITION, NEEDS, AND PRIORITIES. IT IS USED TO:

- IDENTIFY, SCOPE AND PRIORITIZE PROJECTS
- EVALUATE PROGRAM PERFORMANCE (E.G. BEFORE/AFTER ANALYSES)
- ESTIMATE FUTURE CONDITIONS AND NEEDS
- ESTABLISH PROGRAM GOALS
- ALLOCATE RESOURCES TO PROGRAM AND HIGHWAY TRANSPORTATION REGIONS

EACH REGION USES EXCEL META-MANAGER DATA SETS AND OVERLAYS GIS COVERAGE WITH CONDITION/STATUS DATA PRODUCED AT THE SAME TIME TO CALCULATE AND COORDINATE PROGRAM IMPROVEMENT MODELS RANGING FROM SIX YEARS TO AS LONG AS 20 YEARS. DATA ON REGIONAL SERVERS IS UPDATED AS SUPERSEDED.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: <HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF> AND <HTTP://DOTNET/BMSRECORDS/RECELEC.HTM>

RETENTION: EVENT (SUPERSEDED BY UPDATED MODEL) + AND DESTROY.

<u>00429000.</u>	<u>THE WAY IT IS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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PRODUCED MONTHLY BY THE BUREAU OF STATE HIGHWAY PROGRAMS, PROVIDES WISDOT PERSONNEL WITH INFORMATION ON THE PROGRESS AND WORKINGS OF THE STATE HIGHWAY PROGRAM. THE PUBLICATION PROVIDES INFORMATION ON THE STATUS AND OPERATIONS OF ALLOCATED SUBPROGRAMS (3R AND LOW COST BRIDGE), THE MAJOR PROJECTS PROGRAM, THE BACKBONE REHABILITATION PROGRAM, THE HIGH COST BRIDGE PROGRAM AND LOCAL HIGHWAY PROGRAMS. IT ALSO PROVIDES INFORMATION ON PROGRAM GROWTH OVER THE COURSE OF THE STATE FISCAL YEAR (SFY), THREE-YEAR PROJECT LETTING IMPLEMENTATION PLANS, PROJECTS READY FOR ADVANCEMENT.

OCCASIONALLY, THE WAY IT IS WILL ALSO PROVIDE DETAILED ARTICLES ON SPECIFIC ASPECTS OF THE HIGHWAY PROGRAM - SUCH AS THE PROJECT DEVELOPMENT PROCESS. WISDOT HAS DESIGNATED THE WAY IT IS AS AN INTERNAL PUBLICATION; PERMISSION TO DISTRIBUTE ISSUES OF THE PUBLICATION OR PARTS THEREOF MUST BE OBTAINED FROM THE DIVISION OF TRANSPORTATION INVESTMENT MANAGEMENT.

RETENTION: EVENT (PUBLICATION DATE) + 6 YEARS AND DESTROY CONFIDENTIAL

<u>00430000.</u>	<u>REGION DESIGN PROJECT & CONTRACT FILE</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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FOR DESIGN OF BRIDGES AND HIGHWAY FACILITIES, WISDOT CONTRACTS WITH ENGINEERING CONSULTANTS FOR HIGHWAY DESIGN ENGINEERING SERVICES, UNDER CHAPTER 84.01(13), WIS.STATS. THE REGION PROJECT MANAGER OR SUPERVISOR, WITH REGION CONTRACT SPECIALIST SUPPORT, OVERSEES THE CONTRACTUAL PROCESS; ADMINISTERS THE DESIGN CONTRACT AND MONITORS COMPLIANCE. THIS RDA COVERS THE DOT REGION DESIGN FILES AND INCLUDES NUMEROUS DOCUMENTS THAT ARE NOT ALSO FILED IN THE OFFICIAL CONTRACT THAT BPD ROUTES TO CENTRAL FILES (SEE RDA # 487). THIS SERIES =

CONTRACT TRANSCRIPT: INCLUDES SUBCONTRACTOR RECORDS AND:

CONTRACT MODIFICATIONS: CHANGE ORDERS, MODIFICATIONS, AMENDMENTS, AND EXTENSION OF CONTRACT INFORMATION, WITH SUPPORTING DOCUMENTATION, I.E., MEETING NOTES AND NEGOTIATIONS AND AMENDMENT SUBMITTAL CHECKLIST.

CONTRACT CLAIM RECORDS: FOR CLAIMS SETTLED AT THE REGIONAL LEVEL, REGIONS MAY HAVE THE ONLY COPY. DESIGN PROJECT CORRESPONDENCE: EXAMPLES: MOU AGREEMENTS WITH OTHER AGENCIES RELATED TO DESIGN WORK, UTILITY AND RAILROAD CORRESPONDENCE, CONTACT LISTS, PROPOSED AND APPROVED WORK SCHEDULE; PROGRESS REPORTS; SUSPEND JOB NOTICE, PROPERTY OWNER CORRESPONDENCE, PROJECT CONTACTS; FEDERAL OVERSIGHT, COORDINATION WITH OTHER STATE AGENCIES, ETC.

PUBLIC INVOLVEMENT: WISDOT EFFORTS TO INVOLVE THE PUBLIC IN PROJECT DESIGN DECISION-MAKING ARE DOCUMENTED IN PRESS RELEASES, NOTICES, PROJECT ANNOUNCEMENTS; PUBLIC MEETINGS AND HEARINGS; PUBLIC INTEREST FINDINGS, ETC.

EXPENDITURE DETAIL: THE REGION CONTRACT SPECIALIST REVIEWS AND APPROVES BILLS AND SUBMITS REQUESTS TO PAY DESIGN CONSULTANTS TO BUREAU OF FISCAL SERVICES (BFS), DBM ELECTRONICALLY. REGIONS MAY HAVE SUPPORTING MATERIALS JUSTIFYING EXPENSES OR AUTHORIZING PAYMENTS.

DESIGN PROJECT REPORTS - REGION PROJECT MANAGER/SUPERVISOR FILE:

WISDOT OR CONSULTANT PERSONNEL GENERATE PERQUISITE REPORTS TO INITIATE A CONSTRUCTION PROJECT,

INCLUDING:

- CONCEPT DEFINITION REPORT: USED TO IDENTIFY INITIAL CONSTRUCTION PROJECT SCOPE DURING PLANNING AND DESIGN STAGES.
- PLANS, SPECIFICATIONS & ESTIMATES (PS&E) AND EXCEPTIONS TO STANDARDS. NOTE: INCORPORATED INTO CONSTRUCTION CONTRACT.
- PROJECT REVISION REQUEST FORMS USED FOR REGION CHANGE MANAGEMENT AND TO SECURE APPROVAL FOR ESTIMATE, SCOPE OR SCHEDULE CHANGES.
- ENCROACHMENT REPORT - RELATES TO ACCESS REQUIREMENTS
- EROSION CONTROL IMPLEMENTATION PLANS (ECIP): THE ECIP IS DEVELOPED DURING THE DESIGN PROJECT, AND IT IS A CONTRACTUAL REQUIREMENT THAT MUST BE COMPLETED BEFORE START OF THE CONSTRUCTION. RELATED EROSION RECORDS ARE CREATED DURING CONSTRUCTION, SUMMARIZED IN PROJECT DIARIES AND COVERED IN FIELD FINALS RECORDS.

THE FOLLOWING DOCUMENTS ARE ALSO DEVELOPED DURING THE DESIGN PROCESS AND THE REGION PROJECT FILE MAY INCLUDE COPIES. THOSE LISTED BELOW ARE COVERED AND MAINTAINED SEPARATELY PER OTHER RDA POLICIES.

- COPIES OF TRAFFIC PROJECTIONS AND ACCIDENT DATA
- COPIES OF EIS, EA, ER AND RELATED ENVIRONMENTAL DESIGN MATERIALS
- COPIES OF SOIL SURVEY REPORTS, SOIL SITE INVESTIGATIONS & REPORTS. & GEOTECHNICAL REPORTS: SEE SOILS & FOUNDATION RDAS
- COPY OF PAVEMENT DESIGN REPORT - SEE PAVEMENT RDA 291
- COPIES OF SURVEY REPORTS, MAPS - SEE SURVEYING & MAPPING RDAS
- COPIES OF BRIDGES AND STRUCTURES RECORDS - SEE STRUCTURES RDAS

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: EVENT (FINAL PROJECT COST STATEMENT AND WARRANTY TERMINATION) + 6 YEARS AND DESTROY CONFIDENTIAL.

<u>00451000.</u>	<u>ADOPT-A-HIGHWAY PROGRAM APPLICATIONS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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SERIES DOCUMENTS AN ORGANIZATION OR INDIVIDUAL'S APPLICATION AND "ADOPTION" OF A SPECIFIED HIGHWAY SECTION FOR LITTER CONTROL AND TRASH REMOVAL. APPLICATIONS ARE RECIEVED IN THE DIVISION'S REGIONAL OFFICES. UPON APPROVAL, THE GROUP IS PROVIDED A PERMIT AND A HIGHWAY SIGN ANNOUNCING THEIR SPONSORSHIP CAN BE INSTALLED IF THE GROUP SO DESIRES. RECORDS IN THIS SERIES INCLUDE:

- * ADOPT-A-HIGHWAY FREEWAY / INTERSTATE / INTERCHANGE WORK PLAN (FORM DT 1207)
- * ADOPT-A-HIGHWAY APPLICATION / PERMIT (FORM DT1206)
- * PERMIT
- * APPROVAL LETTER
- * CORRESPONDENCE
- * DESCRIPTION OF DESIGNATED ADOPTED HIGHWAY SEGMENT

SERIES ALSO INCLUDES DENIED APPLICATION FILES WITH FORMS LISTED ABOVE AND:

- * NOTES ON THE DENIAL DECISION, THE DENIAL NOTICE, AND SUPPORTING DOCUMENTATION SPECIFYING REASONS
- * APPEALS

EVENT = DENIAL, EXPIRATION, OR TERMINATION OF PERMIT

<u>00452000.</u>	<u>ADOPT-A-HIGHWAY (AAH) PROGRAM INFORMATION SYSTEM</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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THE SYSTEM IS AN ORACLE DATABASE AND IT IS PART OF THE BUREAU OF HIGHWAY OPERATIONS (BHO)'S OPERATIONS INFORMATION SYSTEM (OIS). OIS IS A COMPUTER SOFTWARE SYSTEM UNDER DEVELOPMENT FOR USE BY COUNTY HIGHWAY DEPARTMENTS, TRANSPORTATION DISTRICTS AND CENTRAL OFFICE (BHO) STAFF. THE AAH ADATABASE IS CENTRALIZED AND MAINTAINED IN BHO. EACH REGION CAPTURES DATA AND ENTERS IT IN DATABASE.

PROGRAM REGION COORDINATORS MANAGE GROUP LOCATION, CONTACT, AND WHEN THEY LAST PICKED UP. THE FOCUS OF THIS OUTLINE SYSTEM IS TO MAKE MANAGING THE GROUP INFORMATION EASIER AND MORE INFORMATION. A STATEWIDE VIEW CAN BE GENERATED OUT OF THE ONLINE SYSTEM TO PROVIDE FEEDBACK ON THE OVERALL EFFECTIVENESS AND HEALTH OF THE CLEAN-UP PROGRAM.

THE SYSTEM CONTAINS THE FOLLOWING PROGRAM INFORMATION:

- * GROUP VOLUNTEERING
- * HIGHWAY SEGMENTS DESIGNATIONS
- * LOGS FOR TRACKING SIGNS INSTALLED AND SEGMENTS ASSIGNED
- * BAGS FOR TRASH COLLECTION
- * BAGS OF RECYCLABLES COLLECTED.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = DATA REPLACED

<u>00453000.</u>	<u>AD HOC PROGRAM REPORTS</u>	<u>CR+0/1</u>	<u>DEST</u>	<u>Y</u>
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THIS SERIES INCLUDES ANY REPORTS THAT MAY BE GENERATED FOR REFERENCE OR TO RESPOND TO A PARTICULAR REQUEST. REPORTS MAY BE RECREATED AS NEEDED AND NEED NOT BE RETAINED.

00454000. **ADOPT-A-HIGHWAY PUBLIC INFORMATION, GUIDANCE AND PROMOTIONAL** **EVT+3** **SHSW** **Y**

THIS SERIES INCLUDES ANY MATERIALS OR DOCUMENTS USED TO PROMOTE THE PROGRAM INCLUDING:

- * BROCHURES AND PUBLICATIONS
- * PROGRAM PROCEDURES AND FORMS
- * ADOPT-A-HIGHWAY SAFETY TIPS INFORMATIONAL VIDEO
- * PROGRAM PERSONNEL: PROGRAM MANAGERS AND COORDINATORS

THE SELECTED INFORMATION IS ALSO MADE AVAILABEL ON THE WISDOT WEBSITE.

EVENT = SUPERSEDED

00457000. **COMPASS DATABASE** **CR+10** **DEST** **Y**

COMPASS PERSONNEL IN DOT REGIONS ENTER DATA FROM COMPASS RATING SHEETS INTO THE COMPASS DATABASE, CURRENTLY IN MS ACCESS SOFTWARE AND MAINTAINED IN CENTRAL OFFICE. DATA IDENTIFIES THE FOLLOWING STATE ROAD CONDITIONS FOR EACH SAMPLE:

- SHOULDERS: HAZARDOUS DEBRIS, CRACKING, POTHoles/RAVELING, DROP-OFF/BUILD UP, CROSS SLOPE, EROSION, DRAINAGE, DITCHES, CULVERTS, DRAINS, FLUMES, CURB & GUTTER, AND STORM SEWER
- DRAINAGE: DITCHES, CULVERTS, DRAINS, FLUMES, CURB & GUTTER, AND STORM SEWER
- ROADSIDES: LITTER, MOWING, NOXIOUS WEEDS, WOODY VEGETATION AND FENCES
- TRAFFIC CONTROL & SAFETY: CENTERLINE/EDGE LINE MARKINGS, SPECIAL PAVEMENT MARKINGS, REGULATORY/WARNING SIGNS, OTHER SIGNS, DELINEATORS, AND PROTECTIVE BARRIERS

DATA GENERATES ANNUAL COMPASS REPORTS INCLUDING FIVE-YEAR ROAD CONDITION TREND ANALYSIS STATISTICS. OPERATIONS MANAGERS ALSO PLAN TO USE DATA TO DETERMINE AND ILLUSTRATE THE CURRENT ROAD SERVICE LEVEL AND ALTERNATIVE SERVICE LEVELS, FOR COST COMPARISON PURPOSES. DATA HAS ONGOING VALUE TO GENERATE STATISTICS FOR TRANSPORTATION SYSTEM DEVELOPMENT, LONG-RANGE PLANNING, QUALITY ASSURANCE, COST ANALYSIS AND REPORTING TO MANAGEMENT AND THE LEGISLATURE.

RETENTINO: CREATION + 10 YEARS AND DESTROY CONFIDENTIAL

00458000. **COMPASS RATING SHEETS** **EVT** **DEST** **N**

BETWEEN AUGUST 15 AND OCTOBER 15, DOT REGIONAL MAINTENANCE COORDINATORS AND COUNTY PATROL SUPERINTENDENT CONDUCT ANNUAL FIELD REVIEWS USING STANDARDIZED RATING SHEETS TO RATE ROAD CONDITIONS, FOLLOWING PROCEDURES IN THE COMPASS RATINGS MANUAL. COMPASS PERSONNEL USE A STATISTICAL SAMPLING OF THE OVERALL POPULATION (ALL SEGMENTS OF STATE HIGHWAY IN WISCONSIN AT THE TIME OF DATA COLLECTION) TO ESTIMATE ROAD CONDITION CHARACTERISTICS.

THIS RECORDS SERIES COVERS COMPLETED PAPER RATING SHEET USED IN THAT PROCESS. RATING SHEET TEMPLATES, AVAILABLE VIA THE WISDOT WEB SITE, SERVE AS SURVEY INSTRUMENTS AND SOURCE DOCUMENTS FOR THE DATA IN THE COMPASS DATABASE. AFTER DATA ENTRY, PAPER RECORDS MAY BE DESTROYED.

RETENTION: EVENT (DATA ENTERED INTO COMPASS DATABASE AND QUALITY ASSURANCE) AND DESTROY.

00459000. **COMPASS ANNUAL REPORTS** **CR+25** **SHSW** **N**

COMPASS PERSONNEL GENERATE AN ANNUAL DETAILED REPORT ON PAVEMENT, SHOULDERS, DRAINAGE, ROADSIDES, AND WINTER, BASED ON ANNUAL FIELD RATINGS DATA AND EXISTING STATE HIGHWAY DATA FROM THE PAVEMENT VAN, BRIDGE DATABASE, WINTER DATABASE AND THE SIGN INVENTORY MANAGEMENT SYSTEM. THE REPORT IDENTIFIES CONDITION OF SIGNS, PAVEMENT, AND TRAVELED WAY, INCLUDING COUNTY-LEVEL REPORTING. ANNUAL REPORTS IDENTIFY HIGHWAY IMPROVEMENT TARGETS AND MAINTENANCE PRIORITIES. REPORTS CONTAIN 5-YEAR TREND ANALYSIS DATA, COVERING 4 PREVIOUS YEARS + THE CURRENT YEAR OF ROAD CONDITIONS.

REPORTS ARE PROVIDED VIA THE WISDOT EXTRANET SITE. THE SITE INCLUDES A LINK TO ARCHIVED REPORTS AND COVERS ALL COMPASS REPORTS GENERATED SINCE THE INCEPTION OF THE PROGRAM.

WISDOT RETAINS REPORTS FOR LONG-RANGE PLANNING AND STATISTICAL PURPOSES, TO MEASURE THE EFFECTIVENESS OF STATE HIGHWAY QUALITY ASSURANCE PROGRAMS AND TO ADMINISTER HIGHWAY IMPROVEMENT AND MAINTENANCE PROGRAMS. COPIES OF THESE REPORTS SHOULD ALSO BE SENT TO DPI THROUGH THE WISCONSIN DEPOSITORY PROGRAM PER WIS. STATS. S.35.83 INCLUDING THE ELECTRONIC PUBLICATIONS.

RETENTION: CREATION +25 YEARS AND TRANSFER TO WHS.

00467000. **CONTROLLED ACCESS HIGHWAY CASE FILES - PAPER RECORDS** **EVT+5** **DEST** **N**

Access control under Wis. Stat. § 84.25 authorizes WisDOT to designate portions of State Trunk Highway (STHs) as controlled-access highways. FDM Procedure 7-15-1 details the process.

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

- Copy of Class 3 newspaper notices published in newspapers, per Wis. Stats. § 84.25
- Maps identifying the highway and access points
- Authorization for Access to or Across a Controlled-Access Highway
- Notice of Non-Access to or Across a Controlled Access Highway
- Revocation of Authorization for Access to or Across a Controlled-Access Highway
- Related correspondence authorizing access and specifying limitations
- Finding, Determination and Declaration (FD&D): Used to officially designate controlled-access highways under Section 84.25 of the Wisconsin Statutes recorded with County Registers of Deeds
- Proof of Publication of the FD&D as a Class 1 legal notice
- Resolution Agreeing to Control of Access along a Local Street or Highway in Connection with a Controlled-Access Project
- Post Hearing Report
- Justification of decisions made regarding access during the development of the project

See also Access Modification RDA 00701-000.

Paper records are retained for five years after the event provided they are imaged, verified and entered into the electronic system. Refer to RDA 00467-BOO for the retention of the electronic records.

EVENT = Date of recording of the Finding, Determination and Declaration at the Register of Deeds Office and paper records are imaged, verified and entered into the electronic system.

<u>00467A00.</u>	<u>CONTROLLED ACCESS DESIGNATION PROCESS DOCUMENTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Documents in paper or electronic formats are created and received in the process of determining whether or not to designate a controlled access highway under Wis. Stat. § 84.25. Records in this series are a combination of administrative records associated with the designation and detailed background materials that do not warrant permanent preservation after the designation decision.

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

- Designation requests and related materials, including WisDOT project denial decision
- Paper or electronic project tracking logs identifying deadlines, key decision dates, action items, project status and summary information (location, highway name, and other data about the designation case)
- Public correspondence and comments solicited and received including e-mail messages not included in the Post Hearing Report.

EVENT = Date of Recording of Finding, Determination and Declaration.

<u>00468000.</u>	<u>ABUTTING SUBDIVISION PLAT DOA REVIEW CASE- PAPER FILES</u>	<u>EVT</u>	<u>SHSW</u>	<u>N</u>
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Records in this series are WisDOT subdivision plat reviews for properties that impact WisDOT right-of-way interests (abutting, contiguous land, or non-abutting plats).

Records in this series may include but are not limited to:

- Abutting plats, including form DT2091 "WisDOT Subdivision Review Request" with basic information about the plat
- WisDOT letter of comment, certifying either that the Department has no objection or listing objections for each plat submitted for review. NOTE: WisDOT approved plat, recommendations and supporting materials may differ from final plat recorded
- May also contain DOA certified plat, and recording data from county where plat is filed with County Register of Deeds, i.e., recording date, volume, page, document number
- DT1669 Access Covenant (Subdivision): Used when an owner has an interest in land contiguous to a proposed subdivision and a state trunk highway
- Significant correspondence related to the final decision
- Review Time Extension request

These records were kept in paper format until the year 2000. Paper records will be transferred to WHS after they are imaged and stored into HAMS.

See also Access Covenant RDAs 00471-000 and 00471-AOO.

EVENT = Date records are imaged and stored in HAMS.

<u>00468A00.</u>	<u>ABUTTING SUBDIVISION DOA REVIEW PROCESS DOCUMENTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Documents in this series are a combination of administrative records associated with the subdivision review and detailed background materials that do not warrant long-term retention in WisDOT. Records in this series may include, but are not limited to:

- Preliminary plats and conceptual plats
- Cover memo from DOA
- Public comments and routine correspondence associated with the subdivision review
- Traffic Impact Analysis (TIA): The TIA may be useful during the subdivision review process, but WisDOT region Traffic and Engineering units maintain the official Traffic Impact Analysis (TIA) Case Files. See RDA 00239-000 of DTSD Traffic & System Operations & Electrical Engineering Retention Schedule
- Administrative materials used to track the subdivision review process, including paper and electronic logs with deadlines, decision dates, action items, subdivision name, location and other summary data related to the review
- Drainage computations

See also Access Covenant RDAs 00471-000 and 00471-AOO.

EVENT = Date of WisDOT memo or objection or non-objection

<u>00468B00.</u>	<u>NON-ABUTTING PLAT SUBDIVISION DOA REVIEW CASE FILE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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WisDOT also participates in subdivision plat reviews for non-abutting properties. These properties are not adjacent to or near WisDOT right-of-way or related to planned WisDOT projects. In these cases, WisDOT maintains the final decision letter submitted to the DOA Plat Review Section which is the agency's official record of that document.

EVENT = Date of WisDOT decision letter

<u>00468C00.</u>	<u>NON-ABUTTING PLAT SUBDIVISION DOA REVIEW PROCESS DOCUMENTS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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Records in this series are materials created and received for WisDOT to complete a plat review for properties that do not abut WisDOT right-of-way, are not contiguous land to an abutting property and which are not relevant to proposed WisDOT highway projects or interests. After the plat review is completed and WisDOT's decision letter is sent to DOA, plat materials have little value to the Department and only needs to be retained for a short period of time.

EVENT = Date of WisDOT decision letter

<u>00468D00.</u>	<u>EXISTING SUBDIVISION MODIFICATION REQUESTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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WisDOT receives occasional requests to modify restrictions on existing subdivisions. The request is reviewed and a decision is made. Records in this series may include, but are not limited to:

- Decision document and related information that affected the decision

See also Access Covenant RDAs 00471-000 and 00471-AOO.

Reason for creation: Records identified during agency review.

EVENT = Date the subdivision is re-platted, or access control is waived by WisDOT and other public bodies.

<u>00468E00.</u>	<u>ABUTTING SUBDIVISION PLAT DOA REVIEW CASE - ELECTRONIC FILES</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>N</u>
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Records in this series are WisDOT subdivision plat reviews for properties that impact Wis DOT right-of-way interests (abutting, contiguous land, or non-abutting plats).

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

- Abutting plats, including form DT2091 "Wis DOT Subdivision Review Request" with basic information about the plat
- WisDOT letter of comment, certifying either that the Department has no objection or listing objections for each plat submitted for review. NOTE: WisDOT approved plat, recommendations and supporting materials may differ from final plat recorded
- May also contain DOA certified plat, and recording data from county where plat is filed with County Register of Deeds, i.e., recording date, volume, page, document number
- (DT1669 Access Covenant (Subdivision): Used when an owner has an interest in land contiguous to a proposed subdivision and a state trunk highway
- Significant correspondence related to the final decision
- Review Time Extension request

These records were kept in paper format until the year 2000. Paper records will be transferred to WHS after they are imaged and stored into HAMS.

See also Access Covenant RDAs 00471-000 and 00471-AOO.

Reason for creation: Records identified during agency review.

EVENT = Date the subdivision is re-platted, or access control is waived by WisDOT and other public bodies.

<u>00469000.</u>	<u>TRANS 233 LAND DIVISION REVIEW (SPECIAL EXCEPTIONS, VARIANCES) C/</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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For a few years (February 1999 thru January 2004) WisDOT had review authority for Certified Survey Maps (CSM), condominium plats, or any other type of land division adjacent to a STH to determine the impact on the state highway system. In these cases, DOA did not coordinate the review process. Wis. Admin. Code ch. Trans 233 was changed in 2004 and WisDOT review is now limited to subdivisions. Records in this series may include, but are not limited to, the following:

- Certified survey maps, deeds, condo plats (plat of surveys)
- Certified map, forms allowing special exceptions, variances, etc.
- Special exceptions - part of TRANS 233 files in regions, includes requests to modify access controls and to reduce the highway setback line

- Access Covenants. (See Access Covenant RDAs 00471-000 and 00471-AOO)
- Variances: 1999 - 2001, term for special exceptions prior to Trans 233 revision Appeals, requests for modifications to controls in place
- Final decisions

Paper records (including WisDOT memo of objection or non-objection) are retained for 10 years after they are imaged, verified and entered into the electronic system.

All electronic records are kept for 10 years after the date WisDOT controls are vacated.

EVENT = Date Paper records are imaged and verified and WisDOT controls are vacated.

<u>00470000.</u>	<u>ASSESSOR'S PLAT REVIEW CASE FILES - WIS DOT IMPACT</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Records in this series are Assessor's Plat reviews of lands that impact WisDOT transportation current or future projects. Assessor plats are authorized by Wis. Stats. § 70.27, and must conform to Wis. Stats. §§ 236.15 and 236.20. Wis. Stats. § 236.20 requires that exact widths of streets, easements and alleys be shown. Regional WisDOT staff provides information to surveyors such as access and setback information and correct right-of-way information (i.e., widths, bearings, distances, curves, etc.) to surveyors who create assessor's plats.

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

- Assessor's plat
- Correspondence from DOA Plat Review
- WisDOT review comment memo to DOA Plat Review

EVENT = Date the Assessor's plat is vacated or re-platted

<u>00470A00.</u>	<u>ASSESSOR'S PLAT REVIEW CASE FILES - NO WIS DOT IMPACT</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Records in this series document the Assessor Plat review in cases where the plat does not contain properties related to WisDOT highways or other transportation interests.

Records in this series may include but are not limited to:

- Assessor's plat
- Correspondence from DOA Plat Review
- Wis DOT review comment memo to DOA Plat Review

EVENT = Date of memo to DOA Plat Review

<u>00471000.</u>	<u>ACCESS COVENANTS - PAPER FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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An access covenant is used to control access in a location with neither an administrative nor acquired control. It is a legal agreement between a property owner and WisDOT to limit the number of access points a property may have on the state trunk highway system. Covenants can be stand-alone documents, negotiated under a permit or created in the course of subdivision reviews.

Records in this series may include but are not limited to:

- Access Covenants
- Access easements if applicable
- Related correspondence and negotiations related to covenants

EVENT = Date the documents are imaged and verified

<u>00471A00.</u>	<u>ACCESS COVENANTS - ELECTRONIC DOCUMENTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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WisDOT saves access covenants in the Highway Access Management system (HAMS), Oracle database.

An access covenant is used to control access in a location with neither an administrative nor acquired control. It is a legal agreement between a property owner and WisDOT to limit the number of access points a property may have on the state trunk highway system. Covenants can be stand-alone documents, negotiated under a permit or created in the course of subdivision reviews.

Records in this series may include but are not limited to:

- Access Covenants
- Access easements if applicable

Related correspondence and negotiations related to covenants.

EVENT = Date the Covenant is Terminated

<u>00473000.</u>	<u>MAINTENANCE AGREEMENTS - COUNTIES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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ANNUALLY, THE WISDOT NEGOTIATES AGREEMENTS WITH COUNTIES TO PERFORM STATE HIGHWAY MAINTENANCE FUNCTIONS IN THE PARTICULAR COUNTY. AGREEMENTS ORIGINATE IN THE HIGHWAY OPERATION REGION OFFICE.

RECORDS IN THIS SERIES COVER BOTH ROUTINE AND NON-ROUTINE MAINTENANCE PROJECTS:
 * ROUTINE MAINTENANCE AGREEMENTS (RMA): AGREEMENTS ARE RENEWED ON A CALENDAR YEAR BASIS, WITH A LUMP SUM OF FUNDS ALLOCATED TO PERFORM THE MAJORITY OF ROUTINE ROAD MAINTENANCE. RMA AGREEMENTS INCLUDE NON-INTERSTATE & INTERSTATE WORK FOR ROADWAYS, ROADSIDES, STRUCTURES AND WINTER MAINTENANCE. RMA PROJECTS ARE ROLLED OVER IN HMS AT THE END OF EACH YEAR FOR NEW BUDGET ALLOCATIONS THAT USE THE SAME FOS PROJECT ID'S.
 * DISCRETIONARY MAINTENANCE AGREEMENTS (DMA): WISDOT MAY PROVIDE DISCRETIONARY FUNDS FOR SPECIFIC PROJECTS AND LOCATIONS. DIFFERENT PROJECT ID'S ARE ASSIGNED ANNUALLY.
 * TRAFFIC MAINTENANCE AGREEMENTS (TMA): WISDOT USES THE TMA FOR PLANNED SIGN, PAVEMENT MARKING AND ELECTRICAL MAINTENANCE WORK.

REGIONS RECIEVE AND DISTRIBUTE COPIES OF ALL AGREEMENT. BHO HAS THE OFFICIAL COPY.

EVENT = YEAR END

<u>00473A00.</u>	<u>MAINTENANCE AGREEMENTS SUPPORTING DOCUMENTATION</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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EACH WISDOT REGION OFFICE MAINTAINS COPIES OF COUNTY MAINTENANCE AGREEMENTS, INCLUDING RMA'S, DMA'S, AND TMA'S. IN ADDITION TO AGREEMENTS, REGION FILES MAY ALSO INCLUDE:
 * CORRESPONDENCE RELATED TO ADMINISTERING AGREEMENTS AND REVIEW EXPENDITURES
 * INFORMATION ABOUT COUNTY PROJECTS AND MAINTENANCE NEEDS
 * NOTES AND BACKGROUND INFORMATION: METHODS USED TO PRIORITIZE SPECIFIC COUNTY PROJECTS, IDENTIFY DISCRETIONARY FUNDING PROJECTS, DETERMINE COUNTY ALLOCATION, AND EXPENDITURE JUSTIFICATIONS.

EVENT = YEAR END

<u>00474000.</u>	<u>HIGHWAY MAINTENANCE SYSTEM (HMS)</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
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THE HIGHWAY MAINTENANCE SYSTEM IS A MAINFRAME SYSTEM THAT CONTAINS EXPENDITURE DATA BY PROJECT AND ACTIVITY. IT IS A METHOD OF TRACKING COUNTY HIGHWAY MAINTENANCE ACTIVITIES AND MONITORING FUNDS ALLOCATED AND EXPENDED, AS WELL AS A TOOL FOR BUDGETING MAINTENANCE. REGION OFFICES KEY DATA FROM THE DETAILED INVOICES RECIEVED INTO THIS SYSTEM. HMS IS USED TO GENERATE ROUTINE, DISCRETIONARY AND TRAFFIC MAINTENANCE AGREEMENTS WITH COUNTIES, AND DATA FOR THE ANNUAL WORK PROGRAM (AWP) REPORT.

DATA IN HMS SYSTEM INCLUDES COUNTY BUDGETS AND INVOICED DATA AND THIS RECORD RECORD SERIES COVERS TRACKING DATA ABOUT HIGHWAY MAINTENANCE PROJECTS THAT NEEDS TO BE RETAINED FOR ONGOING ADMINISTRATIVE AND FINANCIAL TRACKING PURPOSES. DATA IN THIS RECORD SERIES INCLUDES PROJECT ID, ACTIVITY CODE, AND TOTAL MONTHLY EXPENDITURES.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

<u>00475000.</u>	<u>ANNUAL WORK PROGRAM (AWP) REPORT</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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THE HIGHWAY MAINTENANCE SYSTEM GENERATES DATA USED IN AN ANNUAL REPORT SUMMARIZING HIGHWAY MAINTENANCE PROGRAM ALLOCATIONS. WISDOT CHIEFS AND BHO PERSONNEL USE THE REPORT FOR BUDGET AND PLANNING PURPOSES. THE RPEORT IS GENERATED AND DISTRIBUTED IN PAPER FORMAT. THE STATE HIGHWAY MAINTENANCE ANNUAL WORK PROGRAM (AWP) FOR COUNTY SERVICES CONTAINS THE APPROVED COUNTY ROUTINE MAINTENANCE AGREEMENT (RMA) AMOUNTS FOR THE CURRENT CALENDAR YEAR COUNTY PROGRAM. DATA IN THE REPORT INCLUDES: SUMMARY, GRAPHICAL AND DETAIL INFORMATION OF PROJECT ESTIMATES BY HIGHWAY REGION BY COUNTY. SUMMARIES ARE ALSO PROVIDED TO IDENTIFY MAJOR COST ITEMS, AMOUNTS BUDGETED FOR INTERSTATE AND NON-INTERSTATE MAINTENANCE PROJECTS, AND SUBPROGRAMS BY MAJOR COST ITEMS.

<u>00476000.</u>	<u>HMS OUTPUT REPORTS</u>	<u>CR+0/1</u>	<u>DEST</u>	<u>N</u>
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VARIOUS STANDARD, ANNUAL AND OTHER SUMMARY REPORTS ARE GENERATED FROM THE HIGHWAY MAINTENANCE SYSTEM (HMS). REPORTS ARE USED FOR MONITORING AND SUMMARIZING COUNTY BUDGET DATA AND EXPENSES. REPORTS CAN BE PRODUCED TO PROJECT REMAINING EXPENSES; OBTAIN MONTH-BY-MONTH COUNTY INVOICE DATA; AND PROVIDE HISTORICAL PERSPECTIVES.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

<u>00476A00.</u>	<u>COUNTY HIGHWAY MAINTENANCE MONTHLY DETAIL INVOICE</u>	<u>CR+7</u>	<u>DEST</u>	<u>N</u>
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EACH COUNTY SENDS DETAILED MONTHLY INVOICES FOR COUNTY MAINTENANCE ACTIVITIES TO THE WISDOT REGION, WITH INFORMATION REQUIRED TO SUPPORT TOTAL AMOUNTS. DETAILED DATA INCLUDES:
 * LABOR COSTS; WORK PERFORMED, SALARY, PEOPLE HOURS, RATES, FRINGES;
 * EQUIPMENT AND MATERIALS USED TO MAINTAIN ROADS

* ADMINISTRATIVE COSTS
 * COPY OF THE COVER SHEET AS SUBMITTED TO BBS, DTM
 THE REGION MAINTAINS THIS RECORD IN CASE OF QUESTIONS OR AUDIT CONCERNS. RECORDS ARE FILED BY PROJECT ID#

00476B00.	<u>COUNTY MAINTENANCE MONTHLY INVOICE SUMMARY SHEET</u>	<u>CR+7</u>	<u>DEST</u>	<u>N</u>
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FOR EACH COUNTY MAINTENANCE INVOICE RECIEVED, REGIONS SEND ONLY THE SUMMARY COVER SHEET TO THE WISDOT BUREAU OF BUSINESS SERVICES (BBS). THE COVER SHEET IDENTIFIES COUNTY WORK PERFORMED AND INITIATES PAYMENT. THIS RECORD SERIES COVERS ONLY THE FRONT SHEET OF THE INVOICE AS SUBMITTED BY THE COUNTY, INCLUDING HIGHWAY PROJECT NUMBERS AND EXPENSES INCURRED, WITH PROJECT TOTALS. BBS MAINTAINS THE OFFICIAL COPY OF THE SUMMARY SHEET.

00477000.	<u>LEVEL OF SERVICE (LOS) ANNUAL DATA</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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LEVEL OF SERVICE IS AN ORALE BUDGETING TOOL FOR COUNTY HIGHWAY MAINTENANCE. THE LEVEL OF SERVICE (LOS) MODEL, IN CONJUNCTION WITH OTHER DATA SYSTEMS, IS USED TO CALCULATE AND ALLOCATE HIGHWAY ROUTINE MAINTENANCE FUNDS FOR COUNTIES ON A CALENDAR YEAR BASIS. THE LOS PROGRAM MANAGER CALCULATES THE TOTAL FUNDING ALLOCATION FOR EACH COUNTY, USING DATA EXTRACTED FROM OTHER SYSTEMS.

THIS RECORD SERIES COVER PAPER AND ELECTRONIC SUMMARY AND DETAIL DATA: LEVEL OF SERVICE DETAIL DATA IS USED TO CALCULATE COUNTY FUNDING ALLOCATIONS FOR ROUTINE MAINTENANCE EACH CALENDAR YEAR. THE LOS PROGRAM MANAGER CALCULATES THE TOTAL FUNDING ALLOCATION FOR EACH COUNTY, BASED ON THE SIZE AND SCOPE OF EACH COUNTY'S STATE MAITIANED FACILITIES. THE ALLOCATION AMOUNT IS PRORATED BASED ON AVAILABLE FUNDS FROM THE LEGISLATURE. REGIONS USE THE PRORATED FUNDING ALLOCATION TO DETERMINE MAINTENANCE DETAILS TO BE INCLUDED IN EACH COUNTY ROUTINE MAINTENANCE AGREEMENT (RMA). THE LOS PROGRAM MANAGER USES MS EXCEL TO PERFORM DATA ANALYSIS AND CALCULATE RATES FOR THE LOS MODEL. SOME OF THE DATA IS OBTAINED FROM THE OIS SYSTEMS LISTED BELOW.

- * MAINTENANCE MACHINERY MANAGEMENT SYSTEM (MMMS): CALCULATES RATES ANNUALLY FOR LOS MODEL. DATA COMES FROM THE COUNTY EQUIPMENT INVENTORY SYSTEM.
- * MAINTENANCE FACILITIES MANAGEMENT (MFM). THIS ORACLE SYSTEM FEEDS INTO LOS SYSTEM. REGION OFFICE STAFF ENTERS DATA.
- * MATERIAL MANAGEMENT SYSTEM (MAMS): CURRENT COST RATES FOR MATERIALS USED ON THE STATE SYSTEM

THE LOS PROGRAM MANAGER MAINTAINS MS EXCEL BACKGROUND SHEETS AND LOS DETAILED CALCULATIONS DATA IN AN ELECTRONIC FORMAT. WHEN BUDGET ALLOCATIONS ARE COMPLETE, THE REGION COUNTIES RECIEVE AN EMAIL MESSAGE FROM THE LOS PROGRAM MANAGER WITH ATTACHED FUNDING ALLOCATION AMOUNTS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

00477A00.	<u>LOS ANNUAL BINDER</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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THE LOS PROGRAM MANAGER MAINTAINS A BINDER (PAPER) WITH ANNUAL SUMMARY LOS DATA. THE BINDER CONTAINS

- * 2 YEAR FACILITY COMPARISON REPORT
- * REIMBURSABLE COSTS
- * LABOR RATES FOR CURRENT YEAR AND PREVIOUS YEAR
- * FINAL BUDGET ALLOCATION

THE PROGRAM MANAGER CREATES THE LOS MODEL AND COMPLETES THE BUDGET ALLOCATION PROCESS. THE BINDER CONTAINS MS EXCEL SPREADSHEETS WITH PREVIOUS YEAR BUDGET AMOUNTS, PLUS ADJUSTMENTS AT PREVIOUS YEAR RATES. FUNDING FOR NEW CHANGES TO THE COUNTY TRANSPORTATION FACILITIES IS ALLOCATED FIRST.

THE BINDER AND LOS DETAIL DATA PROVIDE BACKGROUND AND DOCUMENTATION TO SUPPORT LOS ANNUAL ALLOCATION AMOUNTS. THIS RECOORDS SERIES ALSO ADMINSTRATIVE AND STATISTICAL INFORMATION AND MAY BE USED TO SUPPORT FUNDING COMPARISONS; TRACK COST FACTORS; IDENTIFY MAINTENANCE ISSUES; MONITOR BUDGETS; AND PLAN FOR THE FUTURE.

00477B00.	<u>LOS ANNUAL ROUTINE CORRESPONDENCE & WORK PAPERS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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RECORDS IN THIS SERIES ARE BACKGROUND LOS MATERIALS THAT HAVE LIMITED, SHORT-TERM REFERENCE VALUE TO DEVEOP THE LOS MODEL. RECORDS MAY INCLUDE:

- * WORK PLANS, TIME LINES, STATUS REPORTS, SCHEDULES, ETC.
- * HANDWRITTEN NOTES, MESSAGES, CORRESPONDENCE INCLUDING COMMUNICATIONS BETWEEN REGION PERSONNEL AND CONSULTANTS OR OTHER INTERESTED PARTIES

WORK PAPERS HAVE REFERENCE VALUE ONLY UNTIL THE ANNUAL LOS ALLOCATION IS FINALIZED.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC

RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = ANNUAL LOS ALLOCATION FINALIZED

00478000.	<u>HIGHWAY MAINTENANCE AGREEMENT CLASSIFICATION REQUEST</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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WISDOT REIMBURSES COUNTIES FOR USE OF MAINTENANCE MACHINERY ON STATE RAODS. COUNTIES SUBMIT DT1644 FORMS TO THE PROGRAM MANAGEMENT SECTION, BHO IDENTIFYING EACH PIECE OF MACHINERY. BHO PERSONNEL DETERMINE THE REIMBURSEMENT RATE. COUNTIES AND THE WISDOT APPROVE IT, AND THE FORM PROVIDES BASE DATA FOR THE COUNTY EQUIPMENT INVENTORY SYSTEM. RECORDS IN THIS SERIES INCLUDE:

- * DT1644 FORMS DESCRIBING THE PIECE OF MACHINERY OR EQUIPMENT
- * PHOTOS OF CLASSIFIED MACHINERY, PRODUCT LITERATURE OR SIGNIFICANT CORRESPONDENCE WITH THE COUNTY, I.E. NOTIFYING THE COUNTY OF AMENDED RATES OR CLASSIFICATION CHANGES

MAINTENANCE MACHINERY CLASSIFICATION AGREEMENTS ARE NEGOTIATED VIA EMAIL, WITH COMPLETED FORM ATTACHED IN MSWORD. THE OFFICIAL RECORD IS SAVED IN EMAIL FORMAT WITH METADATA AND ATTACHED DOCUMENTS AND MANAGED BY BUREAU OF HIGHWAYS PROGRAM MANAGEMENT PERSONNEL IN CONSULTATION WITH THE WISDOT POSTMASTER.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = OBSOLETE OR SUPERSEDE BY UPDATED AGREEMENT

00479000.	<u>EQUIPMENT STORAGE REPORTS</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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THE BUREAU OF HIGHWAY OPERATIONS IDENTIFIES THE PERCENTAGE SHARE OF COSTS FOR EQUIPMENT USED ON STATE HIGHWAYS AND PREPARES EQUIPMENT STORAGE REPORTS. CHAPTER 5., HIGHWAY MAINTENANCE MANUAL SPECIFIES COUNTY REPORTING AND REIMBURSEMENT PROCEDURES. THE BHO PROGRAM MANAGEMENT SECTION GENERATES REPORTS FOR CURRENT REIMBURSEMENT (CURRENTLY IN MS EXCEL).

00480000.	<u>COUNTY EQUIPMENT INVENTORY DATA</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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THE WISDOT AUDITOR, DTIM, TRACKS EQUIPMENT OPERATIONAL COSTS TO MAINTAIN STATE ROADS FOR 71 COUNTIES, NOT INCLUDING MILWAUKEECOUNTY, TO USE 28,000 PIECES OF EQUIPMENT. COUNTY EQUIPMENT INVENTORY DATA IS CURRENTLY MAINTAINED IN A LEGACY STANDALONE MAINFRAME SYSTEM.

BASE INVENTORY DATA FOR EACH PIECE OF EQUIPMENT COMES FROM THE HIGHWAY MAINTENANCE EQUIPMENT CLASSIFICATION AGREEMENT AND INCLUDES: EQUIPMENT MODEL, BRAND, TYPE, CLASSIFICATION, AND COUNTY.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = LIFE OF EQUIPMENT

00481000.	<u>COUNTY HIGHWAY MACHINERY FINANCIAL ANNUAL REPORTS - PAPER & E</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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PER S. 83.01(7)(C), WIS STATS WISCONSIN COUNTIES ARE REQUIRED TO REPORT MACHINERY TOTAL COSTS AND UTILIZATION FOR EVERY PIECE OF MAINTENANCE EQUIPMENT USED ANNUALLY. COUNTIES PROVIDE DATA ON PAPER FORMS OR SUBMITDATA ELECTRONICALLY BY MAY 1. WISDOT CONTRACTS WITH A DATA ENTRY SERVICE TO KEY IN DATA FROM PAPER REPORTS AND LOADS ALL REPORTED DATA INTO COUNTY EQUIPMENT INVENTORY SYSTEM.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = DATA ENTRY, QC, AND UPLOADED TO COUNTY EQUIPMENT INVENTORY SYSTEM.

00482000.	<u>MACHINERY COSTS FOR YEAR STATEWIDE DETAIL WORKSHEETS</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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RECORDS IN THIS SERIES COVER RECORDS THAT THE DTIM AUDITOR USES TO ESTABLISH MACHINERY RATE SCHEDULES FOR COUNTIES USE. RECORDS USED INCLUDE THE FOLLOWING:

- * COUNTIES PROVIDE A SUMMARY REPORT "OPERATION OF MACHINERY & EQUIPMENT - COUNTY SUMMARY ANNUAL DATA" OF THE TOTAL COUNTY MACHINAERY AND EQUIPMENT COSTS BY MAY 1 ANNUALLY AND A SERIES OF OTHER MACHINERY DETAIL REPORTS.
- * THE DTIM AUDITOR COMPILES VARIOUS DETAILED OUTPUT REPORTS FROM COUNTIES ELECTRONICALLY; IDENTIFIES PRICE TREND INFORMATION, CHANGE IN COST FACTORS, ETC.; AND PERFORMS CALCULATIONS. THE DTM AUDITOR ALSO ROLLS DATA FROM EACH COUNTY SUMMARY REPORT INTO THE EQUIPMENT RATE FORMULA TO PRODUCE

VARIOUS SCHEDULES CONTAINED IN THE MACHINERY COSTS FOR ANNUAL EQUIPMENT RATE BOOK.

DATA IS USED TO SET RATE BOOK SCHEDULES FOR 2 YEARS IN ADVANCE OF IMPLEMENTATION. SUMMARY DATA FROM EACH COUNTY SUPPORTS THE FIVE-YEAR ROLLING AVERAGE DATA FOR SETTING REIMBURSEMENT RATES.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

<u>00482A00.</u>	<u>COUNTY HIGHWAY EXPENDITURE MICROCOMPUTER SYSTEM (CHEMS)</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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CHEMS IS AN ELECTRONIC DATABASE THAT COUNTIES MAY USE TO TRACK HIGHWAY MAINTENANCE ACTIVITIES, SHARE EXPERTISE AND RESOURCES AND REPORT TO THE WISDOT. THE DEPARTMENT PLANS TO UPGRADE THE SYSTEM, BEGINNING IN LATE 2008 WITH CHEMS-PRO. COUNTY HIGHWAY DEPARTMENTS USE CHEMS TO TRACK HIGHWAY MAINTENANCE COSTS. WISDOT DESIGNS AND SUPPORTS CHEMS SOFTWARE AND PROVIDES IT TO COUNTY HIGHWAY DEPARTMENTS THAT ENROLL IN THE CHEMS PROGRAM. DATA IN THIS RECORD SERIES COVERS DETAILED COUNTY HIGHWAY MAINTENANCE ACTIVITY AND EXPENDITURE DETAIL DATA ENTERED INTO CHEMS AND USED TO TRACK MACHINERY DETAILED USAGE AND EXPENDITURES. CURRENTLY THE SYSTEM GENERATES MONTHLY EQUIPMENT USAGE INVOICES AND SENDS THEM IN PAPER FORMAT TO WISDOT REGIONS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

<u>00483000.</u>	<u>MACHINERY COSTS FOR YEAR EQUIPMENT RATE BOOK</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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THE DTIM AUDITOR DEVELOPS SCHEDULES THAT SUPPORT WISOT REIMBURSED RATES PRESENTED TO THE MACHINERY MANAGEMENT COMMITTEE ANNUALLY. THE HIGHWAY MAINTENANCE MANUAL CHAPTER 5.00 SPECIFIES METHODOLOGY TO DETERMINE REIMBURSEMENT RATES FOR USE OF VARIOUS TYPES OF MACHINERY. THE DTIM AUDITOR REVIEWS EQUIPMENT COSTS AND USAGE DATA SUPPLIED BY EACH COUNTY; GENERATES AVERAGE DATA OVER A FIVE-YEAR PERIOD; AND COMPUTES REIMBURSEMENT RATES BY CLASS OF EQUIPMENT. RATES ARE SET FOR TWO YEARS IN ADVANCE AND CALCULATED ON 5-YEAR ROLLING AVERAGE COST BASE, WITH ALLOWANCE FOR INFLATION FACTORS. FOR EXAMPLE, 2008 RATES WERE BASED ON 2002 - 2006 AVERAGE COSTS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

<u>00484000.</u>	<u>MACHINERY EQUIPMENT SURVEY CASE FILES WORKING PAPERS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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THE MACHINERY MANAGEMENT COMMITTEE UNDERTAKES AD HOC SURVEYS OF MACHINERY COSTS. WORKING PAPERS INCLUDE:

- * PRODUCT LITERATURE, REVIEW AND ASSESSMENTS
- * PRICE TREND INFORMATION
- * INFLATION AND CHANGES IN COST FACTORS
- * STUDY OF RATES CHARGED
- * PHOTOS OF EQUIPMENT
- * SAS OR OTHER AD HOC OUTPUT REPORTS OF USAGE COSTS, STORAGE, MAINTENANCE, ETC.

CHAPTER 5 IDENTIFIES THE TYPES OF COUNTIES SURVEYS THAT WISDOT CONDUCTS TO IMPROVE EQUIPMENT DATA, CONTAIN OR REDUCE ACTUAL COSTS, AND PLAN EQUIPMENT EXPENDITURES.

EVENT = SURVEY REPORT COMPLETED

<u>00485000.</u>	<u>MACHINERY MANAGEMENT COMMITTEE</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
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THE MACHINERY MANAGEMENT COMMITTEE CONSISTS OF WISDOT AND COUNTY HIGHWAY COMMISSIONERS OR THEIR REPRESENTATIVES. THE PRIMARY PURPOSE IS TO ADDRESS HIGHWAY COST CONSIDERATIONS, REIMBURSEMENT METHODOLOGIES, AND COORDINATION OF EFFORT. RECORDS IN THIS SERIES INCLUDE:

- * MONTHLY MEETING AGENDAS
- * MEETING MINUTES
- * MACHINERY SURVEY FINAL REPORTS
- * REIMBURSEMENT RATES, INCLUDING COST FACTORS, CLASSIFICATION AND RATES
- * ISSUES AND DISCUSSION ITEMS.

<u>00486000.</u>	<u>ROSTER OF ELIGIBLE ENGINEERING CONSULTANTS REPORT</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT CREATES A ROSTER OF ELIGIBLE ENGINEERING CONSULTANT FIRMS SEEKING PRIME CONTRACTS IN CONSTRUCTION AND DESIGN ENGINEERING. CONSULTANTS SUBMIT ELECTRONIC FILES (USUALLY MSWORD) AND THE CONTRACT ADMINISTRATION UNIT, AUDIT AND CONTRACT ADMINISTRATION SECTION, DIVISION OF TRANSPORTATION INVESTMENT MANAGEMENT (DTIM) ENTERS DATA INTO THE CONSULTANT CONTRACT DATABASE, CURRENTLY IN MS ACCESS. ONLY FIRMS ON THE ROSTER MAY APPLY FOR "ROSTER" PROJECT ADVERTISEMENTS IN DESIGN AND RELATED

SERVICES SOLICITATIONS, INCLUDING QUARTERLY AND SPECIAL SOLICITATIONS. FIRMS MUST ALSO BE ON THE ROSTER TO PARTICIPATE IN DESIGN OPPORTUNITY DAYS (HELD EACH SPRING, ADVERTISED WITH THE FEBRUARY QUARTERLY) OR THE ANNUAL CONSTRUCTION INTERVIEWS (HELD EACH FALL TO HELP AWARD CONTRACTS FOR THE FOLLOWING SEASON).

ROSTER DATA INCLUDES:

- ALPHABETICAL LISTING OF ALL REGISTERED CONSULTANTS WITHOUT RANKING
- CONTACT INFORMATION AND TYPE OF SERVICES OFFERED BY FIRM FOR WISCONSIN AND OTHER SELECTED OFFICES

THE ROSTER INCORPORATES INFORMATION AS SUBMITTED BY FIRMS ON THE CONSULTANT REPORT FORM, DT 1538. WISDOT REGIONS AND LOCAL UNITS OF GOVERNMENT USE THE ROSTER DURING THE CONSULTANT CONTRACTOR SELECTION PROCESS AS DESCRIBED IN THE DEPARTMENT'S FACILITIES DEVELOPMENT MANUAL THE ROSTER IS UPDATED TWICE MONTHLY AND POSTED ON THE WISDOT DOT NET WEB PAGE IN .PDF FORMAT. THE DATA RECORD IS ALSO MAINTAINED IN WORD PROCESSING FORMAT ON A DTIM FILM SERVICE SHARED DRIVE.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) ADN [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: EVENT (LAST ANNUAL SUBMITTAL DATE) + 10 YEARS AND DESTROY CONFIDENTIAL

00487000.	<u>DESIGN ENGINEERING CONSULTANT CONTRACT - HIGHWAY PROJECT</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT CONTRACTS WITH ENGINEERING CONSULTANTS FOR HIGHWAY DESIGN ENGINEERING AND RELATED SERVICES, UNDER CHAPTER 84.01 (13), WIS. STATS. AND PER POLICIES SPECIFIED IN FACILITIES DEVELOPMENT MANUAL (FDM) CHAPTER 8: CONSULTANT SERVICES. THE REGION PROJECT MANAGER OR DESIGN ENGINEER OVERSEES THE CONTRACTUAL PROCESS; ADMINISTERS THE DESIGN CONTRACT AND MONITORS COMPLIANCE. THE BUREAU OF STATE HIGHWAY PROGRAMS (BSHP), DTIM PROVIDES AUDIT AND CONTRACT ADMINISTRATIVE SUPPORT. THIS RECORD SERIES COVERS THE WISDOT SIGNED CONTRACT AWARDED FOR AN ENGINEERING CONSULTANT TO DESIGN A HIGHWAY IMPROVEMENT PROJECT. THE CONTRACT ADMINISTRATION UNIT, BUREAU OF STATE HIGHWAY PROGRAMS (BSHP), DTIM, ROUTES THE SIGNED ORIGINAL AND SUBSEQUENT AMENDMENTS TO CENTRAL FILES. SERIES INCLUDES:

- CONSULTANT CONTRACT COST ESTIMATE WORKBOOK, INCLUDING CONCEPT DEFINITION REPORT
- FORMS THAT SUMMARIZE CONTRACT SCOPE: SUMMARY SCOPING CHECKLIST-DESIGN. FORMS THAT SUMMARIZE CONTRACT SCOPE: SUMMARY SCOPING CHECKLIST-DESIGN SMALL PURCHASE, SOLE SOURCE & STATE TRUNK DESIGN/RELATED SERVICES (DT 1671)
- PROJECT REVISION REQUEST
- AMENDMENT SUBMITTAL CHECKLIST
- CONSULTANT SELECTION APPROVAL FORMS, SIGNED DURING SELECTION PROCESS: LOCAL DESIGN DRAFT DT25 FORM
- RECOMMENDATION TO GOVERNOR FOR CONTRACT AND BOND APPROVAL (NOT REQUIRED FOR CONTRACTS UNDER \$3,000)
- AWARDED CONTRACT, AMENDMENTS, IDENTIFYING TERMS AND CONDITIONS OF THE CONTRACTUAL AGREEMENT, COSTS AND DELIVERABLES - INCLUDES INDIVIDUAL PROJECT CONTRACTS AND MASTER CONTRACTS (APPLY TO MORE THAN ONE CONTRACT) AND WORK ORDERS (USED TO SPECIFY TERMS AND CONDITIONS RELATED TO A PARTICULAR DESIGN PROJECT). THESE MAY BE USED TO DESIGN BRIDGES, HIGHWAY FACILITIES, ETC.

THIS RECORDS SERIES INCLUDES ONLY THE DESIGN ENGINEERING CONSULTANT CONTRACT AND NOT THE LARGER HIGHWAY DESIGN PROJECT FILE (AS DESCRIBED IN OLD RDAS 410 AND 430). WISDOT MAINTAINS THE HIGHWAY DESIGN CONTRACT AND DELIVERABLES BEYOND THE COMPLETION OF THE DESIGN CONTRACTUAL AGREEMENT, THROUGH THE HIGHWAY CONSTRUCTION PROCESS (CONTRACTED UNDER S. 84.06 (3) AND (4), WIS. STATS.). THE DESIGN CONTRACT AND RELATED RECORDS HAVE ONGOING VALUE UNTIL THE TRANSPORTATION PROJECT IS COMPLETED, FOR POST LETTING DESIGN WORK, ADMINISTRATIVE REFERENCE PURPOSES; AND PROJECT OVERSIGHT.

RETENTION: EVENT (FINAL PROJECT COST STATEMENT) + 6 YEARS AND DESTROY CONFIDENTIAL

00488000.	<u>DESIGN ENGINEERING CONSULTANT MASTER CONTRACT - HIGHWAY PRO.</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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MASTER CONTRACTS ARE AGREEMENTS BETWEEN WISDOT AND CONSULTANTS TO PROVIDE SPECIFIED ENGINEERING AND RELATED SERVICES DURING A GIVEN PERIOD OF TIME AS AUTHORIZED UNDER WISCONSIN STATUTES S. 84.01(13). EACH MASTER CONTRACT SPECIFIES AN ASSOCIATED MAXIMUM AMOUNT OF WORK BUT NO GUARANTEE OF A MINIMUM AMOUNT OF WORK. PAYMENTS TO CONSULTANTS OCCUR WHEN PROJECT-SPECIFIC AGREEMENTS (WORK ORDERS) ARE EXECUTED. THE FACILITIES DEVELOPMENT MANUAL FDM 8-5-30 DETAILS POLICIES RELATED TO MASTER CONTRACTS. THIS RECORD SERIES COVERS THE WISDOT MASTER CONTRACT AWARDED FOR AN ENGINEERING CONSULTANT FIRM TO DESIGN HIGHWAY IMPROVEMENT PROJECTS UNDER WORK ORDERS, INCLUDING:

- FULL SERVICE ENGINEERING MASTER CONTRACTS: WORK ORDERS MAY BE ISSUED TO PERFORM FULL SCOPE DESIGN OR CONSTRUCTION ENGINEERING SERVICES ON A PROJECT OR JUST A SMALL TASK OR SUBPART OF THE WORK ON THE PROJECT. REGIONS AND STATEWIDE BUREAUS ARE RESPONSIBLE FOR MONITORING FULL SERVICE MASTER CONTRACT USAGE TO INSURE WORK ORDERS ARE NOT ISSUED IN EXCESS OF THE DESIGNATED AMOUNT OF THE MASTER CONTRACT GROUP. THE CONTRACT ADMINISTRATION UNIT ACCOUNT FOR WORK ORDERS ISSUED UNDER MASTER CONTRACTS.
- STATEWIDE SPECIALTY MASTER CONTRACTS: STATEWIDE SPECIALTY MASTER CONTRACTS ARE USED FOR THOSE ACTIVITIES MANAGED BY DTSD STATEWIDE BUREAUS SUCH AS PHOTOGRAMMETRY, HAZARDOUS MATERIALS REMEDIATION, AND LANDSCAPE ARCHITECTURE. DTSD CENTRAL OFFICE BUREAUS MANAGE THEIR MASTER CONTRACTS AND COORDINATE THE ISSUANCE OF WORK ORDERS FOR IMPROVEMENT PROJECTS OTHERWISE MANAGED BY REGION OFFICES.

REGION SPECIALTY MASTER CONTRACTS: REGION SPECIALTY MASTER CONTRACTS ARE USED FOR REGION ACTIVITIES MORE SPECIFICALLY DEFINED THAN THE BROAD SCOPE OF SERVICES ALLOWED UNDER THEIR FULL SERVICE MASTER CONTRACTS. REGION SPECIALTY MASTER CONTRACTS ARE MANAGED INTERNALLY AND MAY NOT BE USED FOR WORK OUTSIDE OF THE REGION. WHERE APPROPRIATE, MULTIPLE REGIONS MAY ENTER INTO JOINT SPECIALTY MASTER CONTRACTS.

THE REGION PROJECT MANAGER OR DESIGN ENGINEER OVERSEES THE CONTRACTUAL PROCESS; ADMINISTERS THE DESIGN CONTRACT AND MONITORS COMPLIANCE. THE BUREAU OF STATE HIGHWAY PROGRAMS (BSHP), DTIM PROVIDES AUDIT AND CONTRACT ADMINISTRATIVE SUPPORT. THE CONTRACT ADMINISTRATION UNIT, BUREAU OF STATE HIGHWAY PROGRAMS (BSHP), DTIM, ROUTES THE SIGNED ORIGINAL AND SUBSEQUENT AMENDMENTS TO CENTRAL FILES.

RETENTION: EVENT (FINAL PROJECT COST STATEMENT - ALL PROJECTS RELATED TO THE MASTER CONTRACT) + 6 YEARS AND DESTROY CONFIDENTIAL

00489000.	<u>DESIGN ENGINEERING CONSULTANT WORK ORDERS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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MASTER CONTRACT WORK ORDER DOCUMENTS ARE PROJECT- SPECIFIC AGREEMENTS THAT WISDOT EXECUTES WITH ENGINEERING DESIGN CONSULTANTS THAT HAVE APPROVED MASTER CONTRACTS TO PROVIDE SPECIFIED ENGINEERING AND RELATED SERVICES DURING A GIVEN PERIOD OF TIME AS AUTHORIZED UNDER WISCONSIN STATUTES S. 84.01(13) AND AS SPECIFIED IN AS SPECIFIED IN FDM 8-15-1.. WORK ORDER RECORDS ARE FILED BY THE DESIGN PROJECT NUMBER AND INCLUDE:

- COVER/SIGNATURE PAGE
- CONTRACT/WORK ORDER SUBMITTAL CHECKLIST
- SPECIAL PROVISIONS: WORKS ORDERS NEED TO CORRECTLY REFERENCE THE DATE OF CURRENT BOILERPLATE VERSION AND ALSO CORRECTLY REFERENCE THE BOILERPLATE LANGUAGE BEING CHANGED, REPLACED OR DELETED. FDM 8-20-1 DETAILS INFORMATION ON SPECIAL PROVISIONS.
- OTHER REQUIRED SUPPORTING DOCUMENTS REQUIRED - SAME AS FOR STANDARDS ENGINEERING DESIGN CONSULTANT CONTRACTS AND LISTED IN THE CONTRACT/WORK ORDER SUBMITTAL CHECKLIST.

THE CONTRACT ADMINISTRATION UNIT, BUREAU OF STATE HIGHWAY PROGRAMS (BSHP), DTIM, ROUTES THE SIGNED ORIGINAL WORK ORDER AND SUBSEQUENT AMENDMENTS TO CENTRAL FILES.

RETENTION: EVENT (FINAL PROJECT COST STATEMENT) + 6 YEARS AND DESTROY CONFIDENTIAL

00490000.	<u>CONSULTANT DATABASE MASTER DATA</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THIS TRACKING AND TRANSACTION DATABASE, CURRENTLY IN MS ACCESS 2000, IS USED TO CREATE REPORTS THAT MAY BE SENT TO FIRMS AND IT IS USED TO GENERATE A LISTING OF E-MAIL ADDRESSES THAT ARE USED TO SEND NOTICES TO FIRMS. CONTRACT DATA INCLUDES:

- PROJECT INFORMATION (CONTRACT ENTRY FORM SCREEN): PROJECT DETAIL; PROJECT COST; PROJECT APPROVAL PROCESS; AND PROJECT EVALUATION
- CONSULTANT PROJECT INFORMATION (CONTRACT ENTRY SUB-FORM SCREEN). CONSULT DATA INCLUDES INFORMATION ON COST, LABOR HOURS, AND SCOPE OF CONTRACTS, AS WELL AS THEIR AMENDMENTS AND SUBCONTRACTS. DATA INCLUDES PROJECT DETAIL, DATE AUTHORIZED TO BEGIN AND CLOSE DATES AND REFLECTS THE COMPLEX NATURE OF CONSULTANT CONTRACTS.
- *AMENDMENTS
- *SUBCONTRACT & SUBCONTRACT ON AMENDMENTS
- *REVISIONS
- *HOURS/DOLLARS
- *"IF AUTHORIZED" WORK
- DT25 SUMMARY LOG DATA: VENDOR NAME, DOLLAR AMOUNT, TYPE OF PROJECT AND REASON FOR THE WORK.

THE AUDIT AND CONTRACT ADMINISTRATION SECTION, DTIM OR BPD, CENTRAL OFFICE IS SOLELY RESPONSIBLE FOR ENTERING AND EDITING CONTRACT INFORMATION CONSISTENTLY IN THE CONSULTANT DATABASE. ONLY CONTRACT DEVELOPMENT PERSONNEL ARE AUTHORIZED TO MAKE CHANGES, AND NO DATA IS DIRECTLY IMPORTED FROM ANY OF THE DEPARTMENT'S FINANCIAL SYSTEMS. COPIES OF THE APPLICATION ARE DISTRIBUTED TO REGION OFFICE SERVICES AND PLACED ON A DRIVE ACCESSIBLE FOR ALL CENTRAL OFFICE STAFF. DATA IS CONTINUOUSLY UPDATED THROUGHOUT THE DESIGN PROJECT.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: EVENT (CONTRACT CLOSE AND PROJECT COMPLETION) + 10 YEARS AND DESTROY.

00491000.	<u>CONSULTANT DATABASE STANDARD OUTPUTS AND REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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THE CONSULTANT DATABASE (MS ACCESS) FACILITATES WISDOT'S CONSULTANT CONTRACTING PROCESS, INCLUDING NOTICES AND OTHER COMMUNICATIONS WITH INTERESTED CONSULTING FIRMS, EVALUATIONS, DBE CONTRACT MONITORING, REPORTS TO MANAGEMENT AND TRACKING OF ESTIMATED AND INVOICED PAYMENTS. EXAMPLES OF REPORTS INCLUDE:

- ROSTER - SEE RDA ABOVE.
- MAILING LABELS AND MAIL MERGES; FIRM E-MAIL DISTRIBUTION LISTS
- CONSULTANT LABOR HOUR/COST ESTIMATE REPORTS
- OTHER CONTRACT COST DATA
- DT 25 FORMS AND CONTRACT APPROVAL REPORT

-MASTER CONTRACT BALANCES - CLOSE OF CONTRACT INCLUDING ALL WORK ORDERS
 -EVALUATION COPIES/REPORTS - 10 YEAR - CONTRACT AND NOI = OPEN RECORD
 -DBE REPORTING - COVERED IN DBE RDAS.
 -CONSULTANT BUDGET REPORTS
 -NEGOTIATION/SELECTION DATA
 -INQUIRIES/UPDATES OF CONTRACT ENCUMBRANCES
 -CONTRACT ESTIMATES VS. INVOICED PAYMENTS
 -NOTICE OF INTEREST SUBMITTALS
 -NEGOTIATION/SELECTION/DT25 REPORTS
 -NEGOTIATION/SELECTION REPORTS
 -DT25 APPROVAL INFORMATION
 -BUDGET/MASTER CONTRACT/MISCELLANEAOUS REPORTS
 -BUDGET REPORTS
 -MASTER CONTRACT/WORK ORDER REPORTS
 -MISCELLANEAOUS REPORTS
 -AMENDMENT/DBE/WORKLOAD REPORTS
 -AMENDMENT DATA
 -DBE INFORMATION
 -CONSULTANT WORKLOAD REPORTS
 THE MAJORITY OF OUPUTS AND REPORTS MAY BE REGENERATED FROM THE DATABASE THROUGHOUT THE CONTRACTUAL PERIOD. PAPER REPORTS GENERATED HAVE LITTLE OR NO RETENTION VALUE AND DO NOT NEED TO BE MAINTAINED.
 RETENTION: EVENT (CLOSED - REFERENCE NEED MET) AND DESTROY CONFIDENTIAL

00492000.	<u>NOI AND SELECTION CASE FILES: DESIGN AND CONSTRUCTION ENGINEER</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORDS SERIES DOCUMENTS WISDOT COMPLIANCE WITH FEDERAL AND STATE PROCEDURES TO SELECT ENGINEERING CONSULTANTS FOR DESIGN AND CONSTRUCTION PROJECTS. BASED ON THIS PROCESS, FIRMS MAY BE AWARDED ONE, NONE OR SEVERAL ENGINEERING PROJECT CONTRACTS. RECORDS COVER ALL FIRMS PARTICIPATING IN THE PARTICULAR PROJECT SELECTION SOLICITATION PERIOD, INCLUDING MASTER CONTRACTS ADVERTISED AS "OPEN TO ALL FIRMS," (CONSULTANTS ARE NOT REQUIRED TO APPLY FOR INCLUSION ON THE ROSTER OF ELIGIBLE ENGINEERING CONSULTANTS).
 WISDOT ASKS FOR CONSULTANTS INTEREST IN STATE HIGHWAY AND STRUCTURE DESIGN PROJECTS (FULL SERVICE DESIGN ENGINEERING MASTER CONTRACTS) EVERY OTHER YEAR IN THE SPRING. CONTRACT TYPES INCLUDE:
 -FULL-SERVICE - CAN BE USED FOR AN ENTIRE CONSTRUCTION OR DESIGN ENGINEERING EFFORT OR FOR CERTAIN INDIVIDUAL SERVICES WITHIN THAT EFFORT. CONTRACTS ARE FOR 2-YEAR PERIODS.
 -SPECIALTY - FOR ONE TYPE OF SERVICE: INSTEAD OF SOLICITING FOR INTEREST ON INDIVIDUAL PROJECTS, THE WISDOT ADVERTISES FOR SPECIALTY SERVICE MASTER CONTRACTS TO BE USED ON AN AS-NEEDED BASIS FOR A GIVEN PERIOD OF TIME (USUALLY ONE OR TWO YEARS) TO COVER A TYPE OF WORK STATEWIDE OR IN A PARTICULAR REGION, FOR SPECIALIZED NON-ENGINEERING SERVICES THAT MAY BE COVERED UNDER S. 84.01(13), WIS. STATS., INCLUDING SURVEYING, ENVIRONMENTAL/HAZARDOUS MATERIALS WORK; LANDSCAPE ARCHITECTURE; HISTORIC PRESERVATION; AND PLANNING STUDIES FOR ALL MODES OF TRAVEL.

RECORDS COVER THE FOLLOWING STEPS IN THE CONTRACT SELECTION PROCESS.
 -CONSTRUCTION PROJECTS AND FULL-SERVICE CONSTRUCTION MASTER CONTRACTS ARE ADVERTISED ANNUALLY IN THE FALL AND ALSO INCLUDE UPCOMING SCHEDULE OF ADVERTISEMENTS, WEB PUBLICATION NOTIFICATION, ADVERTISEMENTS, AND REGIONAL AND STATEWIDE INFORMATIONAL PACKAGES.
 -QUARTERLY DESIGN AND PLANNING SOLICITATIONS. THE SOLICITATIONS LIST INFORMATION ON PROJECT PURPOSE AND NEED, PROJECT DESCRIPTION, DELIVERABLES, SCHEDULE FOR DELIVERABLES, DEPARTMENT PROVIDES (OFFICE SPACE WORK AREA, OFFICE FURNITURE AND EQUIPMENT, ETC.), CONSULTANT REQUIREMENTS, SPECIAL SKILLS AND EXPECTATIONS, AND INTERVIEW DATES. MAY ALSO INCLUDE SPECIAL SOLICITATION TO ADVERTISE A PROJECT NOT INCLUDED IN QUARTERLY ADVERTISEMENTS.
 -NOI NOTICE OF INTEREST FORM DT1818 SUBMITTED BY CONSULTANTS TO THE WISDOT EXPLAINING THEIR QUALIFICATIONS FOR EACH PROJECT IN WHICH THEY HAVE INTEREST. CONSULTANT QUALIFICATIONS, INCLUDING PROFESSIONAL CERTIFICATION AND LICENSE INFORMATION AND OTHER MATERIALS USED TO EVALUATE INTERESTED FIRMS.
 -CONSULTANT INTERVIEW MATERIALS: WISDOT HOLD OPPORTUNITY DAYS, INCLUDING FIRM PRESENTATIONS AND QUESTION/ANSWER SESSIONS. FIRMS SPECIFY PROJECT PACKAGES OF INTEREST; CONSTRUCTION STAFF EXPERIENCE BY PROJECT TYPE (I.E. URBAN, RURAL, MULTI-LANE, RESURFACE, RECONDITION, RECONSTRUCT, INTERSTATE); STAFF AVAILABILITY, INCLUDING OFFICE LOCATIONS AND EXISTING COMMITMENTS TO OTHER DISTRICTS OR PROJECTS; MATERIAL TESTING CAPABILITIES, CERTIFICATIONS AND EXPERIENCE WITH FIELD MANAGER; STAFF AVAILABILITY FOR FULL SERVICE MASTER CONTRADCT BY REGION(S); AND HOW THE FIRM WILL MEET DBE CONTRACT GOAL.
 -WISDOT CONSULTANT RATINGS

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFROMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 PER 23 CFR 172 AND 49 CFR 18.42, SELECTION PROCESS AND CONSULTANT RANKING RECORDS MUST BE RETAINED FOR 3 YEARS AFTER COMPLETION OF THE PROJECT.

RETENTION: RETENTION: EVENT (FINAL PROJECT COST STATEMENT) + 4 YEARS AND DESTROY CONFIDENTIAL

00493000. SELECTION SUMMAY SPREADSHEET CR+5 DEST Y

THE WISDOT CONTRACT DEVELOPMENT SECTION, BPD PROVIDES SUMMARY INFORMATION FOR EACH DESIGN ENGINEERING AND CONSTRUCTION ENGINEERING SELECTION PROCESS. DATA IN SPREADHSEETS IS OBTAINED FROM THE FOLLOWING SOURCES:

- INFORMATION PROVIDED ON CONSULTANT NOI (NOTICE OF INTEREST) FORMS,
- WISDOT DESIGN CONSULTANT INTERVIEW INFORMATION
- CONSULTANT DATABASE DATA
- DESIGN ENGINEERING CONSULTANT SOLICITATION SUMMARY REPORTS:
- CONSTRUCTION ENGINEERING CONSULTANT SOLICIATATION SUMMARY REPORTS-CONSULTANT DATABASE

REPORTS ARE CURRENTLY GENERATED AS EXCEL SPREADSHEETS WITH SEPERATE SPREADSHEETS FOR DESIGN ENGINEERING CONSULTANT PROJECTS AND CONSTRUCTION ENGINEERING PROJECTS. SUMMARIES INCLUDE:

- CONSULTANT SOLICITATION SUMMARY
- RECOMMENDED REGION SELECTIONS FOR SOLICITATION
- SELECTIONS BY FIRM AND REGION
- PENDING CONSULTANT PROJECTS
- VENDOR NET FEES BY REGION; TOP 5 FIRM NET FEES BY REGION
- MULTI-YEAR: VENDOR NET FEE WORKLOAD BY FISCAL YEAR - CURRENTLY 5 YEARS + CURRENT YEAR
- MULTI-YEAR: DBE NET FEE WORKLOAD - CURRENTLY 5 YEARS + CURRENT YEAR ADDITIONAL REPORTS FOR CONSTRUCTION ENGINEERING PROJECTS INCLUDE:
- CONSTRUCTION ANALYSIS WITH BAR GRAPH
- CONSTRUCTION PACKAGE KEY STAFF CONFLICTS
- CARRYOVER PROJECTS BY REGION
- ESTIMATED CONTRACT AMOUNTS AND PERCENTAGES

SPREADSHEETS ARE REVIEWED BY UPPER MANAGEMENT AND USED FOR REFERENCE AND MONITORING PURPOSES. THEY PROVIDE SNAPSHOTS IN TIME INCLUDING DETAILS ABOUT PARTICIPATING FIRMS, PACKAGES OF INTEREST, LOCATIONS, COMMITMENTS, PROJECTS AWARDED, FEES, ETC. BY CONTRACT. REPORTS MAY BE REGENERATED AS LONG AS THE CONSULTANT DATABASE RETAINS DATA FOR EACH SOLICITATION; CURRENT YEAR DATA CHANGES THROUGHOUT THE CONTRACT AND PROJECT CLOSE OUT PERIODS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC REOCRDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: CREATION + 5 YEARS AND DESTROY CONFIDENTIAL

00494000. ELIGIBLE ENGINEERING PRIME CONSULTANT REGISTRATION (ROSTER) CA CR+10 DEST Y

FIRMS SEEKING PRIME CONSTRUCTION AND DESIGN ENGINEERING CONTRACTS INCLUDING VALUE ENGINEERING ARE REQUIRED TO SUBMIT ENGINEERING REGISTRATION MATERIALS DOCUMENTING QUALIFICATIONS, IN ORDER TO BE LISTED ON THE ROSTER OF ELIGIBLE ENGINEERING CONSULTANTS. CONSULTANTS SUBMIT PAPER OR ELECTROINIC FORMAT. THE CONTRACT ADMINISTRATION UNIT, AUDIT AND CONTRACT ADMINISTRATION SECTION, DIVISION OF TRANSPORTATION INVESTMENT MANAGEMENT (DTIM) ENTERS DATA INTO THE CONSULTANT CONTRACT DATABASE (CURRENTLY MS ACCESS) AND GENERATES THE ROSTER OF ELIGIBLE ENGINEERING CONSULTANTS. RECORDS PROVIDE EVIDENCE OF INFORMATION SUBMITTED TO BECOME REGISTERED AND INCLUDE:

- CREDENTIAL NUMBER OF ENGINEERING LICENSE AND CURRENT CERTIFICATE OF AUTHORIZATION TO PRACTICE PROFESSIONAL ENGINEERING IN THE STATE OF WISCONSIN (PER. S. 443.08, WIS. STATS.): WISDOT VERIFIES THROUGH THE DEPT. OF REGULATION & LICENSING WEB SITE.
- CERTIFICATION OF OWNERSHIP OR ACCESS TO DEPARTMENT MANUALS, STANDARDS AND GUIDELINES.
- CONSULTANT REPORT, FORM DT1538, SUBMITTED ANNUALLY.

RECORDS ARE FILED BY YEAR. ELECTRONIC SUBMITTALS ARE SAVED TO A MAILBOX AND MAINTAINED ON A DTIM SHARED DRIVE.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: CREATION + 10 YEARS AND DESTROY CONFIDENTIAL

00496000. HIGHWAY SYSTEMS CLASSIFICATION SUBMITTALS EVT+10 DEST Y

FUNCTIONAL CLASSIFICATION IS A PROCESS TO GROUP STREETS AND HIGHWAYS INTO CLASSES, OR SYSTEMS, ACCORDING TO THE CHARACTER OF SERVICE THEY ARE INTENDED TO PROVIDE. MOST TRAVEL INVOLVES MOVEMENT THROUGH A NETWORK OF ROADS, AND FUNCTIONAL CLASSIFICATION DEFINES CHANNELS WITHIN THE NETWORK FOR EFFICIENT TRAVEL. IT DEFINES THE PART THAT ANY PARTICULAR ROAD OR STREET SHOULD PLAY TO SERVE THE FLOW OF TRIPS THROUGH A HIGHWAY NETWORK. THE FUNCTIONAL CLASSIFICATION OF PUBLIC ROADS ALSO ESTABLISHES ELIGIBILITY FOR STATE AND FEDERAL FUNDING. THE BUREAU OF PLANNING & ECONOMIC DEVELOPMENT (BPED) AND REGIONS WORK WITH REGIONAL PLANNING COMMISSIONS (RPCS), METROPOLITAN PLANNING ORGANIZATIONS (MPOS) AND LOCAL UNITS OF GOVERNMENT TO IDENTIFY AND PERIODICALLY UPDATE ROAD CLASSIFICATIONS, INTO RURAL, URBANIZED, AND SMALL URBAN AREAS. EACH HAS SUB-CATEGORIES FOR PRINCIPAL ARTERIALS, MINOR ARTERIALS,

COLLECTOR ROADS OR STREETS AND LOCAL ROADS OR STREETS.
 RECORDS IN THIS SERIES INCLUDE:
 - HIGHWAY SYSTEM CLASSIFICATION SUBMITTAL REQUEST, WITH MAPS, CHARTS AND OTHER SUPPORTING DOCUMENTATION, AS SUBMITTED TO FHWA (FOR NATIONAL HIGHWAY SYSTEMS) OR OTHER APPROPRIATE APPROVAL AUTHORITY.
 - APPROVING AUTHORITY RESPONSE AND COMMENTS
 - LOCAL GOVERNMENT CONCURRENCE, E.G., MAYORAL LETTER TO WISDOT, BOARD MEETINGS MINUTES, MPO RESOLUTION.
 - BACKGROUND RELATED TO CLASSIFICATION SUBMITTAL: DATA ANALYSIS, CLASSIFICATION PROCEDURES, CORRESPONDENCE IF CONTROVERSY RELATED TO THE CLASSIFICATION, ETC.
 CENTRAL OFFICE COORDINATES CLASSIFICATION SUBMITTALS AND MAINTAINS CURRENT HIGHWAY SYSTEMS CLASSIFICATION RECORDS FOR THE STATE. THE DEPARTMENT ALSO POSTS COPIES OF APPROVED AND PENDING FUNCTIONAL CLASSIFICATION MAPS ON ITS WEB PAGES AS A KEY FOUNDATION ELEMENT FOR HIGHWAY FUNDING, DESIGN, CONSTRUCTION, AND MAINTENANCE. CURRENT FILES SUPERSEDE WHEN THE NEXT ITERATION IS APPROVED.
 RETENTION: EVENT (SUPERSEDED BY THE NEXT MAP ITERATION) + 10 YEARS AND DESTROY CONFIDENTIAL.

00496A00.	<u>HIGHWAY SYSTEMS CLASSIFICATION - REGION COORDINATION FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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RECORDS SERIES DOCUMENTS REGION-LEVEL HIGHWAY SYSTEMS FUNCTIONAL CLASSIFICATION ACTIVITIES. REGIONS MONITOR HIGHWAY SYSTEMS FUNCTIONAL CLASSIFICATIONS OF PUBLIC ROADS IN EACH REGION CLOSELY, WORKING LOCAL UNITS OF GOVERNMENT TO IDENTIFY AND INITIATE FUNCTIONAL CLASSIFICATION UPDATES AND RECOMMEND PLANNING OR ROUTE JURISDICTION CHANGES. REGION FILES PROVIDE BACKGROUND INFORMATION DOCUMENTING PUBLIC INVOLVEMENT, COORDINATION WITH LOCAL GOVERNMENTS AND INTERESTED PARTIES.
 REGIONS MAINTAIN REGION-SPECIFIC HIGHWAY SYSTEMS CLASSIFICATION FILES TO COORDINATE REGIONAL TRANSPORTATION PLANNING, PROJECTS, AND MAINTENANCE. RECORDS PROVIDE CLASSIFICATION BACKGROUND TO SUPPORT THE CURRENT HIGHWAY SYSTEMS CLASSIFICATION AND REFERENCE MATERIALS THAT MAY BE USED FOR FUTURE CLASSIFICATION CHANGE REQUESTS, JURISDICTIONAL STUDIES OR TRANSFERS. FILES ARE SUPERSEDED BY THE NEXT APPROVED FUNCTIONAL CLASSIFICATION MAP.
 RETENTION: EVENT (SUPERSEDED) + 10 YEARS AND DESTROY CONFIDENTIAL

00497000.	<u>JURISDICTIONAL TRANSFER STUDIES - DTSD-BPD COPY</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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THE WISDOT WORKS WITH LOCAL UNITS OF GOVERNMENT TO NEGOTIATE AND IMPLEMENT JURISDICTIONAL ADDITIONS, TRANSFERS AND DELETIONS FOR THE FOLLOWING TYPES OF TRANSFERS: LOCALS MAY REQUEST A ROAD BE TAKEN OVER BY THE STATE, OR THE STATE MAY ABANDON A ROAD TO THE LOCAL ENTITY. THIS RECORDS SERIES COVERS AGREED UPON JURISDICTION STUDY DOCUMENT, INCLUDING THE FOLLOWING TYPES: SS 84.02(8)(A), WIS. STATS. PROVIDES AUTHORITY FOR WISDOT TO MAKE ADDITIONS OR DELETIONS TO THE STATE TRUNK HIGHWAY SYSTEM BY ENTERING INTO A JURISDICTIONAL TRANSFER AGREEMENT WITH ANY LOCAL UNIT OF GOVERNMENT. TYPES OF AGREEMENTS INCLUDE:
 - TRANSFER AGREEMENTS FOR NON-STH ROADS AND SS.84.10 BRIDGES.
 - JURISDICTIONAL TRANSFERS WITH LOCAL UNITS OF GOVERNMENT TO INSURE PROPER JURISDICTION RESPONSIBILITY DUE TO A RELOCATION PROJECT. [SS 84.02(3), WIS. STATS.]
 - JURISDICTIONAL TRANSFERS WHEN REQUIRED DUE TO LONG TERM FUNCTIONAL AND SYSTEM USE CHANGES. [SS 84.02(8), WIS. STATS.]
 -ESTABLISHMENT OR ALTERATION OF 'CONNECTING HIGHWAY' SEGMENTS.
 REGIONS SEND TRANSFER AGREEMENT DOCUMENTS TO THE BUREAU OF PROJECT DEVELOPMENT (BPD).
 PII INCLUDES LOCAL GOVERNMENT AND DOT OFFICIALS NAMES
 RETENTION: EVENT (TRANSFER AGREEMENTS AMENDED, UPDATED OR OBSOLETE) + 10 YEARS AND TRANSFER TO WHS.

00497A00.	<u>JURISDICTIONAL TRANSFER STUDIES - REGION COPIES</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
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REGIONS MAINTAIN JURISDICTIONAL TRANSFER STUDY RECORDS FOR REGION-SPECIFIC ROADWAYS. THE REGION FILE DOCUMENTS THE TRANSFER, INCLUDING: A COPY OF THE TRANSFER DOCUMENT, JURISDICTIONAL TRANSFER RECORDS AND SIGNIFICANT BACKGROUND MATERIALS RELATED TO TRANSFER NEGOTIATIONS AND RESPONSIBILITIES AGREED UPON.
 PERMANENT JUSTIFICATION: EACH REGION MAINTAINS REFERENCE COPIES OF THOSE JURISDICTIONAL TRANSFER STUDY MATERIALS THAT IMPACT THAT REGION'S ROADWAYS. MATERIALS HAVE ONGOING ADMINISTRATIVE AND REFERENCE VALUE AND PROVIDE BACKGROUND INFORMATION RELATED TO NEGOTIATIONS WITH LOCAL GOVERNMENT OFFICIALS AND DECISIONS. REGIONS NEED TO MAINTAIN THESE RECORDS OVER TIME FOR ONGOING REFERENCE PURPOSES.
 RETENTION: PERMANENT

00498000.	<u>JURISDICTIONAL REVIEWS - NO ROADWAY TRANSFER</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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SS 84.02, WIS. STATS. IDENTIFIES JURISDICTIONAL RESPONSIBILITIES TO FUND AND MAINTAIN STH TRANSPORTATION SYSTEMS. THE BUREAU OF PLANNING & ECONOMIC DEVELOPMENT (BPED) ASSISTS THE REGION PLANNING STAFF AND LOCAL UNITS OF GOVERNMENT IN ASSESSING POTENTIAL JURISDICTIONAL TRANSFERS, WHETHER OR NOT TRANSFERS ARE ASSOCIATED WITH THE STH SYSTEM; AND RECOMMENDS ROUTE JURISDICTION CLASSIFICATION CHANGES TO ESTABLISH ELIGIBILITY FOR STATE AND FEDERAL FUDNING.

RECORDS IN THIS SERIES ARE JURISDICTIONAL PLANS AND BACKGROUND INFORMATION RELATED TO JURISDICTIONAL STUDIES, INCLUDING ANALYSIS, COST CALCULATIONS, MAPS AND CHARTS RELATED TO STUDIES THAT DO NOT RESULT IN JURISDICTIONAL TRANSFERS.
 REGIONS MAINTAIN OFFICIAL COPIES OF THESE STUDIES.
 THE BUREAU OF PLANNING (BOP) AND PROJECT DEVELOPMENT (BPD) DO NOT RECEIVE COPIES WHEN THE TRANSFER ACTION IS HALTED.
 RETENTION: EVENT (CHANGE ACTION DATE-AMENDED OR SUPERSEDED JURISIDCTION REVIEW DATE) + 10 YEARS AND DESTROY CONFIDENTIAL.

00499000.	<u>STATEWIDE TRANSPORTATION PLANNING & SPECIAL STUDIES</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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RECORDS IN THIS SERIES ARE ALL TYPES OF STATEWIDE TRANSPORTATION PLANNING STUDIES SUCH AS: BACKBONE INTERCHANGE NEEDS & IMPROVEMENT STUDY METHODOLOGY USED TO EVALUATE THOSE INTERCHANGE NEEDS & IMPROVEMENT STUDY METHODOLOGY USED TO EVALUATE THOSE INTERCHANGES WITH THE MOST CRITICAL PROBLEMS ON THE CORRIDORS 2020 BACKBONE SYSTEM OUTSIDE SOUTHERN WISCONSIN. STUDY IDENTIFIED AND QUANTIFIED DEFICIENCIES AT EACH INTERCHANGE; DEVELOPED A RANGE OF IMPROVEMENT ALTERNATIVES AND ASSOCIATED COSTS TO ADDRESS DEFICIENCIES.
 THIS RDA INCORPORATES ALL OF THE FOLLOWING OLD RDAS COVERING STATEWIDE STUDIES THAT ARE MAINTAINED BY THE BUREAU OF PLANNING & ECONOMIC DEVELOPMENT (BPED), CENTRAL OFFICE.
 OLD RDA 00064: URBAN & REGIONAL PLANNING: PROJECT RECORDS AND REFERENCE MATERIAL RELATED TO THE URBAN (MPO) AND RURAL (RPC) STATEWIDE TRANSPORTATION STUDIES PROGRAM AND PLANNING SECTION DAILY TASKS. INCLUDES MATERIALS ON HIGHWAY INTERCHANGE AREAS, HIGHWAY BYPASSES, ACCESS CONTROL, USE OF CENSUS MATERIALS, LAND USE PLANNING ZONING & OTHER MATERIAL RELATED TO TRANSPORTATION PLANNING, WORK PROGRAMS AND TRANSPORTATION IMPROVEMENT PROGRAMS. MAY ALSO INCLUDE PROGRAM BUDGET, COST RECORDS, WORKSHEETS RELATED TO INDIVIDUAL STUDIES.
 OLD RDA 00065-000: URBAN TRANSPORTATION STUDIES: INCLUDES WORKSEETS, MAPS, DATA, CORRESPONDENCE, SURVEY FORMS AND OTHER MATERIALS RELATED TO HIGHWAY, AIRPORT, RAILROAD, WATERBORNE PLANNING TRANSPORTATION MODE SPECIAL STUDIES. STUDIES ARE CONDUCTED FOR POLICY/PLANNING PURPOSES; TO DOCUMENT PAST METHODS, ACCOMPLISHMENTS AND DECISIONS.
 SINGLE USE LOCAL ROADS STUDY - ONE-TIME STUDY
 OLD RDA 00077-000: POLICY & SPECIAL PROJECTS FILE: ANALYSIS ON SAFETY, ENFORCEMENT, LAND USE AND ENVIRONMENTAL IMPACTS, TRANSIT, FREIGHT MOVEMENT, COMMERCIAL VEHICLES, LEGAL ISSUES AND OTHER SPECIAL PROJECTS.
 OLD RDA 00372-000: STATEWIDE SPECIAL STUDIES - REFERENCE FILE: RECORDS THAT PROVIDE BASE LINE TRANSPORTATION REFERENCE INFORMATION FOR TRANSPORTATION PLANNING AND STUDY PURPOSES.
 RETENTION: EVENT (STUDY COMPLETION DATE) + 10 YEARS AND TRANSFER TO WHS.

00500000.	<u>CORRIDOR MANAGEMENT REVIEW COMMITTEE MEETING SUMMARIES AND</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT CORRIDOR MANAGEMENT REVIEW COMMITTEE IS CHARGED TO IDENTIFY AND DEVELOP CORRIDOR MANAGEMENT PLANS, APPLYING DEPARTMENT POLICIES AND STANDARDS CONSISTENTLY TO THE HIGHWAY SYSTEM STATEWIDE. THESE TYPES OF STUDY PLANS SPECIFICALLY FOLLOW THE RULES IDENTIFIED UNDER SS 84.295(10), WIS. STATS. ESTABLISHED LOCATIONS AND RIGHT-OF-WAY WIDTHS FOR FUTURE FREEWAYS OR EXPRESSWAYS.
 COMMITTEE CORRIDOR PLANNING EFFORTS INCLUDE:
 - NEEDS ANALYSIS, CORRIDOR PLAN MONITORING, EVALUATION OF REGION WORKLOAD ABILITY, PROGRAM BALANCE TRACKING.
 - STUDY OPTION DIFFERENCES, I.E., MAJORS, ALPHA, CORRIDOR MGMT., OPERATIONS ANALYSIS
 - EVALUATION OF REGION PROGRAM REVISIONS, NEW CORRIDOR ADDITIONS, AND CORRIDOR PLAN PRIORITIES FOR PROGRAM YEAR.
 CORRIDOR MANAGEMENT PROGRAM MANAGER PREPARES MEETING SUMMARIES, DISTRIBUTES THEM TO THE COMMITTEE MEMBERS AND OTHER INTERESTED PARTIES. PROGRAMMING DECISIONS ARE ALSO SUMMARIZED SEPARATELY AND FORWARDED TO COMMITTEE MEMBERS AND REGION STAFF RESPONSIBLE FOR UPDATING FIIPS.
 RECORDS ALSO INCLUDE REPORTS OF COMMITTEE DECISIONS AND APPROVALS, CHARTS OF FUNDING, OR CORRIDOR PROJECT LISTS.
 RETENTION: EVENT (MEETING DATE) + 10 YEARS & DESTROY CONFIDENTIAL

00506000.	<u>CORRIDOR MANAGEMENT PLANS & MAPS - REGIONS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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REGIONS MAINTAIN CORRIDOR MANAGEMENT PLANS AND MAPS TO IDENTIFY WHERE THE NECESSARY RIGHT-OF-WAY FOR FUTURE STATUTORILY DESIGNATED FREEWAY OR EXPRESSWAY PROJECTS IS OFFICIALLY MAPPED AND LEGALLY RECORDED. THESE TYPES OF STUDY PLANS SPECIFICALLY FOLLOW THE RULES IDENTIFIED UNDER SS 84.295(10), WIS. STATS ESTABLISHING LOCATIONS AND RIGHT-OF-WAY WIDTHS FOR FUTURE FREEWAYS OR EXPRESSWAYS. THIS RECORDS SERIES COVERS PLANS, MAPS AND RELATED MATERIALS THAT REGIONS MAINTAIN TO DOCUMENT THE REGION'S CORRIDOR PLANNING PROCESS AND RECOMMENDATIONS, INCLUDING MORE BACKGROUND DETAIL THAN WISDOT FILE WITH THE COUNTY REGISTERS OF DEEDS. OFFICIAL CORRIDOR MAPPING STUDY AND MANAGEMENT PLAN RECORDS IN THIS SERIES INCLUDE:
 - NEPA/WEPA ENVIRONMENTAL DOCUMENTS,
 - SECTION 106 DOCUMENT,
 - RECORDED OFFICIAL MAP,
 - RECORDED NOTICE OF ORDER ESTABLISHING FUTURE RIGHT-OF-WAY, FINDING, DETERMINATION ORDER.
 THESE ARE LEGALLY RECORDED ACTIONS FILED WITH COUNTY REGISTERS OF DEEDS, AND THEY NEVER DISAPPEAR FROM TITLE ABSTRACTS. EACH RECORDED ACTION MAY BE SUPERSEDED BY A SUCCEEDING RECORDED ACTION.
 RETENTION: EVENT (SUPERSEDED) AND DESTROY CONFIDENTIAL.

<u>00514000.</u>	<u>OTHER REGIONAL TRANSPORTATION PLANNING STUDIES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
<p>RECORDS IN THIS SERIES ARE THE FINAL REPORTS AND WORK PRODUCTS OF ALL OTHER TRANSPORTATION PLANNING STUDIES THAT ARE REGION-SPECIFIC RATHER THAN STATEWIDE IN NATURE. THESE STUDIES ARE PROJECT-SPECIFIC RATHER THAN RELATED TO STATEWIDE PLANS. INCLUDES:</p> <ul style="list-style-type: none"> - REGION CORRIDOR MAPPING STUDIES: THESE STUDIES IDENTIFY FUTURE RIGHT-OF-WAY NEEDS FOR STATE HIGHWAYS, BUT ARE OUTSIDE THE SPECIFIC STATUTORY REQUIREMENT NECESSARY FOR SS 84.295, WIS. STATS TYPE STUDIES. THIS RIGHT-OF-WAY MAY BE MAPPED BY LOCAL UNITS OF GOVERNMENT UNDER STATUTORY AUTHORITY GRANTED EXCLUSIVELY TO THEM. ASSOCIATED DOCUMENTS MAY INCLUDE MEMORANDUM OF AGREEMENTS OR MEMORANDUM OF UNDERSTANDING BETWEEN THE DEPARTMENT AND THE LOCAL GOVERNMENT(S) USING THEIR LOCAL OFFICIAL MAPPING AUTHORITY. - CONNECTOR STUDIES - TRANSPORTATION ALTERNATIVES STUDIES <p>OFFICIAL PLANNING STUDY RECORDS IN THIS SERIES INCLUDE NEPA/WEPA ENVIRONMENTAL DOCUMENTS, SECTION 106 DOCUMENTS, RECORDED OFFICIAL MAP, RECORDED NOTICE OF ORDER ESTABLISHING FUTURE RIGHT-OF-WAY (DT 1536), FINDING, DETERMINATION ORDER.</p> <p>LEGALLY RECORDED ACTIONS ARE MAINTAINED PERMANENTLY AS PART OF PROPERTY TITLE ABSTRACTS, EVEN AFTER SUPERSEDED BY ANOTHER SUCCEEDING RECORDED ACTION.</p> <p>RETENTION: EVENT (SUPERSEDED BY UPDATED STUDY) AND DESTROY CONFIDENTIAL.</p>				
<u>00518000.</u>	<u>RPC, MPO AND LOCAL GOVERNMENT COORDINATION CASE FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
<p>WISDOT WORKS CLOSELY WITH WISCONSIN'S 8 REGIONAL PLANNING COMMISSIONS (RPCS), METROPOLITAN PLANNING ORGANIZATIONS (MPOS) AND LOCAL UNITS OF GOVERNMENT TO ENSURE A COMPREHENSIVE, COORDINATED APPROACH TO LOCAL, REGIONAL AND STATE ISSUES AFFECTING TRANSPORTATION PLANNING. RECORDS IN THIS SERIES PROVIDE BACKGROUND AND CONTACT INFORMATION FOR THE RPC, MPO OR LOCAL UNIT OF GOVERNMENT, INCLUDING LOCAL OFFICIALS. MAY INCLUDE MISSION STATEMENTS, MEETING NOTICES AND MINUTES, SUMMARY INFORMATION ON TRANSPORTATION ACTIONS AND INITIATIVES. CENTRAL AND REGION OFFICE MAY MAINTAIN CURRENT INFORMATION IN ORDER TO COORDINATE WISDOT TRANSPORTATION PLANNING, STUDIES AND ACTIVITIES.</p> <p>RETENTION: EVENT (SUPERSEDED BY UPDATED INFORMATION) & DESTROY CONFIDENTIAL.</p>				
<u>00521000.</u>	<u>LAND USE, ACCESS MANAGEMENT & ZONING COORDINATION FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
<p>LOCAL UNITS OF GOVERNMENT HAVE RESPONSIBILITIES FOR LAND USE AND ACCESS PLANS FOR LAND ADJACENT TO HIGHWAYS, AS WELL AS ZONING. WISDOT PERSONNEL MAY PROVIDE ASSISTANCE AND ADVICE IN THESE AREAS IN ORDER TO COORDINATE WISDOT TRANSPORTATION PLANNING WITH LOCAL PLANNING EFFORTS, OR REGIONS MAY FILE LOCAL PLANS AND ORDINANCES FOR REFERENCE PURPOSES. FOR EXAMPLE, WHEN LOCALS DEVELOP A PLAN, IT SHOWS EXISTING AND FUTURE ACCESS POINTS TO STATE TRUNK HIGHWAYS, MEDIAN CROSS-OVER AND DESIRED LAND USE PATTERNS FOR LAND ADJACENT TO THE HIGHWAY. WHEN A FORMAL INTER-GOVERNMENTAL AGREEMENT IS SIGNED, NO CHANGES IN ACCESS OR MEDIAN CROSSOVERS CAN OCCUR WITHOUT THE AGREEMENT OF ALL PARTIES. RECORDS IN THIS SERIES INCLUDE LAND USE MATERIALS THAT REGIONS MAINTAIN AS NECESSARY FOR ADMINISTRATIVE AND REFERENCE PURPOSES, SUCH AS:</p> <ul style="list-style-type: none"> - LOCAL LAND USE PLANS - ACCESS MANAGEMENT PLANS, - COPIES OF ZONING ORDINANCES AND ZONING PETITIONS - BACKGROUND INFORMATION, SIGNIFICANT CORRESPONDENCE AND NOTES RELATED TO LOCAL LAND ISSUES FOR WISDOT ADMINISTRATIVE AND REFERENCE PURPOSES. <p>RETENTION: EVENT (SUPERSEDED BY UPDATED MATERIALS) AND DESTROY CONFIDENTIAL.</p>				
<u>00523000.</u>	<u>SCENIC BYWAYS DESIGNATION CASE FILES</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>Y</u>
<p>THE SCENIC BYWAYS PROGRAM IS A COOPERATIVE EFFORT BETWEEN LOCAL COMMUNITIES AND WISDOT TO IDENTIFY AND PROMOTE STATE HIGHWAY CORRIDORS WITH SCENIC AND/OR HISTORICAL ATTRIBUTES. SCENIC BYWAYS PROVIDE TRAVELERS WITH AN ENJOYABLE VISUAL, EDUCATIONAL RECREATIONAL EXPERIENCE. THE PROGRAM PROMOTES TOURISM AND ECONOMIC DEVELOPMENT. BYWAY VISITORS ALSO VISIT LOCAL MOTELS, RESTAURANTS AND TOURIST ATTRACTIONS. FUNDING MAY ALSO BE AVAILABLE FOR PROJECTS ON SCENIC BYWAYS. E.G., TO ENHANCE THE ROADWAY, PROVIDE OUTLOOKS OR SIGNAGE.</p> <p>RECORDS IN THIS SERIES INCLUDE:</p> <ul style="list-style-type: none"> - COMPLETED SCENIC BYWAY APPLICATION MATERIALS, INCLUDING: PETITION AND DESCRIPTION OF ROAD, - LOCAL GOVERNMENT (TOWN BOARD/COUNTY HIGHWAY COMMISSION WITH JURISDICTION OVER THE ROAD) SELF-ASSESSMENT OF THE HIGHWAY, WITH NARRATIVE DESCRIBING CORRIDOR FEATURES; AND DETERMINATION THAT THE HIGHWAY SEGMENT QUALIFIES AS A SCENIC BYWAY. - ADVISORY BOARD EVALUATION OF THE SCENIC AND HISTORIC QUALITIES ALONG THE PROPOSED BYWAY AND RECOMMENDATION TO DOT SECRETARY TO APPROVE OR DENY THE APPLICATION. - DOT SECRETARY APPROVAL/DENIAL DECISION. - MAY ALSO INCLUDE EVIDENCE THAT A HEARING HAS BEEN OFFERED OR HELD, THAT THE ROAD MEETS GUIDELINES AND IS COMPATIBLE WITH ANY ADOPTED PLAN FOR SCENIC ROADS. - RECORDS RELATED TO WITHDRAWAL FROM SCENIC BYWAY PROGRAM, NEWS ARTICLES AND NOTICES. <p>RETENTION: EVENT (DATE OF DENIAL DECISION OR DATE REMOVED FROM PROGRAM) + 5 YEARS AND TRANSFER TO WHS.</p>				
<u>00525000.</u>	<u>LOCAL ROADS JOBS PRESERVATION PROGRAM</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>

WISDOT ADMINISTERS GRANTS TO IMPROVE ROADS IN ORDER TO PRESERVE OR INCREASE JOB OPPORTUNITIES AND ECONOMIC DEVELOPMENT. TO DATE THIS PROGRAM FUNDED A GRANT (2004-2005) TO THE CITY OF JANESVILLE FOR A LOCAL ROADS IMPROVEMENT PROJECT TO FACILITATE BRINGING PARTS TO THE GENERAL MOTORS PLANT. CURRENTLY, WISDOT HAS NO GRANT FUNDS ALLOCATED TO THIS PROGRAM.
RETENTION: EVENT (GRANT PROJECT COMPLETED) + 10 YEARS AND DESTROY CONFIDENTIAL.

00541000.	<u>STATE / MUNICIPAL PROJECT AGREEMENTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES ARE CONTRACTUAL AGREEMENTS BETWEEN THE WISDOT AND MUNICIPALITIES - COUNTIES, CITIES, TOWNS, AND VILLAGES FOR COST SHARING ON STATE TRUNK HIGHWAY IMPROVEMENT PROJECTS. AGREEMENTS MAY COVER PREPLANNING, PLANNING, DESIGN OR MAY BE REAL ESTATE AGREEMENTS, NEGOTIATED TO ADDRESS LONG-TERM RESPONSIBILITIES FOR PROJECT USE AND MAINTENANCE. EACH AGREEMENT SPECIFIES ISSUES, RESPONSIBILITIES AND LIABILITIES FOR STREETS, STORM SEWERS, LIGHTING, SIDEWALKS, EXISTING AND/OR FUTURE PARKING AND OTHER CONCERNS ALONG THE STATE TRUNK HIGHWAY. IN THE COURSE OF DEVELOPING HIGHWAY PROJECTS, THE WISDOT NEGOTIATES AGREEMENTS WITH MUNICIPALITIES. THESE TYPES OF AGREEMENTS ARE NEGOTIATED AT THE EARLY STAGES OF THE PROJECT DESIGN AND ARE AMENDED AS NECESSARY THROUGHOUT THE DESIGN AND CONSTRUCTION PROCESSES. AGREEMENTS ADDRESS LONG-TERM RESPONSIBILITIES RELATED TO PROJECT USE, MAINTENANCE AND FUNDING, INCLUDING COSTS FOR BOTH DESIGN AND CONSTRUCTION. THEY HAVE ONGOING VALUE BEYOND PROJECT CLOSE, THROUGHOUT THE LIFE OF THE ROADWAY AND UNTIL THE AGREEMENT IS TERMINATED OR SUPERSEDED BY AN AMENDED/UPDATED AGREEMENT. REGIONS FILE STATE/MUNICIPAL AGREEMENTS BY MUNICIPALITY AND LOCATION AND MAINTAIN THEM SEPARATELY FROM TYPICAL PROJECT FILES. THEY ARE GENERALLY VERY LONG-TERM VALUE RECORDS.
RETENTION: EVENT (AGREEMENT TERMINATED OR SUPERSEDED BY AMENDED/UPDATED AGREEMENT) + 3 YEARS AND DESTROY CONFIDENTIAL

00545000.	<u>RECORDS MANAGEMENT INDEXING FILES</u>	<u>EVT+25</u>	<u>DEST</u>	<u>N</u>
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THIS RECORDS SERIES COVERS DATA IN ELECTRONIC FORMAT (CURRENTLY MS ACCESS) TO IDENTIFY HIGHWAY PROJECTS. INCLUDES ANY TYPE OF RECORDS USED TO INDEX FILES TO LOCATE, RETRIEVE, AND MANAGE FILES OR RESPOND TO QUERIES, I.E., FILE LISTINGS, FINDING AIDS IN ELECTRONIC FORMAT, INCLUDING SPREADSHEETS, REPORTS OR FORMATTED INDICES. RECORDS COORDINATORS DEVELOP INDEXING FILES TO MANAGE ALL TYPES OF TRANSPORTATION PROJECT FILES, INCLUDING DESIGN PROJECTS AND CONSTRUCTION PROJECTS. DATA PROVIDES BASIC PROJECT IDENTIFIERS AND MAY INCLUDE:
- PROJECT IDENTIFICATION NUMBER, ALTERNATE (OLD SYSTEM) NUMBERS,
- PROJECT TITLE OR DESCRIPTION
- COUNTY NAME, REGION NUMBER,
- STATUS,
- DATE OF FINAL COST STATEMENT, ETC.
- RDA # AND RETENTION CROSS-REFERENCE INFORMATION
- OFFSITE STORAGE DATA, E.G., SRC BOX NUMBER, BOX CONTENT LIST, ETC.
THIS SERIES ALSO COVERS INDICES FOR CENTRAL OFFICE OR REGION-SPECIFIC FILES RELATED TO OTHER TRANSPORTATION FUNCTIONS, I.E., PLANNING, ENVIRONMENTAL, ACCESS, PERMITS, OUTDOOR ADVERTISING, ETC. FINDING AIDS AND INDEXING DATA HAVE CONTINUING VALUE AFTER PROJECTS ARE COMPLETED AND CLOSED OUT, TO IDENTIFY FILES THAT HAVE BEEN DESTROYED PER RDAS, TO CROSS-REFERENCE NEW PROJECTS WITH PREVIOUS PROJECTS; TO RESPOND TO OPEN RECORDS REQUEST, CONDUCT QUERIES, AND LOCATE RELATED PROJECT LONG TERM RETENTION PROJECT RECORDS, I.E., DSRS, ASBUILTS, PROJECT DIARIES, AGREEMENTS, ETC.
ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADMO12.PDF](http://www.legis.state.wi.us/RSB/CODE/ADM/ADMO12.PDF) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
RETENTION: EVENT (FINAL PROJECT COST STATEMENT) + 25 YEARS & DESTROY.
EVENT = (FINAL PROJECT COST STATEMENT) + 25 YEARS AND DESTROY

00545A00.	<u>TRANSPORTATION PROJECT RECORDS MANAGEMENT REPORTS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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THIS RECORDS SERIES COVERS ALL REPORTS AND OTHER OUTPUT FROM ANY TYPE OF TRANSPORTATION PROJECT DATA FILE, INCLUDING WISDOT ORACLE DATABASES SUCH AS FIIPS, TRANS*PORT CONTRACT MANAGEMENT SYSTEM, OR RECORDS INDEXING DATA FILES. INCLUDES BPD PROJECT INDEXING DATA, DATA MAINTAINED FOR MANAGING PROJECTS IN MADISON CENTRAL FILES AND PROJECT DATA AND FILES LOCATED IN REGIONS. COVERS BOTH DESIGN AND CONSTRUCTION PROJECTS AND ALSO COVERS LOCAL PROJECT INDEXING METHODS. REPORTS MAY BE GENERATED FOR FILE LISTINGS, STORAGE BOX INVENTORIES, PROJECT MONITORING REVIEWS, AND TO RESPOND TO OPEN RECORDS REQUESTS OR OTHER QUERIES. STANDARD TYPES OF REPORTS ALSO PROVIDE NECESSARY INFORMATION TO PURGE FILES, MOVE RECORDS FROM ACTIVE TO INACTIVE STORAGE, OR GENERATE TRANSFER AND DESTRUCT LISTINGS.
REPORTS MAY INCLUDE: DATE AND YEAR, IDENTIFYING HIGHWAY PROJECT NUMBERS, PROJECT TITLE OR DESCRIPTION, COUNTY NAME, REGION NUMBER, DATE OF FINAL COST STATEMENT, FILE FOLDER TITLES, PAPER FILE LOCATOR (IN WISDOT OR OFFSITE), ETC. AND DESTRUCTION OR TRANSFER DATES.
MOST REPORTS CAN BE REGENERATED ON AN AD HOC BASIS, AS NEEDED FROM THE DATA FILES. PAPER COPIES ARE MAINTAINED FOR REFERENCE PURPOSES ONLY AS LONG AS NEEDED FOR REFERENCE PURPOSES.
RETENTION: EVENT (ACTION TAKEN/NO LONGER NEEDED) AND DESTROY.

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>00549000.</u>	<u>LRIP REJECTED PROJECT APPLICATIONS</u> RECORDS IN THIS SERIES INCLUDE COPIES OF REJECTED PROJECT APPLICATIONS THAT DO NOT MEET PROGRAM REQUIREMENTS, NOTES ON THE REJECTED DECISION, CORRESPONDENCE AND SUPPORTING DOCUMENTATION SPECIFYING REASONS FOR REJECTING THE APPLICATIONS. OFFICIAL COPY: BTLR- LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION RETENTION: EVENT (APPLICATION REVIEWED AND DECISION MADE) + 6 MONTHS AND DESTROY CONFIDENTIAL	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
<u>00550000.</u>	<u>PROGRAM ENTITLEMENT CALCULATIONS</u> FILES CONTAIN PROGRAM ENTITLEMENT CALCULATION TABLES DETERMINED AT THE BEGINNING OF EACH PROJECT APPLICATION PERIOD. THESE CALCULATIONS ARE USED TO ESTABLISH THE FUNDING LEVELS FOR EACH OF THE PROGRAM COMPONENTS AND ARE USED TO PROVIDE GUIDANCE TO THE LOCAL UNITS OF GOVERNMENTS OF THE DOLLAR AMOUNTS AVAILABLE TO THEM FOR POTENTIAL PROJECTS. OFFICIAL COPY: BTLR-LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION RETENTION: EVENT (PROGRAM BIENNIA CLOSED) + 12 YEARS AND DESTROY	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
<u>00551000.</u>	<u>PROGRAM TRACKING DOCUMENTS</u> THIS SERIES INCLUDES RECORDS THAT TRACK APPROVED PROJECTS' STATUS AND ANY RELATED ISSUES. OFFICIAL COPY: BTLR-LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION RETENTION: EVENT (PROGRAM BIENNIA CLOSED) + 2 YEARS AND DESTROY CONFIDENTIAL	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
<u>00552000.</u>	<u>LRIP PROGRAM REPORTS</u> THIS SERIES INCLUDES PROGRAM-RELATED REPORTS THAT MAY BE STATUTORILY REQUIRED, PROVIDED TO STAKEHOLDERS OR REQUESTED BY CONSTITUENTS. THESE REPORTS ARE DISTRIBUTED QUARTERLY OR BIENNIALLY. THESE REPORTS INCLUDE: -OPEN PROJECTS REPORTS -PROJECT SAVINGS REPORT -WISCONSIN TRANSPORTATION BUILDERS ASSOCIATION (WTBA) REPORT -APPROVED PROJECTS LISTINGS, APPROVED DISCRETIONARY PROJECTS LISTINGS OFFICIAL COPY: BTLR-LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION RETENTION: EVENT (SUPERSEDED) + 4 YEARS AND TRANSFER TO WHS	<u>EVT+4</u>	<u>SHSW</u>	<u>Y</u>
<u>00553000.</u>	<u>LRIP POLICIES, PROCEDURES AND GUIDELINES</u> THIS SERIES COVERS THE POLICIES, PROCEDURES AND GUIDELINES SET UP TO MANAGE THE PROGRAM. IT ALSO INCLUDES ANY CORRESPONDENCE AND SUPPLEMENTAL INFORMATION INVOLVED IN THE DEVELOPMENT OF POLICIES AND PROCEDURES THAT DEAL WITH EMERGING OR EXISTING PROGRAM RELATED ISSUE. RECORDS RELATED TO THE LRIP STUDY COMMITTEE ARE ALSO INCLUDED IN THIS SERIES. OFFICIAL COPY: BTLR-LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION RETENTION: EVENT (PROGRAM BIENNIA CLOSED & AUDIT COMPLETED) + 12 YEARS AND TRANSFER TO WHS	<u>EVT+12</u>	<u>SHSW</u>	<u>Y</u>
<u>00554000.</u>	<u>LRIP INTERNAL OPERATING PROCEDURES AND MANUALS</u> THIS SERIES COVERS ALL INTERNAL PROCEDURES USED BY LRIP STAFF TO PERFORM THE TASKS REQUIRED TO MANAGE THE PROGRAM. THESE RECORDS ARE USED FOR INTERNAL PROCEDURES ONLY AND SERVE AS DOCUMENTATION FOR PROGRAM STAFF AND NEW EMPLOYEE AND BACKUP TRAINING. RECORDS COVERED HERE INCLUDE PROCEDURES FOR PERFORMING ALL SIGNIFICANT TASKS REQUIRED OF AN LRIP PROGRAM AND MANAGER AND INCLUDE SUCH TASKS AS: -ACCESSING EAPS & TIPS: PROCEDURES TO ACCESS DOT ACCOUNTING SYSTEM AND SCREENS NEEDING TO VIEW PURCHASE ORDERS AND PROJECT I.D.'S -ADMINISTERING DISCRETIONARY PROGRAMS -PROCESSING THE ADMINISTRATIVE FEES FOR THE COUNTIES -DEVELOPING & DISTRIBUTING THE LRIP BIENNIAL SUMMARY REPORT, OPEN PROJECTS REPORT, AND WTBA REPORT, AS WELL AS OTHER PUBLISHED DOCUMENTS -REVIEWING PROJECT INFORMATION AND ENTERING PROJECT DATA INTO THE LRIP DATABASE -RECONCILING PROJECT DATA AND APPROPRIATIONS WITH THE WISDOT FINANCIAL SYSTEM -PROCESSING PROJECT CHANGES, SUBSTITUTIONS, AND REIMBURSEMENTS -CALCULATING ENTITLEMENT AND OTHER TASKS RELATED TO THE INITIATION OF A NEW PROGRAM CYCLE OFFICIAL COPY: BTLR- LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION RETENTION: EVENT (SUPERSEDED) AND DESTROY	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
<u>00555000.</u>	<u>LRIP BIENNIAL INFORMATION PACKETS</u> OFFICIAL COPY: BTLR- LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION RETENTION: EVENT (SUPERSEDED) AND DESTROY	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>

THIS SERIES COVERS DOCUMENTS INCLUDED IN THE BIENNIAL INFORMATION PACKETS USED FOR THE TRAINING WORKSHOPS WITH COUNTY HIGHWAY COMMISSIONERS AND LARGE CITIES AND VILLAGES. DOCUMENTS IN THE PACKETS INCLUDE:

- PROGRAM UPDATES
- PROGRAM OVERVIEW, FLOWCHART, AND PROCESSES
- PROGRAM APPLICATIONS AND INSTRUCTIONS
- COPIES OF APPLICABLE STATUTES AND ADMINISTRATIVE RULES
- CHECKLISTS AND CONTACT INFORMATION
- SAMPLES OF DOCUMENTS, INCLUDING AN EXCEPTION TO STANDARDS REQUEST, ENGINEER'S CERTIFICATION, ADVERTISEMENT AND AFFIDAVIT OF PUBLICATION
- INFORMATION PERTAINING TO PROGRAM POLICY, REVIEW AND SANCTIONS
- APPLICATIONS FORMS, PROGRAM ENTITLEMENTS, GUIDELINES AND CRITERIA, PROCEDURES AND PROCESSES, CHECKLISTS
- TRAINING INFORMATION RELATED TO THE EXTRANET WEB APPLICATION

OFFICIAL COPY: BTLR- LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION
 RETENTION: EVENT (PROGRAM BIENNIA CLOSED & AUDIT COMPLETED) + 12 YEARS AND DESTROY

00556000.	<u>LRIP DISCRETIONARY PROJECT SELECTION RECORDS, CORRESPONDENC</u>	<u>EVT+2</u>	<u>SHSW</u>	<u>Y</u>
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THIS SERIES COVERS RECORDS RELATED TO THE PROJECT SELECTION, APPROVAL AND PUBLICITY PROCESS FOR THE CHIP-D, TRIP-D, AND MSIP-D PROGRAMS. RECORDS MAY INCLUDE:

- SECRETARY'S LETTERS AND GOVERNOR'S LETTERS REGARDING SELECTED PROJECTS
- DOCUMENTS PREPARED AND USED FOR SCORING AND RANKING DISCRETIONARY PROJECTS
- PRESS RELEASES
- PROJECT ANNOUNCEMENTS

OFFICIAL COPY: BTLR- LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION
 RETENTION: EVENT (PROJECT SELECTED) + 2 YEARS AND TRANSFER TO WHS

00557000.	<u>LRIP AD HOC REPORTS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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SERIES INCLUDES ANY ADDITIONAL REPORTS GENERATED TO MEET PROGRAM INFORMATION REQUESTS, FROM ANY AGENCIES OR ENTITIES, FOR PROGRAM INFORMATION NOT AVAILABLE ON ANY OF THE OTHER PROGRAM REPORTS. THESE REPORTS ARE GENERATED ON AD HOC BASIS. REQUESTS MAY COME FROM TEH LEGISLATURE, WISDOT SECRETARY, COUNTY HIGHWAY COMMISSIONERS, LOCAL COMMUNITIES, PRIVATE SECTOR CONTRACTORS, WISDOT REGIONAL OFFICES, OR THE PRESS.

OFFICIAL COPY: BTLR-LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION
 RETENTION: EVENT (ACTION TAKEN) + 6 MONTHS AND DESTROY CONFIDENTIAL

00558000.	<u>LRIP INFORMATION MANAGEMENT SYSTEM PROJECT DETAIL DATA</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
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THE LRIP INFORMATION MANAGEMENT SYSTEM IS A DATABASE USED TO MANAGE ALL PHASES OF THE LRIP PROGRAM FROM ENTITLEMENT GENERATION TO PROJECT REIMBURSEMENT. THIS INCLUDES CALCULATING ENTITLEMENTS AND DISCRETIONARY ALLOCATIONS, STORING SELECTED APPLICATION FORM DATA, CREATING STATE/MUNICIPAL AGREEMENTS, PROCESING REQUESTS FOR REIMBURSEMENT, PRODUCING INFORMATION USED FOR RECONCILING FUNDING, TRACKING PROJECT STATUS AND CREATING SCHEDULED AND AD HOC REPORTS.

RECORDS IN THIS SERIES INCLUDED DETAILED APPROPRIATION INFORMATION, ENTITLEMENT AND DISCRETIONARY CALCUTIONS, FUNDING BIENNIUM ASSIGNMENT, FUNDING CARRYOVER, PROJECT STATUS, DEMOGRAPHIC AND GEOGRAPHIC INFORMATION RELATED TO EVERY MUNICIPALITY IN THE STATE, LOCATION DATA, MUNICIPAL CONTACT INFORMATION, PROGRAM STAFF COMMENTS AND NOTES, ANTICIPATED AND FINAL COST INFORMATION, AND CONTRACTOR NAMES AND AWARD DATES. THE SYSTEM MAINTAINS HISTORICAL PROGRAM INFORMATION THAT CAN BE USED TO GENERATE REPORTS.

THE SYSTEM IS CURRENTLY MAINTAINED IN A VISUAL BASIC CLIENT-SERVER SYSTEM THAT UTILIZES AN ORACLE DATABASE AND A MS-ACCESS DATABASE. THE SYSTEM GENERATES STATE/MUNICIPAL AGREEMENTS BETWEEN WISDOT AND THE LOCAL UNITS OF GOVERNMENT, REQUESTS FOR REIMBURSEMENT, LRIP PROGRAM REPORTS AND AD HOC REPORTS. THE SYSTEM CONTAINS CURRENT PROJECT INFORMATION DATING BACK TO THE 1991-1992 BIENNIA. THE SYSTEM IS IN THE PROCESS OF BEING REDESIGNED AND BUILT AS A WEB APPLICATION UPGRADED AND WILL MEET ALL STANDARDS AND REQUIREMENTS OF ADM 12.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELETRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI..US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

OFFICIAL COPY: BTLR- LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION
 RETENTION: EVENT (PROGRAM BIENNIA CLOSED & AUDIT COMPLETED) + 12 YEARS AND DESTROY CONFIDENTIAL

00558A00.	<u>LRIP SUMMARY PROJECT DATA</u>	<u>P</u>	<u>PERM</u>	<u>Y</u>
<p>THIS RECORDS SERIES COVERS SUMMARY DATA FOR LRIP (LOCAL ROAD IMPROVEMENT PROGRAM) PROJECTS. DATA IS LIMITED TO SUMMARY INFORMATION ABOUT EACH LRIP PROJECT: KEY PROJECT DATES, PROJECT IDENTIFIERS, NAME OF MUNICIPALITY, COSTS ALLOCATED AND FINAL COSTS. PROGRAM PERSONNEL AND WISDOT MANAGERS MAINTAIN SUMMARY INFORMATION FOR PLANNING, BUDGETING AND STATISTICAL PURPOSES. PERMANENT RETENTION OF THE DATA IS NEEDED FOR HISTORICAL INFORMATION AND FOR STATISTICAL REPORTS. RETENTION: PERMANENT</p>				

00566000.	<u>PHOTOGRAMMETRY PROJECT FILE</u>	<u>CR+35</u>	<u>DEST</u>	<u>N</u>
<p>FILES SUPPORT THE COMPILATION OF PLANIMETRIC MAPS, TOPOGRAPHIC MAPS, AND DIGITAL TERRAIN MODELS. RECORDS IN THIS SERIES INCLUDE THE FOLLOWING OLD RDA SERIES. - RDA 136 CROSS SECTION GROUND CONTROL FILE, 1996 - 1998: CROSS SECTIONS WERE REPLACED WITH DIGITAL TERRAIN MODELS (DTM) - RDA 137: AERIAL MAPPING GROUND CONTROL MASTER FILE, 1996-</p> <p>THE PHOTOGRAMMETRY UNIT MAINTAINS PAPER COPIES OF PROJECT-RELATED INFORMATION IN THIS FOLDER, INCLUDING: STEREO PLOTTER SET UP REFERENCE SHEETS, CROSS SECTION TERRAIN LISTINGS, BEST FIT ALIGNMENT LISTING, CONTROL BOOKS, PROJECT REQUEST EXHIBIT, PROJECT EDIT SHEET AND WISCONSIN SUMMARY INDEX (WSI) LISTING, FINAL ANALYTICAL TRIANGULATION SOLUTION, 9-INCH BY 9-INCH BLACK-AND-WHITE PHOTOS SHOWING HORIZONTAL AND VERTICAL GROUND CONTROL LOCATIONS.</p> <p>RETENTION: CREATION + 35 YEARS AND DESTROY.</p>				

00604000.	<u>SURFACE TRANSPORTATION PROGRAMS (STP) APPROVED PROJECT FILE:</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
<p>The STP Rural and Urban Programs (STP-R and STP-U) are managed by both the Local Transportation Programs & Finance Section in the Division of Transportation Investment Management (DTIM) and the Local Program Project Managers in the Division of Transportation Systems Development (DTSD) regional offices.</p>				

Each approved project file is the responsibility of the office with the delegated responsibility to manage the project.

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

- Program applications
- Executed State/Municipal agreements
- Project contract awards documentation
- Requests for reimbursement
- Project related correspondence

Other supporting documentation may also include:

- Award letters
- Sponsor training certifications
- Advertisements for bid
- Applicable plans
- Project location maps
- Requests for exception to standards
- Bid award and rejection notices
- Documentation confirming contractor payment
- Project tracking logs

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 6 yrs = Date of project financial closure per final cost statement; destroy

00605000.	<u>CMAQ APPROVED PROJECT FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
<p>The CMAQ program is managed by both the Local Transportation Programs & Finance Section in the Division of Transportation Investment Management (DTIM) and the Local Program Project Managers in the Division of Transportation Systems Development (DTSD) regional offices. Each approved project file is the responsibility of the office with the delegated responsibility to manage the project.</p>				

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

- Program applications
- Executed State/Municipal agreements
- Project contract awards documentation
- Requests for reimbursement
- Project related correspondence

Other supporting documentation may also include:

- Award letters
- Sponsor training certifications
- Advertisements for bid
- Applicable plans
- Project location maps
- Requests for exception to standards
- Bid award and rejection notices
- Documentation confirming contractor payment
- Project tracking logs

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 6 = Date of project financial closure per final cost statement; destroy

<u>00606000.</u>	<u>LOCAL ROADS TRANSPORTATION AIDS PROGRAMS RECORDS</u>	<u>EVT+8</u>	<u>DEST</u>	<u>N</u>
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Transportation aids or assistance programs, assist local governments with needed improvements to local roads, highways and bridges or help offset the cost of county and municipal road construction, maintenance, traffic and other transportation-related costs. Each program has different eligibility criteria.

The following programs are included:

- General Transportation Aids (GTA)
- Connecting Highway Aids (CHA)
- Expressway Policing Aids (EPA)
- Disaster Damage Aids (DDA)
- County Forest Road Aids (CFRA)
- Lift Bridge Aids (LBA)

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

- Program background information
- Financial Cost Report
- Payment Information
- Calculation process Checklist
- Payment Checklists
- Claim Files
- Funding Calculations
- Funding Distribution Spreadsheets,
- Related Correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Supersedes RDA 00607-000 - Other Transportation Aids Programs File which are now included in this RDA.

EVT + 8 yrs = Date of last annual payment; destroy

<u>00607000.</u>	<u>OTHER TRANSPORTATION AIDS PROGRAMS (FLOOD DAMAGE/COUNTY</u>	<u>CR+8</u>	<u>DEST</u>	<u>N</u>
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Forest Roads/Lift Bridge/Expressway Policing) File
 Other Transportation Aids Programs (Flood Damage Aids, County Forest Road Aids, Lift Bridge Aids, Expressway Policing Aids) Files Contain Program Background, Payment, Correspondence And Other Information.
 Flood Damage Aids Program Operates Under S.86.34, Stats.
 County Forest Road Aids Operates Under S.86.315, Stats.
 Lift Bridge Aids Operates Under S.86.32(2)(A), Stats.
 Expressway Policing Aids Operates Under S.59.965(10)(B), Stats.

Contact=Local Transportation Programs Section.

Arranged By Date.

<u>00609000.</u>	<u>TRAFFIC FORECAST PROECTIONS</u>	<u>EVT+25</u>	<u>DEST</u>	<u>Y</u>
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DOT REGIONS REQUEST TRAFFIC FORECASTS FOR SPECIFIC HIGHWAY IMPROVEMENT PROJECTS, BOTH RURAL AND URBAN. TRAFFIC PROJECTION FORECAST REPORTS PROVIDE TOTAL VOLUME PROJECTIONS EXTENDING 20- YEARS

BEYOND THE ESTIMATED TIME OF A HIGHWAY IMPROVEMENT CONSTRUCTION PROJECT AND INCLUDE COMPLETED AND WORK MAPS FOR SAMPLING, ZONE, SECTOR AND DISTRICT.

TRAFFIC FORECASTING SECTION, DTIM MAINTAINS THESE PROJECTIONS, AND EACH DOT REGION KEEPS A COPY OF TRAFFIC PROJECTION FORECAST REPORTS FOR HIGHWAY IMPROVEMENT PROJECTS WITHIN THAT REGION. REPORTS HAVE ONGOING VALUE FOR MANY YEARS AFTER COMPLETION OF PROJECTS, FOR ADMINISTRATIVE, REFERENCE AND STATISTICAL PURPOSES RELATED TO ALL ASPECTS OF TRANSPORTATION PLANNING AND SYSTEM DEVELOPMENT. RETENTION: EVENT (REPORT FINAL DATE) + 25 YEARS AND DESTROY CONFIDENTIAL

00615000.	<u>CONTRACTOR (BIDDER) PREQUALIFICATION CASE FILE</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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UNDER SECTION 66.0901(2), WIS. STATS., ALL PERSONS PROPOSING TO BID ON WORK TO BE CONTRACTED FOR BY THE DEPARTMENT OF TRANSPORTATION ARE REQUIRED TO ESTABLISH PROOF OF THEIR COMPETENCY AND RESPONSIBILITY BEFORE FORMS FOR BID PROPOSALS FOR ANY SUCH WORK WILL BE DELIVERED TO THEM, UNLESS THIS REQUIREMENT IS SPECIFICALLY WIVED IN THE ADVERTISEMENT FOR BIDS. CONTRACTING FIRMS PROVIDE FINANCIAL DATA AND WORK EXPERIENCE HISTORY TO THE BPD PROPOSAL MANAGEMENT SECTION. EACH BIDDER RECORD INCLUDES:

- * PLAN HOLDER AND ELIGIBLE BIDDER INFORMATION: POSTED TO WEB 10 DAYS PRIOR TO THE LETTING DATE
- * PREQUALIFICATION STATEMENT FORM DT1621 (OR EQUIVALENT) -- INCLUDING A CURRENT STATEMENT, UNDER OATH, WHICH FULLY FELECTS THE FINANCIAL ABILITY, ADEQUACY OF PLANT AND EQUIPMENT, ORGANIZATION, PRIOR EXPERIENCE, AND ANY OTHER PERTINENT INFORMATION AS MAY BE NECESSARY OR DESIRABLE TO ESTABLISH THE COMPETENCY AND RESPONSIBILITY OF THE APPLICANT. THE CONTENTS OF THE STATEMENT IS CONFIDENTIAL AND WILL NOT BE DISCLOSED EXCEPT UPON WRITTEN ORDER OF THE PERSON FILING THE SAME, OR IN CASES OF LITIGATION AGAINST OR BY SUCH PERSON OR THE DEPARTMENT.
- * COMPLETE FINANCIAL INFORMATION, EITHER IN SPECIFIC FINANCIAL SCHEDULES IN THE STATEMENT, OR A SEPARATE AUDITED OR REVIEWED FINANCIAL STATEMENT, PROVIDED IT INCLUDES ALL FINANCIAL INFORMATION REQUESTED IN THE FORM.
- * COMPLETE FINANCIAL INFORMATION, EITHER IN SPECIFIC FINANCIAL SCHEDULES IN THE STATEMENT OR IN AN ATTACHED SEPERATE MEMORANDUM.
- * QUALIFICATION CORRESPONDENCE REGARDING ACCEPTABILITY OF INFORMATION SUBMITTED, BIDDER QUESTIONS, RESPONSES, INCLUDING WISDOT INTERVIEW AND SELECTION INFORMATION
- * APPLICANT RATING DETERMINATION: WISDOT ASSIGNS A BIDDER RATING THAT DETERMINES THE AMOUNTS AND CLASSIFICATIONS OF WORK ON WHICH THE APPLICANT WILL BE ELIGIBLE TO BID AND HAVE UNDER CONTRACT AND INCOMPLETE AT ANY ONE TIME.

BIDDERS ARE REQUIRED TO FURNISH COMPLETE INFORMATION EACH TIME A NEW STATEMENT IS SUBMITTED. PREQUALIFICATION RATINGS ARE ON AN ANNUAL BASIS AND EXPIRE ONE YEAR AND FOUR MONTHS AFTER THE DATE OF THE FINANCIAL STATEMENT, FOR THE CURRENT PREQUALIFICATION STATEMENT ON FILE, EXCEPT AS WISDOT SPECIFICALLY EXTENDS, WITHDRAWS, OR REDUCES THEM. BIDDERS ARE REQUIRED TO RESUBMIT INFORMATION REGULARLY (CURRENTLY EVERY YEAR) TO CONTINUE BIDDING.

EVENT = BIDDER NON-RENEWAL OR SUPERSEDED BY UPDATED INFORMATION

00615A00.	<u>CONTRACTOR (BIDDER) PREQUALIFICATION LIST DATA</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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THE WISDOT MAINTAINS LISTS OF QUALIFIED BIDDERS, AND INCLUDES COPIES OF RELEVANT LISTS IN EACH CONSTRUCTION LETTING FILE. BIDDERS ARE PREQUALIFIED AND GIVEN A MAXIMUM CAPACITY RATING: THE COMBINED VALUE OF ALL WORK INCLUDING SUBCONTRACTS OF ALL CLASSES WHICH A BIDDER MAY BE AWARDED AND HAVE UNDER CONTRACT AND INCOMPLETE AT ANY ONE TIME. WORK RATINGS FOR INDIVIDUAL CLASSES OF WORK FURTHER ESTABLISH THE MAXIMUM VALUES OF WORK IN A PARTICULAR CLASSIFICATION THAT MAY BE AWARDED TO EACH APPLICANT. TRNS.PORT SYSTEM GENERATES THE LIST AND IT IS ALSO POSTED TO WISDOT WEBSITE IN PDF. FORMAT.

LISTS CONTAIN THE FOLLOWING DATA FOR EACH PREQUALIFIED BIDDER: BIDDER IDENTIFICATION NUMBER; NAME AND ADDRESS; BUSINESS AND FAX TELEPHONE NUMBERS; BUSINESS TYPE: CORPORATION, ETC.; QUALIFICATION EXPIRATION DATA; RATED CAPACITIES - BY CODE.

- * GENERAL CONSTRUCTION
- * GRADING
- * CONCRETE PAVEMENT
- * ASPHALTIC PAVEMENT
- * GRAVEL AND CRUSHED STONE
- * STRUCTURES
- * RAIL CONSTRUCTION OR REHABILITATION
- * BRIDGE PAINTING
- * STREET OR AIRPORT LIGHTING
- * BUILDING CONSTRUCTION
- * INCIDENTAL CONSTRUCTION

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

EVENT = SUPERSEDED BY UPDATED, REVISED OR AMENDED LIST

00616000.	<u>CONSTRUCTION LETTING FILE</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
<p>WISDOT IS AUTHORIZED TO LET CONTRACTS THROUGH COMPETITIVE BIDDING PROCESSES, UNDER S. 84.06(2), WIS STATS. THIS RECORDS SERIES DOCUMENTS WISDOT COMPLIANCE WITH FEDERAL AND STATE LAWS AND REQUIREMENTS FOR SOLICITING, BIDDING, NEGOTIATING AND SELECTING CONTRACTORS FOR LET HIGHWAY DESIGN AND CONSTRUCTION PROJECTS AND THE DECISION SELECTION STEPS TAKEN IN AWARDED CONTRACTS. RECORDS IN THIS SERIES ARE CONFIDENTIAL, INCLUDING THE ENGINEER'S COST ESTIMATE.</p> <p>WISDOT MAKES PLANS AND SAMPLE PROPOSALS AVAILABLE UPON REQUEST TO CONTRACTORS PREQUALIFIED IN THE CONSTRUCTION CLASSIFICATION FOR EACH PROPOSAL. CONSTRUCTION PROJECT BIDS ARE OPENED AND READ ALOUD IN A PUBLIC BID OPENING. REVIEWERS COMPARE AND ANALYZE BIDS, LOOKING FOR IRREGULARITIES AND ENSURING THE ELIGIBILITY OF THE BIDDER, AND AWARD THE CONTRACT TO THE " LOWEST RESPONSIBLE BIDDER". RECORDS GENERATED FOR EACH PROJECT MAY INCLUDE THE FOLLOWING:</p> <ul style="list-style-type: none"> * SUCCESSFUL SEALED BIDS: AWARDED IN MONTHLY BID LETTING AND WARD PROCESS. * UNSUCCESSFUL, UNRANKED BIDDER DOCUMENTS * BID LETTING ADVERTISEMENTS: WISDOT POSTS BID LETTING ADVERTISEMENTS APPROXIMATELY FIVE WEEKS PRIOR TO THE BID LETTING ON THE WISDOT CONSTRUCTION BID LETTING WEB PAGE. * ENGINEER'S ESTIMATE -- GENERATED FROM TRNS.PORT SYSTEM. * WISDOT: UNBALANCED BID ANALYSIS, AWARD LIST, BIDDERS' SUMMARY AND JUSTIFICATION LETTERS * BID AWARD REPORTS: THE WISDOT PUBLISHES BID AWARD RESULTS ON THE CONSTRUCTION BID LETTING INFORMATION PAGE AND ON A PRIVATE WEB SITE, THE BID EXPRESS * CONTRACT LOG -- SUMMARIZING ALL CONTRACTS LET AND CONTRACT EXECUTION REQUIREMENTS * OTHER BID REPORTS AND LOGS <p>EVENT = ALL BID LETTING CYCLE CONTRACTS EXECUTED</p>				
00617000.	<u>TRAFFIC ANALYSIS PROJECT INFORMATION SYSTEM (TAPIS)</u>	<u>EVT+20</u>	<u>DEST</u>	<u>Y</u>
<p>THE TAPIS SYSTEM, CURRENTLY IN MS ACCESS, IS USED TO ADMINISTER TRAFFIC PROJECT REQUESTS, AND IT PROVIDES REFERENCE AND INDEXING DATA FOR PROJECTIONS COMPLETED BY THE SECTION FROM 2000 TO DATE. SECTION PERSONNEL ENTER DATA DIRECTLY INTO TAPIS. DATA SOURCES MAY INCLUDE TRAFFIC IMPACT ANALYSIS (TIA) REPORTS, TRAVEL SURVEYS, INCLUDING ORIGIN/DESTINATION STUDIES, TRAFFIC MODELS, ETC. DATA ELEMENTS INCLUDE PROJECT IDENTIFIER, TYPE AND LOCATION OF PROJECT, REGION, LOCAL AND CONSULTANT CONTACTS, KEY PROJECT DATES, DATA SOURCES, AND LOCATION OF RELATED FILES.</p> <p>TAPIS PROVIDES SUMMARY DATA ABOUT TRAFFIC IMPACT FORECAST PROJECTIONS. IT IS USED FOR PROJET ADMINISTRATION, REFERENCE AND INDEXING PURPOSES.</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM.</p> <p>RETENTION: EVENT (PROJECTION COMPLETION DATE) + 20 YEARS AND DESTROY CONFIDENTIAL</p>				
00618000.	<u>TRAFFIC ANALYSIS PROJECT INFORMATION (TAFIS) MASTER DATA</u>	<u>CR+50</u>	<u>DEST</u>	<u>N</u>
<p>THE TRAFFIC ANALYSIS PROJECT INFORMATION SYSTEM (TAFIS), CONTAINS TABULAR AND SPATIAL TRAFFIC COUNT DATA IN AN ARCGIS SYSTEM. WISDOT COLLECTS TRAFFIC COUNT DATA FROM ALMOST 7,000 SITES IN THE STATE, USING TRADAS PROPRIETARY SOFTWARE. DATA IS COLLECTED ON EVERY WISCONSIN COUNTY ON A 3-YEAR CYCLE. THE TRADAS ORACLE RELATIONAL DATABASE IS THE SOURCE OF TAFIS DATA. THE FORECASTING SECTION VIEWS AND DOWNLOADS DATA.</p> <p>CYCLICAL DATA FROM PREVIOUS TRAFFIC COUNTS HAS ONGOING FORECASTING AND STATISTICAL VALUE. DATA IN THIS SERIES IS USED TO GENERATE STATEWIDE, REGIONAL AND PROJECT-SPECIFIC TRAFFIC FORECAST PROJECTIONS AND MAPS. SECTION STAFF COMPARE CURRENT AND OLDER DATA FOR REGRESSION ANALYSIS PURPOSES, TO DETERMINE FUTURE TRAFFIC FORECAST PROJECTS BASED ON PAST GROWTH. TAFIS IS UPDATED REGULARLY.</p> <p>ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF AND HTTP://DOTNET/BMSRECORDS/RECELEC.HTM.</p> <p>RETENTION: CREATION + 50 YEARS AND DESTROY.</p>				
00619000.	<u>TRAFFIC SIMULATION & FORECASTING MODEL FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
<p>THE FORECASTING SECTION CURRENTLY USES CUBE(R) PROPRIETARY COMPUTER MODELING SOFTWARE TO DEVELOP COMPUTER MODELS FOR TRAFFIC FORECASTING.</p> <ul style="list-style-type: none"> - URBAN TRAVEL SIMULATION & FORECASTING MODELS: WISCONSIN HAS TEN URBANIZED AREAS WITH GREATER THAN 50,000 POPULATION, NOT INCLUDING THE SE REGION OF THE STATE. THE TRAFFIC FORECASTING SECTION PROVIDES TECHNICAL ASSISTANCE TO THE METROPOLITAN PLANNING ORGANIZATIONS (MPOS) AND REGIONAL PLANNING COMMISSIONS (RPCS) IN THESE AREAS TO DEVELOP AND MAINTAIN HIGHLY COMPLEX URBAN TRAVEL SIMULATION AND FORECASTING MODELS FOR EACH URBANIZED AREA. - STATEWIDE TRAVEL SIMULATION & FORECASTING MODEL: COVERS MAJOR HIGHWAYS IN THE ENTIRE STATE, PARTICULARLY IN RURAL AREAS, BUT IN LESS DETAIL THAN URBAN MODELS. ALSO INCLUDES A FREIGHT FORECASTING MODEL, BASED ON COMMODITY FLOW DATA, THAT RESULTS IN TRUCK FORECASTS. 				

- TRUCK TRAFFIC FORECASTING MODELS: BASED ON NEW CYCLES OF VEHICLE CLASSIFICATION DATA AVAILABLE FROM THE TRADAS SYSTEM EVERY THREE YEARS, THE SECTIONI UPDATES TRUCK TRAFFIC FORECASTING MODELS. THIS IS IN ADDITION TO TRUCK FORECASTS FROM FREIGHT FORECASTING COMPONENT OF THE STATEWIDE TRAVEL MODEL (ABOVE).
 RECORDS USED TO GENERATE MODELS INCLUDE BACKGROUND INFORMATION, SIGNIFICANT COMPUTATIONS AND DOCUMENTATION OF INPUTS AND METHODOLOGY USED TO DEVELOP THE MODEL. MODELS INCORPORATE ROAD NETWORKS; LAND USE, DEMOGRAPHIC, AND ECONOMIC DATA TO REPLICATE EXISTING AND FUTURE TRAFFIC CONDITIONS. MODELS PROVIDE THE BASIS TO GENERATE TRAFFIC PROJECTION FORECASTS ADN ARE USED FOR STATEWIDE, REGIONAL AND PROJECT-SPECIFIC TRAFFIC FORECASTING PURPOSES.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 RETENTION: EVENT (SUPERSEDED BY UPDATED OR AMENDED MODEL) AND DESTROY CONFIDENTIAL

<u>00621000.</u>	<u>VEHICLE MILES OF TRAVEL (VMT) & TRUCK FORECASTING ESTIMATES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THE TRAFFIC FORECASTING SECTION ANALYZES TRAFFIC DATA AND CONDUCTS STUDIES TO OBTAIN FORECASTING ESTIMATES FROM A BROAD PERSPECTIVE FOR TRANSPORTATION PLANNING PURPOSES, INCLUDING:
 - WISCONSIN VEHICLE MILES OF TRAVEL (VMT); OFFICIAL ANNUAL ESTIMATES FOR THE DEPARTMENT, BASED ON BOTH TRAFFIC AND HIGHWAY SEGMENT LENGTH. ANNUAL ESTIMATES PROVIDED INCLUDE: STATEWIDE BASIS, BY HIGHWAY JURISDICTION, AND BY COUNTY.
 - LONG- RANGE FORECASTS OF VMT, BY PERSONAL AND COMMERCIAL VEHICLES, AT A STATEWIDE LEVEL AND FOR THE STATE HIGHWAY SYSTEM.
 - TRUCK FORECASTING ESTIMATES: TRUCK FORECASTS FOR SPECIFIC HIGHWAYS ARE ALSO DONE AD HOC (ON REQUEST).
 NOTE: TRUCK VMT ESTIMATES AND FORECASTS ARE ONLY DONE ON A STATEWIDE BASIS (BECAUSE OF DATA LIMITATIONS).
 RECORDS IN THIS SERIES ARE STATEWIDE IN SCOPE BUT MAY ALSO HAVE TECHNICAL REFERENCE VALUE FOR REGIONAL AND PROJECT-SPECIFIC TRAFFIC FORECASTING PURPOSES. RECORDS INCLUDE ESTIMATES AND FORECASTS. VMT AND TRUCK ESTIMATES AND FORECASTS OFTEN ARE INCORPORATED INTO STATEWIDE PLANNING DOCUMENTS, E.G., CONNECTIONS 2030. DATA IS ALSO PUBLISHED IN PDF FORMAT ON THE DOTNET AND WISDOT WEB SITES.
 RECORDS INCLUDE SECTION COPY OF FINAL STUDY FORECAST; AND STUDY METHODOLOGY; BACKGROUND TO DOCUMENT PROCEDURES, SCHEDULES, ISSUES, ETC. NEEDED FOR ONGOING REFERENCE PURPOSES.
 RETENTION: EVENT (COMPLETION OF STUDY) + 10 YEARS AND DESTROY CONFIDENTIAL

<u>00622000.</u>	<u>TRAFFIC FORECASTING COUNTS & SPECIAL STUDIES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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AS NEEDED, THE FORECASTING SECTION COMPLETES SPECIAL TRAFFIC ANALYSIS AND FORECASTING RELATED STUDIES. EXAMPLES INCLUDE:
 - REVIEW TRAFFIC IMPACT ANALYSES (TIAS) OF MAJOR DEVELOPMENTS;
 - REVIEW AND UPDATE THE SEASONAL FACTORING PROCESS USED TO CONVERT 48-HOUR TRAFFIC COUNTS TO ESTIMATES OF AVERAGE ANNUAL DAILY TRAFFIC (AADT);
 - DEVELOP GENERALIZED PEAK AND DESIGN HOURLY FACTORS FOR USE IN TRAFFIC FORECASTS;
 - DEVELOP GENERALIZED HEAVY TRUCK CLASSIFICATION ESTIMATES BASED ON HIGHWAY FUNCTIONAL CLASSIFICATION AND AADT.
 RECORDS IN THIS SERIES DOCUMENT THE COUNT OR STUDY METHODOLOGY AND INCLUDE METHODOLOGY AND FACTOR SHEETS; CONCLUSTIONS, BACKGROUND MATERIALS; FORMULAE, NOTES, INSTRUCTIONS, SCHEDULES, PROCEDURES AND RELATED MATERIALS CREATED IN THE PROCESS OF COMPLETING STATEWIDE, REGIONAL AND PROJECT-SPECIFIC TRAFFIC FORECASTING ACTIVITIES OF ALL TYPES.
 TRAFFIC COUNT DATA IS COLLECTED ON A 3-YEAR CYCLE, AND DATA COLLECTION MATERIALS MAY BE USEFUL FOR REFERENCE AND COMPARATIVE PURPOSES UNTIL SUPERSEDED BY NEXT COLLECTION CYCLE. DOT PERSONNEL REFERENCE RECORDS FOR OPERATIONS, TRANSPORTATION AND PLANNING STUDIES.
 RETENTION: EVENT (STUDY COMPLETED) + 3 YEARS AND DESTROY CONFIDENTIAL.

<u>00655000.</u>	<u>TRANSPORTATION PROJECTS COMMISSION (TPC) MEETINGS & MAJOR HIG</u>	<u>EVT+15</u>	<u>SHSW</u>	<u>Y</u>
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THE DOT SECRETARY IS A NON-VOTING MEMBER OF THE TRANSPORTATION PROJECTS COMMISSION (TPC), CREATED IN 1983, PER WIS STATS CH. 13.489, TO EVALUATE THE MERITS OF CANDIDATE MAJOR HIGHWAY PROJECTS AND RECOMMEND PROJECTS TO THE GOVERNOR AND LEGISLATURE FOR STATUTORY ENUMERATION (I.E. AUTHORIZATION FOR CONSTRUCTION). THE TPC HOLDS HEARINGS TO RECEIVE PUBLIC COMMENTS ON CANDIDATE PROJECTS. THE DEPARTMENT ASSISTS THE TPC IN PERFORMANCE OF DUTIES: SCHEDULES MEETINGS SCHEDULES, HOLDS PUBLIC HEARINGS, CONDUCTS STUDIES OR COST ESTIMATES, ANALYZES CANDIDATE PROJECTS AND RANKS THEM ACCORDING TO:
 * SAFETY AND CONGESTION
 * ECONOMIC BENEFIT AND COST FACTORS
 TINTANGIBLES, E.G., COMMUNITY DEVELOPMENT, ENVIRONMENTAL IMPACTS
 THE TPC, WITH WISDOT'S ANALYSIS AND PUBLIC COMMENTS, RECOMMENDS TO THE GOVERNOR AND LEGISLATURE JOINT COMMITTEE ON FINANCE A LIST OF MAJOR HIGHWAY PROJECTS AND AN APPROPRIATE ANNUAL FUNDING LEVEL TO SUPPORT THE ONGOING MAJOR HIGHWAY PROGRAM. THE LEGISLATURE MAY ADD OR DELETE PROJECTS, AND MAY CHANGE THE RECOMMENDED FUNDING LEVEL FROM THE TPC RECOMMENDATION. THIS RECORDS SERIES COVERS WISDOT COPIES OF TPC MEETING MINUTES, AGENDAS, LOGS OF SPEAKERS, CORRESPONDENCE, HEARING INFORMATION, TPC MEMBERS, RESOLUTIONS, ETC. FOR EACH PROJECT, AND RELATED MATERIALS THAT DOCUMENT

THE SECRETARY'S AND DEPARTMENT PARTICIPATION IN THE TPC. RECORDS HAVE ONGOING PROGRAMMING, PLANNING, ADMINISTRATIVE REFERENCE AND RESEARCH VALUE IN THE DEPARTMENT THROUGHOUT THE TENURE OF PARTICULAR ADMINISTRATION AND BEYOND.

RETENTION: EVENT (TPC MEETING DATE) + 15 YEARS AND TRANSFER TO WHS.

00655A00.	TRANSPORTATION PROJECTS COMMISSION (TPC) MEETINGS AUDIO & VIDEO	EVT+2	DEST	Y
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THIS RECORDS SERIES INCLUDES AUDIO AND VIDEO TAPES OF TRANSPORTATION PROJECTS COMMISSION (TPC) MEETINGS AND HEARINGS THAT THE TPC HOLDS TO RECEIVE PUBLIC COMMENTS ON CANDIDATE PROJECTS DURING THE PROCESS OF EVALUATING THE MERITS OF CANDIDATE MAJOR TRANSPORTATION PROJECTS. AUDIO AND VIDEO TAPES MAY BE USED TO GENERATE MEETING MINUTES, LOGS AND SUMMARIES OF HEARINGS.

RETENTION: EVENT (CREATION) + 2 YEARS & DESTROY CONFIDENTIAL

00657000.	INTELLIGENT TRANSPORTATION SYSTEM (ITS)	EVT+5	SHSW	Y
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WISDOT IDENTIFIED INTELLIGENT TRANSPORTATION SYSTEM (ITS) PLANNING IN THE 1996 WISDOT STRATEGIC PLANNING AS A PRIORITY COMPONENT OF WISDOT TRANSPORTATION SYSTEMS OPERATION AND MANAGEMENT. SUBSEQUENTLY, IN JULY 2006, THE BUREAU OF HIGHWAY OPERATION (BHO), DTSD WAS CHARGED TO PREPARE A TRAFFIC OPERATIONS INFRASTRUCTURE PLAN (TOIP) INCLUDING A METHODOLOGY AND ASSOCIATED TOOL TO STRATEGICALLY EVALUATE OPERATIONAL IMPROVEMENTS FROM TECHNOLOGY APPLICATIONS, IMPROVED COMMUNICATIONS, AND INTELLIGENT TRANSPORTATION SYSTEMS (ITS). THE PLANNING EFFORT RESULTED IN A QUANTIFIABLE METHOD FOR THAT EVALUATION, DESIGNED TO BUILD UPON CURRENT WISDOT PLANNING AND PROGRAMMING PROCESSES.

THE TRAFFIC OPERATIONS INFRASTRUCTURE PLAN (TOIP) IS STRUCTURED AROUND PRIMARY CORRIDORS ACROSS WISCONSIN. TECHNOLOGY AREAS INCLUDES DETECTION, INCIDENT MANAGEMENT, TRAFFIC SIGNAL SYSTEMS, SURVEILLANCE, RAMP AND HIGHWAY TRAFFIC FLOW MANAGEMENT, COMMUNICATIONS, AND TRAVELER WARNING AND INFORMATION. THE INITIAL TOIP REPORT WAS COMPLETED IN MAY 2008, AND THE PLAN WAS REFINED IN 2009 WITH BENEFIT-COST ANALYSES AND IMPLEMENTATION GUIDANCE. AS NEEDED THE PLAN WILL UNDERGO AMENDMENTS, REVISIONS AND ADDITIONS.

RECORDS RELATED TO EACH PLAN VERSION INCLUDE WORKING PAPERS, BACKGROUND MATERIALS, MEETING MINUTES, SUMMARY AND FINAL REPORTS DOCUMENTING ALL PLAN DEVELOPMENT AND IMPLEMENTATION PROCESSES RELATED TO THE ITS BUSINESS PLAN AND THE TRAFFIC OPERATIONS INFRASTRUCTURE PLAN.

RETENTION: EVENT (PLAN VERSION ADOPTED) + 5 YEARS AND TRANSFER TO WHS.

00658000.	STATEWIDE TRANSPORTATION SYSTEM LONG-RANGE PLANS & SPECIAL STUDIES	EVT+10	SHSW	Y
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THE PLANNING SECTION, BPED, DTIM DEVELOPS STATEWIDE PLANS TO DEFINE WISCONSIN'S TRANSPORTATION SYSTEM NEEDS, INCLUDING A NETWORK OF TRANSPORTATION FACILITIES, SERVICES AND KEY TRANSPORTATION POLICIES. SYSTEM PLANS ADDRESS ONE TRANSPORTATION MODE (A MODAL SYSTEM PLAN). LONG-RANGE PLANS TYPICALLY HAVE 20-25 YEAR PLANNING HORIZON AND ARE UPDATED EVERY 5-10 YEARS TO REFLECT CHANGES IN THE FORECASTED NEEDS OF THE TRANSPORTATION SYSTEMS AND CHANGES IN FEDERAL LEGISLATION. EXAMPLES IN THIS RDA: MULTI-MODAL PLANS: INCLUDES ALL STATEWIDE PLANS DEVELOPED AND MAINTAINED IN BPED, DTIM. TRANSLINKS 21: STATE'S FIRST MULTI-MODAL PLAN PUBLISHED IN 1994 SET A SYSTEMATIC FRAMEWORK TO DEVELOP PLANS FOR EACH TRANSPORTATION MODE. THIS PLAN COMMITTED THE DEPARTMENT TO DEVELOPING INDIVIDUAL MODAL PLANS.

- STATE HIGHWAY PLAN 2020: FRAMEWORK TO DEVELOP NEAR-TERM BUDGET PROPOSALS AND SIX-YEAR PROGRAM OF IMPROVEMENTS FOR THE STATE TRUNK HIGHWAY SYSTEM. PLAN COVERS ALL ASPECTS OF HIGHWAY TRANSPORTATION.

- CONNECTIONS 2030, ADOPTED IN 2009, LINKS STATEWIDE POLICY TO REGION IMPLEMENTATION ACTIVITIES. INCLUDES STATEWIDE ACCESS MANAGEMENT PLAN (SAMP) AND UPDATE TO THE CORRIDORS 2030 NETWORK. STATE BICYCLE TRANSPORTATION PLAN, STATE PEDESTRIAN POLICY PLAN, AIRPORT SYSTEM PLAN, RAIL ISSUES AND OPPORTUNITIES REPORT (STARTED AS THE STATE RAIL PLAN)

- STATEWIDE PLANNING & SPECIAL STUDIES (RDA 00066-000) IDENTIFIED POLICY AND OTHER SPECIAL ANALYTICAL STUDIES ON ALL TYPES OF TRANSPORTATION ISSUES, POLICIES OR PROJECTS THAT MAY IMPACT THE DOT. PLANS AND SPECIAL STUDIES INCLUDE SUCH TOPICS AS HIGHWAY, AIRPORT, RAILROAD, SAFETY, ENFORCEMENT, WATER-BORNE PLANNING MODES, ENFORCEMENT, LAND USE, ENVIRONMENTAL IMPACTS, TRANSIT, FREIGHT MOVEMENT, AND COMMERCIAL VEHICLES.

FINAL COPIES OF LONG-RANGE PLANS ARE DISTRIBUTED WIDELY AS A PUBLIC DOCUMENTS PER SS 35.84, WIS. STATS. WISDOT ALSO PUBLISHES A COPY OF PLANS ON THE INTERNAL AND EXTERNAL DOT WEB SITES. PLANS ARE USED FOR ONGOING TRANSPORTATION PLANNING AND ADMINISTRATION; HISTORICAL REFERENCE AND STATISTICAL ANALYSIS. THEY IMPACT ALL TRANSPORTATION PROGRAM FUNCTIONS.

RETENTION: EVENT (SUPERSEDED) + 10 YEARS AND TRANSFER TO WHS.

00658A00.	STATEWIDE TRANSPORTATION SYSTEM LONG-RANGE PLANS: IMAGE & Aerial	CR+10	SHSW	Y
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RECORDS IN THIS SERIES ARE PICTURES, SLIDES, NEGATIVES, AUDIO AND VIDEO TAPES AND OTHER RECORDED MATERIALS GENERATED IN THE PROCESS OF DEVELOPING LONG RANGE MULTI-MODAL TRANSPORTATION PLANS. SEE RDA 00658-000 FOR DETAILED DESCRIPTION.

RETENTION: CREATION + 10 YEARS AND TRANSFER TO WHS.

00658B00.	STATEWIDE TRANSPORTATION SYSTEM LONG-RANGE PLANS: ELECTRONIC	EVT+10	SHSW	Y
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RECORDS IN THIS SERIES COVER ELECTRONIC PLANNING DATA RETAINED BY THE BUREAU OF PLANNING AND ECONOMIC DEVELOPMENT. DATA FILES MAY INCLUDE STATISTICAL ANALYSIS, EMAILS, CORRESPONDENCE, GRAPHICS, CHARTS, MEDIA ACTIVITIES, RELATED DATABASES, DRAFT AND FINAL CHAPTERS. PLANS CONTAIN TRANSPORTATION INVENTORY INFORMATION, LOCATION, NAMES OR OTHER IDENTIFIERS, KEY CHARACTERISTICS, MILEAGE, AND SIGNIFICANT DATA FOR ONGOING PLANNING, ADMINISTRATION, STUDY AND RESEARCH PURPOSES. THIS RECORDS SERIES COVERS SIGNIFICANT BACKGROUND DATA THAT IS NEEDED TO DOCUMENT PLANNING METHODOLOGY AND CALCULATIONS. DATA SUPPORTS PROJECTS AND PLAN RECOMMENDATIONS, AND MAY BE USED TO RESPOND TO QUESTIONS OR CONCERNS, AND UPDATE THE PLAN IN THE FUTURE. MAY INCLUDE ELECTRONIC VERSIONS OF THE FOLLOWING:

- MODE MAPS AND PLANS: I.E., BICYCLE MAPS, RAIL MAPS, HARBOR MAPS
- MODAL LISTINGS AND INVENTORIES: LISTS OF BICYCLE PATHS, HIKING TRAILS, RAIL CORRIDORS, HARBOR SITES, ETC.
- MODAL POLICIES AND PROCEDURES
- SUMMARY INFORMATION AND MODAL PLANS AND PROJECTS
- SIGNIFICANT CORRESPONDENCE
- DATA GENERATED FROM META-MANAGER OR OTHER WISDOT APPLICATIONS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: <HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF> AND <HTTP://DOTNET/BMSRECORDS/RECELEC.HTM>

RETENTION: EVENT (SUPERSEDED) + 10 YEARS AND TRANSFER TO WHS.

<u>00659000.</u>	<u>RUSTIC ROAD DESIGNATION RECORDS</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>Y</u>
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THE RUSTIC ROADS PROGRAM, ESTABLISHED IN 1973 UNDER SS 83.42, WIS. STATS., HELPS CITIZENS AND LOCAL UNITS OF GOVERNMENT PRESERVE WHAT REMAINS OF WISCONSIN'S SCENIC, LIGHTLY TRAVELED COUNTRY ROADS. CHAPTER TRANS RR 1, RUSTIC ROADS, WIS. ADMIN CODE PROCEDURES. THE WISDOT RUSTIC ROADS BOARD, WITH STATEWIDE REPRESENTATIVES, REVIEWS APPLICATIONS AND ASSIGNS ROAD NUMBERS. THE DEPARTMENT OF TRANSPORTATION PAYS THE COST OF FURNISHING AND INSTALLING RUSTIC ROADS BROWN AND YELLOW MARKING SIGNS. RUSTIC ROADS CONTINUE TO BE UNDER LOCAL CONTROL, AND THE COUNTY, CITY, VILLAGE OR TOWN HAS THE SAME AUTHORITY OVER THE RUSTIC ROAD IS ELIGIBLE FOR STATE AIDS JUST AS ANY OTHER PUBLIC HIGHWAY. WISCONSIN CURRENTLY HAS 107 MARKED RUSTIC ROADS COVERING OVER 600 MILES IN 56 COUNTIES.

RECORDS IN THIS SERIES ARE COMPLETED APPLICATION MATERIALS, INCLUDING: PETITION, DESCRIPTION OF ROAD AND RESOLUTION FROM TOWN BOARD/COUNTY HIGHWAY COMMISSION WITH JURISDICTION OVER THE ROAD, RESOLVING TO DESIGNATE THE RUSTIC ROAD. ALSO INCLUDES EVIDENCE THAT A HEARING HAS BEEN OFFERED OR HELD, THAT THE ROAD MEETS GUIDELINES AND IS COMPATIBLE WITH ANY ADOPTED PLAN FOR RUSTIC AND SCENIC ROADS. ALSO COVERS RECORDS RELATED TO WITHDRAWAL FROM THE RUSTIC ROADS SYSTEM, WITH APPROVAL OF THE RUSTIC ROADS BOARD, NEWS ARTICLES AND NOTICES.

RETENTION: EVENT (DATE ROAD REMOVED FROM PROGRAM) + 5 YEARS AND TRANSFER TO WHS.

<u>00660000.</u>	<u>TRANSPORTATION ECONOMIC ASSISTANCE (TEA) GRANT CASE FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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SS 84.185, WIS. STATS. AND TRAN 510 ESTABLISH CRITERIA FOR IMPLEMENTING A PROCESS TO EVALUATE AND APPROVE STATE TRANSPORTATION ECONOMIC ASSISTANCE (TEA) PROGRAM GRANTS TO GOVERNING BODIES, PRIVATE BUSINESSES, AND CONSORTIUMS FOR ROAD, RAIL, HARBOR AND AIRPORT PROJECTS THAT ATTRACT EMPLOYERS TO OR ENCOURAGE BUSINESS AND INDUSTRY TO REMAIN AND EXPAND IN WISCONSIN. GRANTS UP TO \$1 MILLION ARE AVAILABLE FOR TRANSPORTATION IMPROVEMENTS THAT ARE ESSENTIAL FOR ECONOMIC DEVELOPMENT PROJECTS THAT WILL BEGIN WITHIN THREE YEARS, HAVE LOCAL GOVERNMENT ENDORSEMENT, AND BENEFIT THE PUBLIC.

FILE CONTAINS THE APPLICATION & NECESSARY SUPPORTING DOCUMENTS INCLUDING MAPS, AGREEMENTS, AND RELEASES FOR GRANTS. THE MUNICIPALITY, IN CONJUNCTION WITH AN ECONOMIC DEVELOPMENT PROJECT, GUARANTEES CREATION AND/OR RETENTION OF A NUMBER OF JOBS AT THE END OF A 7-YR PERIOD. IF THE JOBS DO NOT EXIST, THE DOT MAY REQUEST REIMBURSEMENT OF SOME OR ALL OF THE MONEY AWARDED. RETENTION OF GREATER THAN 7 YEARS FROM PROJECT/GRANT COMPLETION IS REQUIRED FOR COMPLIANCE AUDITING PURPOSES. THE PROGRAM IS DESIGNED TO IMPLEMENT AN IMPROVEMENT MORE QUICKLY THAN NORMAL STATE PROGRAMMING PROCESSES ALLOW. THE 50% LOCAL MATCH CAN COME FROM ANY COMBINATION OF LOCAL, FEDERAL, OR PRIVATE FUNDS OR IN-KIND SERVICES. APPLICATIONS ARE FIRST COME, FIRST SERVE, AND FUNDED WHEN ALL ELIGIBILITY INFORMATION IS COMPLETE AND SATISFACTORY.

RETENTION: EVENT (GRANT PROJECT COMPLETED) + 7 YEARS & DESTROY CONFIDENTIAL, PROVIDED AUDITED.

<u>00662000.</u>	<u>LOCAL ROADS IMPROVEMENT PROGRAM (LRIP) APPROVED PROJECT FILE</u>	<u>EVT+12</u>	<u>DEST</u>	<u>Y</u>
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THE LRIP PROGRAM IS MANAGED BY THE LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION IN THE BUREAU OF TRANSI, LOCAL ROADS, RAILROADS AND HARBORS (BTLR), AND ADMINISTERED AT THE LOCAL LEVEL BY WISCONSIN'S 72 COUNTY HIGHWAY COMMISSIONERS. THEY ARE THE STATE'S PROGRAM LIAISON WITH THE COUNTIES' TOWNS, CITIES AND VILLAGES. THEY ARE ALSO RECIPIENTS OF THE PROGRAM.

RECORDS IN THIS SERIES INCLUDE LRIP PROGRAM APPLICATIONS, EXECUTED STATE/MUNICIPAL AGREEMENTS BETWEEN WISDOT'S AND LOCAL MUNICIPALITIES, PROJECT CONTRACT AWARDS DOCUMENTATION, REQUESTS FOR REIMBURSEMENT, AND PROJECT RELATED CORRESPONDENCES INCLUDING EMAIL MESSAGES. OTHER SUPPORTING DOCUMENTATION MAY INCLUDE:

- ADVERTISEMENTS FOR BID
- APPLICABLE ROAD IMPROVEMENT PLANS
- ENGINEERING CERTIFICATIONS
- PROJECT LOCATION MAPS
- REQUESTS FOR EXCEPTION TO STANDARDS
- COST EFFECTIVENESS FINDINGS (CEF)
- BID AWARD AND REJECTION NOTICES
- DOCUMENTATION CONFIRMING CONTRACTOR PAYMENT
- PROJECT TRACKING LOGS
- LRIP BIENNIAL SUMMARY REPORT
- DISCRETIONARY PROGRAMS' ADDITIONAL DOCUMENTATION

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf). AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

OFFICIAL COPY: BTLR-LOCAL TRANSPORTATION PROGRAMS & FINANCE SECTION
 RETENTION: EVENT (PROJECT CLOSED & AUDIT COMPLETED) + 12 YEARS AND DESTROY CONFIDENTIAL

<u>00663000.</u>	<u>STATE INFRASTRUCTURE BANK (SIB) PROGRAM CASE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THIS IS A TRANSPORTATION AID PROGRAM THAT PROVIDES LOW INTEREST LOANS, LOAN GUARANTEES, INTEREST RATE SUBSIDIES, LEASE-BUY BACK OPTIONS AND OTHER FINANCIAL LEVERAGING INSTRUMENTS TO HELP COMMUNITIES PROVIDE FOR TRANSPORTATION INFRASTRUCTURE IMPROVEMENTS IN ORDER TO PRESERVE, PROMOTE AND ENCOURAGE ECONOMIC DEVELOPMENT OR TO IMPROVE TRANSPORTATION EFFICIENCY AND MOBILITY. FUNDS MAY BE USED FOR TITLE 23 ELIGIBLE HIGHWAY CONSTRUCTION PROJECTS, THE SURFACE TRANSPORTATION PROGRAM AND TITLE 49 TRANSIT PROGRAM. RECORDS INCLUDE:
 - SIB LOAN APPLICATIONS AND RELATED MATERIALS REQUIRED TO PROCESS REQUESTS FOR FUNDS.
 - DOCUMENTATION OF REPAYMENT. MUST BEGIN NO LATER THAN FIVE YEARS AFTER RECEIVING THE LOAN. TYPICALLY REPAID WITHIN 10-20 YEARS
 RETENTION: EVENT (LOAN REPAID) + 10 YEARS AND DESTROY CONFIDENTIAL

<u>00700000.</u>	<u>COURTESY REVIEWS OF LAND DIVISIONS AND DEVELOPMENTS FOR LOCA</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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WisDOT performs courtesy reviews of land divisions and proposed development when requested to do so by a local government and generates records. WisDOT provides recommendations for changes to the development or requirements that will lessen the impact on the existing transportation system. Records in this series may include, but are not limited to:

- Recommendation letters for improvements to the proposed development or developer's agreement
- Site maps, and proposed development plans

Reason for creation: Records identified during agency review.

EVENT = Date of letter of recommendation to the local government

<u>00701000.</u>	<u>ACCESS MODIFICATION REQUEST CASE FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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WisDOT receives requests to change existing access controls for various reasons. Existing access controls include acquired (Wis. Stat. § 84.09), controlled access highways (Wis. Stat. § 84.25), subdivisions (Wis. Admin. Code ch. 236, Wis. Admin. Code Trans 233), and other land divisions (as previously required in Wis. Admin. Code Trans 233 in effect 1999-2004).

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

- Request decision document (property owner letter)
- Site map
- Access modification request memo
- Official correspondence (letters & emails)
- Variance letter
- Registered/Certified Mail receipts
- Data supporting the decision, such as pertinent
 - Photos
 - Area maps
 - Traffic data
 - Sketches
 - Ownership records
 - Internal Correspondence (letters & emails)

Reason for creation: Records identified during agency review.

EVENT = Date of decision on the request

<u>00701A00.</u>	<u>ACCESS MODIFICATION REQUEST PROCESS DOCUMENTS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Correspondence and background data gathered during the decision making process but determined to be not pertinent to the decision.

Reason for creation: Records identified during agency review.

EVENT = Date of decision on the request

<u>00702000.</u>	<u>DRIVEWAY DENIAL AND REVOCATION APPEALS CASE FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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Wisconsin Stat. § 86.073 allows for the review of a Region decision denying a driveway permit request or revoking a permit.

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

- Region denial letter
- Permit application
- Final decision document(s)
- Background information supporting the decision, such as
 - Photos
 - Area maps
 - Traffic data
 - Sketches
 - Ownership records

Reason for creation: Records identified during agency review.

EVENT = Date of final appeal decision

<u>00702A00.</u>	<u>DRIVEWAY DENIAL AND REVOCATION APPEALS PROCESS DOCUMENTS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Correspondence and background data gathered during the decision making process but determined to be not pertinent to the decision.

Reason for creation: Records identified during agency review.

EVENT = Date of final appeal decision

<u>00703000.</u>	<u>INTERSTATE ACCESS JUSTIFICATION REQUESTS CASE FILE</u>	<u>EVT+40</u>	<u>DEST</u>	<u>N</u>
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Any request to add or modify interchanges or emergency access locations on the Interstate Highway System must be approved by Federal Highway Administration (FHWA) in an Interstate Access Justification Request document. See FDM 7-45.

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

- Interstate Access Justification Request
- Meeting notes
- Correspondence related to the request

Reason for creation: Records identified during agency review.

EVENT = Date of final FHWA decision

<u>00703A00.</u>	<u>INTERSTATE ACCESS JUSTIFICATION REQUESTS PROCESS DOCUMENTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Correspondence and background data gathered during the decision making process. Records in this series may include, but are not limited to:

- Area maps/photos
- Traffic studies
- Public involvement correspondence
- Alternatives

Reason for creation: Records identified during agency review.

EVENT = Date of final FHWA decision

<u>00720000.</u>	<u>TRANSPORTATION ALTERNATIVES PROGRAM (TAP) APPROVED PROJECT I</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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Transportation Alternatives Program {TAP} Approved Project Files
 The TAP program is managed by both the Local Transportation Programs & Finance Section in the Division of Transportation Investment Management (DTIM), Bureau of Transit, Local Roads, Railroads and Harbors (BTLRRH) and Local Program Project Managers in the Division of Transportation Systems Development (DTSD) five WisDOT regions.

Each approved project file is the responsibility of the office with the delegated responsibility to manage the project - that responsibility is determined by both geography and project type.

Records in this series include, but are not limited to TAP program applications, executed State/Municipal agreements between WisDOT's and local municipalities, project contract awards documentation, requests for reimbursement, and project related

correspondence including email messages. Other supporting documentation may also include:

- Award letters
- Sponsor Training Certifications
- Advertisements for bid
- Applicable plans
- Project location maps
- Requests for exception to standards
- Bid award and rejection notices
- Documentation confirming contractor payment
- Project tracking logs

Reason for creation: Program has no existing RDAs.

EVENT = date project is certified as complete

<u>00721000.</u>	<u>TAP REJECTED PROJECT APPLICATIONS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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Records in this series include rejected project applications that do not meet program requirements, notes on the rejected decision, correspondence and supporting documentation specifying reasons for rejecting the applications.

Reason for creation: Program has no existing RDAs.

EVENT = Date notification of denial is sent

<u>00722000.</u>	<u>TAP CYCLE SOLICITATION AND GUIDANCE DOCUMENTS</u>	<u>EVT+19</u>	<u>DEST</u>	<u>N</u>
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Records in this series document the administration of a particular program cycle, including documents related to the application review process and policies and guidance for selected projects:

- Funding Level Calculations
- Application Templates
- Application Instructions
- Cycle Guidance
- Cycle Schedules
- State Municipal Agreement (SMA) Templates
- Review Scores
- Review Committee Instruction
- Public Announcements
- The Sponsor's Guide to Non-Traditional Transportation Project Implementation (Sponsor's Guide)
- Correspondence with Metropolitan Planning Organizations (MPO), Secretary's Office and Federal Highway Administration (FHWA) regarding project selection.

Reason for creation: Program has no existing RDAs.

EVENT = Date when application process starts

<u>00723000.</u>	<u>PROGRAM TRACKING DOCUMENTS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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This series includes any related records that track approved projects' status and any related issues concerning the policy or administration of the projects within a given cycle.

Reason for creation: Program has no existing RDAs.

EVENT = Date program cycle is completed

<u>00830000.</u>	<u>AFFIDAVITS OF MAILING NOTICE OF SUSPENSION FOR NON-COMPLIANCE (</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
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DMV notifies drivers when their operating privilege will be suspended due to a safety responsibility (SR) case.

Records in this series are the daily reports of new SR cases. DMV processor confirms that DMV mailed a letter for each case, signs and dates the report which then becomes the affidavit of mailing.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records or any other format are digitized, they will be kept until verified for quality control purposes and then destroyed confidentially.

Reason for creation: These records were previously covered under 00664-A00 which has been closed.

EVENT = Date DMV processor signs the affidavit of mailing report; EVT + 3 mos; Destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
<u>00831000.</u>	<u>TRAFFIC SAFETY SCHOOL COURSE COMPLETIONS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	<p>File contain records of driver participation in a traffic safety school course. Records of driver participation include, but are not limited to:</p> <ul style="list-style-type: none"> • Traffic safety school course completions • Related correspondence <p>DMV processor enters data of course participation from paper records into the driver record system, scans record into DMV image system, keeps paper records for 30 days for verification purposes and destroys confidential.</p> <p>Reason for creation: These records were previously covered under 00664-A00 which has been closed.</p> <p>EVENT = Date driver completes traffic safety course; EVT + 5 yrs; Destroy confidential</p>			
<u>00832000.</u>	<u>ADMINISTRATIVE SUSPENSION POLICE REPORTS, REQUIRED BY TRANS 11</u>	<u>EVT+0/2</u>	<u>DEST</u>	<u>Y</u>
	<p>DMV processes an administrative suspension of operating privileges in accordance with Wis. Admin. Code Ch. Trans 113 upon receipt of notice and other required records from law enforcement that indicate a driver had a prohibited alcohol concentration and/or concentration of a controlled substance(s).</p> <p>Records in this series include, but are not limited to:</p> <ul style="list-style-type: none"> • Notice of Intent to Suspend Operating Privilege (MV3519) • Police narrative (arrest report) • Prohibitive substance test results • Form used to inform the accused person of Wisconsin's Implied Consent law • Request for Administrative Review by the accused <p>DMV processor enters data from electronic and/or paper records into the driver records system to set up an administrative suspension case and verifies accuracy.</p> <p>The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.</p> <p>When the paper records or any other format are digitized, they will be kept until verified for quality control purposes and then destroyed confidentially.</p> <p>Reason for creation: These records were previously covered under 00664-A00 which has been closed.</p> <p>EVT = Date of notice of intent to suspend; EVT + 2 mos; Destroy confidential</p>			
<u>00833000.</u>	<u>ADMINISTRATIVE SUSPENSION POLICE REPORTS, NOT REQUIRED BY TRAN</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	<p>DMV processes an administrative suspension of operating privileges in accordance with Wis. Admin. Code Ch. Trans 113 upon receipt of notice and other required records from law enforcement that indicate a driver had a prohibited alcohol concentration and/or concentration of a controlled substance(s).</p> <p>DMV frequently receives records not required by Trans 113. The records are often submitted in error. DMV destroys confidentially upon receipt those additional records not required by Trans 113 or that are duplicates of required records.</p> <p>Reason for creation: These records were previously covered under 00664-A00 which has been closed.</p> <p>EVENT = Date of receipt; EVT+0; Destroy Confidential</p>			
<u>00834000.</u>	<u>SELF-INSURANCE CERTIFICATION RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	<p>DMV issues an annual self-insurance certificate to companies or individuals that qualify under Wis. Stat. § 344.16 and Wis. Admin. Code Ch. Trans. 100.</p> <p>Records in this series include, but are not limited to:</p> <ul style="list-style-type: none"> • Self-Insurance Application • Listing of current vehicles • Self-insurance certificate • Related correspondence <p>The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.</p> <p>When the paper records or any other format are digitized, they will be kept until verified for quality control purposes and then destroyed confidentially.</p> <p>Reason for creation: Program had no existing RDA in place.</p> <p>EVENT = Effective date of certificate of self-insurance; EVT = 5 yrs; Destroy confidential</p>			
<u>00835000.</u>	<u>SELF-INSURANCE CERTIFICATION FINANCIAL RECORDS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>

This records series covers the financial records required to provide a certificate of self-insurance to companies or individuals that qualify under Wis. Stat. § 344.16 and Wis. Admin. Code Ch. Trans. 100.

Records in this series include, but are not limited to:

- Current financial statement
- U.S. Securities & Exchange Commission financial filing
- Related correspondence

Upon verification of the records and once the certificate of self-insurance is processed and becomes effective, DMV destroys the financial records confidentially to eliminate risk of their disclosure because they reasonably qualify as trade secrets under Wis. Stat. § 134.90(1)(c).

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records or any other format are digitized, they will be kept until verified for quality control purposes and then destroyed confidentially.

Reason for creation: Program had no existing RDA in place.

EVENT = Effective date of certificate of self-insurance; EVT+0; Destroy confidential

<u>00836000.</u>	<u>CITATIONS/COURT CONVICTIONS/WITHDRAWALS OF DRIVING PRIVILEGE</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>Y</u>
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DMV receives most traffic and non-traffic citations, convictions, court orders of withdrawal of driving privilege, driver safety plans, assessments and status reports electronically. But DMV continues to receive some paper records.

Records in this series include, but are not limited to:

- Citations
- Reports of conviction
- Conviction status reports
- Court orders of withdrawal (suspension/revocation)
- Driver safety plans/assessments/status reports (compliance or non-compliance)
- Driver record abstracts from other States
- Related correspondence

When DMV receives these paper records, a processor enters data into the driver record system, scans the paper record into an image system and verifies accuracy.

Reason for creation: These records were previously covered under 00664-A00 which has been closed.

EVENT = Date DMV enters information into driver record system, images and verifies image of paper record

EVT + 1 mo; destroy confidential

<u>00920000.</u>	<u>MOTOR CARRIER AUTHORITY APPLICATIONS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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Motor Carriers are required to have a certificate on file that grants them the authority to operate for hire as an intrastate Local Carrier (LC), Passenger Carrier (PC) or a Rental Company (RC) per Wis. Stat. § 194.23 and Wis. Admin. Code § Trans 175.03. WisDOT provides this authority to the carriers.

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

- Wisconsin Rental Company Registration Certificate Application
- Motor Carrier Operating Authority Application
- Fees information
- Related correspondence

Information in these files may contain personally identifiable information (PII) such as carrier's name, social security number, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed confidentially.

Reason for Creation: Records were covered under a different program managed by the Office of the Commissioner of Transportation until the office was dissolved in 1993.

EVENT = Date of cancellation of the authority certificate; EVT + 6 yrs; Destroy confidential

<u>00921000.</u>	<u>TEMPORARY CARRIER TRIP PERMITS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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Trip permits are issued to carriers who do not have interstate registration through IRP, but perform interstate transportation on a limited basis.

File contains WisDOT's validated trip permits previously purchased and completed by a motor vehicle carrier. Permits contain the description of a specific vehicle, carrier's name and address, authority number and classification. Also lists owner's name if vehicle is leased.

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

- Carrier temporary trip permits
- Related correspondence

Information in these files may contain personally identifiable information (PII) such as carrier's name, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed confidentially.

Reason for creation: Information previously covered under 00203-000 and 00204-000; program was discontinued in 1992 and only the records listed are part of the remaining program.

EVENT = Date permit is issued; EVT + 2 yrs; destroy confidential

<u>00922000.</u>	<u>INTERNATIONAL FUEL TAX AGREEMENT (IFTA) AUDIT FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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IFTA allows for the disbursement of fuel tax revenue to all member jurisdictions based on miles traveled and fuel used in each jurisdiction.

Wis. Admin. Code ch. Trans 152 provides the WisDOT the authority to conduct audits of motor carriers. IFTA requires a minimum of three percent of Wisconsin- registered carriers to be audited annually.

As required by IFTA, audit findings and working papers for each audit completed by the department must be preserved in electronic/digital format for a period of five (5) years or until they have been examined as part of a Program Compliance Review and the Final Report has been issued, whichever is later.

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

- Audit findings
- Audit working files
- Related correspondence
- Carrier records
- Other supporting documentation

Information in these files may contain personally identifiable information (PII) such as carrier's name, social security number, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

IFTA may get amended annually and rules for running the program and retention of records may change as a result. Thus, there is a need for this program to have a separate RDA to ensure it reflects the conditions of the current program.

Reason for creation: Information previously covered under 00122-000 and 00122-A00 along with other files that have different retention.

EVENT = Date motor carrier audit is finalized; EVT + 5 yrs; Destroy confidential

<u>00923000.</u>	<u>INTERNATIONAL REGISTRATION PLAN (IRP) AUDIT FILE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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IRP is the system in which motor carriers in Wisconsin register for interstate transportation registration. It allows for the distribution of registration fees according to mileage traveled in each jurisdiction.

Wis. Admin. Code ch. Trans 152 provides WisDOT the authority to conduct audits of motor carriers. IRP requires a minimum of three percent of Wisconsin- registered carriers be audited annually. WisDOT audits what carriers reported, during registration, for miles traveled.

As required by the IRP, audit findings and supporting documentation for each audit completed by the department must be preserved in electronic/digital format for a period of five (5) years or until they have been examined as part of a Peer Compliance Review.

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

- Audit findings
- Audit working files
- Related correspondence
- Carrier records
- Other supporting documentation

RDA #	RDA Title	Retention	Disposition	PII
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IRP may get amended annually and rules for running the program and retention of records may change as a result. Thus, there is a need for this program to have a separate RDA to ensure it reflects the conditions of the current program.

These files may contain personal identifiable information (PII) such as carrier's name, social security number, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

Reason for creation: Information previously covered under 00122-000 and 00122-A00 along with other files that have different retention.

EVENT = Date motor carrier audit is finalized; EVT + 5 yrs; destroy confidential

<u>00924000.</u>	<u>UNIFIED CARRIER REGISTRATION (UCR) AUDIT FILE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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UCR is a federally mandated program for all carriers over 10,000 pounds with any interstate commerce operation. UCR requires the department to audit carriers that claim a lower number of vehicles than the ones actually registered.

As required by the UCR, audit findings and supporting documentation for each annual audit completed by the department must be preserved in electronic/digital format for a minimum of three (3) years.

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

- UCR carrier listing
- Audit report
- Related correspondence
- Carrier records
- Other supporting documentation

Information in these files may contain personally identifiable information (PII) such as carrier's name, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed confidentially.

Reason for creation: New program; no existing RDA covering this program.

EVENT = Date motor carrier audit is finalized; EVT + 3 yrs; destroy confidential

Dept #: /000/ Department Name: DTIM, AERONAUTICS

RDA #	RDA Title	Retention	Disposition	PII
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<u>00170000.</u>	<u>MUNICIPAL AIRPORT FILE</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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The file contains information related to airport related issues such as impact of airport improvements on a community. WisDOT acts as agent for the county or municipality. File contains correspondence and information for counties and local government units to do airport work.

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

- Municipal ordinances
- Economic impact studies
- Communications with the public
- Local governments related correspondence on airport work
- Airport 's operational records regarding size and volume of aircrafts
- Communications regarding airport operations with airport managers and owners
- Other related correspondence

Records are needed to understand the responsibility of the administration of the airport with the airport commission, local government and the public. The Bureau of Aeronautics is the sole record keeping authority of this information.

The official records in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date records are created or received by the Bureau of Aeronautics

RDA #	RDA Title	Retention	Disposition	PII
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<u>00171000.</u>	<u>LOCAL AIRPORT IMPROVEMENT PETITION FILES</u>	<u>EVT+25</u>	<u>DEST</u>	<u>N</u>
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Airport improvement petitions are submitted when a community or county wishes to make an addition or improvement to its airport. In agreement with the municipality, WisDOT acts as the municipality's agent for these projects.

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

- Petitions for airport projects
- Notice of public hearings
- Affidavits of publications
- Briefs
- Hearing transcripts
- Examiner's reports and recommendations
- Agency agreements
- Related correspondence and other supporting records

Retention is triggered on the date of the agency agreement and it is based on a petition being valid for 5 years plus a 20 year period to coincide with the lifespan of the airport's master plan.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date the agency agreement is signed

<u>00172000.</u>	<u>COMPREHENSIVE AIRPORT IMPROVEMENT MASTER PLAN</u>	<u>EVT+40</u>	<u>DEST</u>	<u>N</u>
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A comprehensive master plan is a snapshot of the existing condition of the airport and a comprehensive look at the anticipated 20-year development plan.

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

- Legal papers concerning the development and funding of Master Plans for individual airports
- Final Master Plan report
- Airport Layout Plan
- Supporting information
- Related correspondence and other supporting records

The Airport Layout Plan is the essential planning document used by all airports and is required for federal and state funding.

These are documents required for the life of the airport and are the official records. Retention is based on two 20-year master plan development cycles. Previous plan provides the considerations discussed for airport development which are needed during the development of the new plan. The official records in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed .

EVENT= Date plan is superseded

<u>00173000.</u>	<u>AIRPORT PROJECT FILE</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
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File contains information dealing with airport planning, design, and airport construction projects.

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

- Project applications
- Findings
- Resolutions
- Wage rates
- Agency agreements
- Affidavit of bids
- Directive rejection of bids
- Directive award of contracts
- Contracts and subcontracts
- Vouchers
- Land acquisition/reimbursement , land release (property disposal) and land loan files
- Environmental documentation and statements
- Other related materials and correspondence

RDA #	RDA Title	Retention	Disposition	PII
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Per the Federal Aviation Administration's (FAA) Order 5100.38, the longest "minimum useful project life" is 40 years (buildings), however, these records are needed beyond the minimum useful life of the old facility to help design the new facility.

The official records in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date of project financial closure

<u>00174000.</u>	<u>AIRPORT CONSTRUCTION PLANS (AS-BUILTS)</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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File contains "As-Built" airport construction plans of airport improvement projects where construction has been completed.

Retention Justification: As-Builts are needed for the life of the facility .An As-Built document is the official plan that identifies the final (built) airport project. It includes all aspects of the project, especially changes to the original bid plan used to initiate the construction contract. Plans are essential documents to meet ongoing business needs to administer and maintain and otherwise improve an airport facility, conduct inspections and assure quality and safety of the facility.

The official record in this series may exist in paper, microfilm or in another digital format and the retention will apply to the applicable official record format. When the paper records, microfilm or any other format are digitized,they will be kept until verified for quality control purposes and then destroyed.

Supersedes RDA 00174-AOO - Airport Construction Plans - microfilm.

<u>00175000.</u>	<u>AIRPORT FEDERAL SURPLUS PROPERTY FILE</u>	<u>EVT+0/2</u>	<u>DEST</u>	<u>N</u>
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Records in this series contain records of transactions for airport equipment obtained by Wisconsin airports through the General Services Administration's (GSA) federal surplus property program for airports. WisDOT acts as the agent for the municipality airports, serving as a liaison between the airport,the Federal Aviation Administration (FAA) and the GSA to facilitate the transaction. WisDOT's role is complete, when the transfer of the equipment to the airport is approved by the FAA and the GSA.

The transaction information is contained on the Federal forms titled "Transfer Order Surplus Personal Property" and may contain attached memoranda. Records in this series may include, but are not limited to:

- Request for equipment
- Confirmation of transaction
- Related correspondence

The official records in this series may exist in paper or electronic format and the retention will apply to the applicable official record format, When the paper files are digitized,they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date the airport receives approval to claim equipment

<u>00176000.</u>	<u>AIRSPACE OBSTRUCTION & PERMIT FILE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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WisDOT is the permitting authority for the "Permit to Erect High Structures ," pursuant to Wis. Admin. Code ch.Trans 56, that may obstruct airspace.

A tall or high structure means any building, structure, tower or other object affecting airspace in the state of Wisconsin. They may include utility lines on or near airport property or land close to airports that could create a hazard. Approved permits are retained until the obstruction is removed.

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

- Applications and studies for tall structures
- Approvals for tall structures
- Quadrangle maps showing locations of various tall structures in the vicinity of an airport
- Related correspondence

The official records in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized,they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date the obstruction is removed or date the permit is denied

00178000. AIRCRAFT REGISTRATION FILES EVT+10 DEST Y

Aircraft owners are required to initially register Wisconsin based aircraft per Wis. Stat. § 114.20 and renew registration as required. An aircraft owner is defined as an organization or person(s). Initial aircraft registration and renewals are submitted to the Bureau of Aeronautics by aircraft owner. Application information is entered into BOA's Aircraft Registration Database and then destroyed confidentially upon information verification. Information in the database is Wisconsin's official aircraft registration record.

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

- Aircraft and owner registration information
- Registration renewal information
- Registration application information
- Related correspondence

Retention of these records is based on the date of the notice of the sale of the aircraft, date of confirmation that it is no longer based in Wisconsin or date of confirmation when the aircraft is destroyed. Confirmation comes from aircraft owner or FAA.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.

Supersedes RDAs 00178-AOO and 00178-800

EVENT = Date the aircraft is sold, is based out-of-state or is destroyed

00179000. AVIATION EDUCATION FILE EVT+4 DEST N

Files contain information dealing with aviation education and training. In cooperation with the appropriate educational institutions of the state, WisDOT's Secretary formulates programs of aviation education and training and disseminates information regarding such programs while cooperating with other local, regional and national aviation stakeholders.

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

- Aviation education and training files
- Correspondence with schools (High Schools, Technical schools, Colleges, etc.), and other agencies and organizations
- General pilot information
- Safety bulletins
- Vocational and career information
- Aircraft usage information
- Other program related information
- Other related correspondence

The official records in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT=Date program closes

00623000. PRIVATE AIRPORT FILES EVT+50 DEST Y

These files contain correspondence and information with counties and local government units about private airports, heliports and seaplane bases. Information includes communication with owners regarding the location and operation of the landing facility. Files also contain newspaper articles regarding the airport, heliports and seaplane bases. These landing facilities are privately owned and privately used.

A private airport is an airport that is privately owned and operated by an individual or organization.

Retention justification: These files are the sole and most comprehensive source of information on these airports and the only evidence in existence about these facilities and any correspondence with them . Thus, these records are needed for an extended period of time after they are closed or abandoned.

The official records in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date private airport closes or is abandoned

00627000. AIRPORT SAFETY DATA INSPECTION FILES (5010 PROGRAM) FILES EVT+3 DEST N

RDA #	RDA Title	Retention	Disposition	PII
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The Airport Safety Data Inspection program is the primary means for the collection, maintenance and dissemination of safety information related to airports. BOA inspects public used airports once every three years and files a report with FAA. Bureau of Aeronautics' role in the airport inspection program is to perform the safety inspection, record all information on the FAA form 5010-1 and enter it into the FAA 5010 program database web portal. The FAA uses this information to publish the Airport Facility Directory.

The inspection report includes current information or existing conditions about the airport including airport owner contact information and airport manager contact information, latitude and longitude coordinates for airport, county where airport is located, runway data, lighting aids, obstruction data, landing length, services, based aircraft, facilities and operations regarding the airport, aerial photo, sketch of runways and list of obstructions found at the airport.

The official records in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date inspection report is superseded

<u>00665000.</u>	<u>AIRPORT SPECIAL PROJECT FILES</u>	<u>EVT+20</u>	<u>DEST</u>	<u>N</u>
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These files contain information for special projects that are not airport specific. These projects may be pilot service, airport construction or maintenance related. WisDOT may sponsor these projects or may act as the agent for the airport owners.

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

- Automated Weather Observation System program files
- Airport System Management projects files
- Runway marking program files
- Statewide sealcoat program files
- Pavement Condition Inspections Reports
- State Airport System Planning records
- Pilot weather briefing program records
- Related correspondence

Retention is based on the State Airport System Plan (SASP), which is the longest lifespan project contained in the special project files - 20 years.

The official records in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date of project financial closure

<u>00750000.</u>	<u>SIX-YEAR AIRPORT CAPITAL IMPROVEMENT PROGRAM (CIP) PLAN FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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The plan is a list of proposed airport capital improvements by year and by airport. It includes type of project, cost estimates broken out by funding source, and project scheduling. BOA develops Six-Year plans annually. The plan changes as airport needs change and as availability of funding changes. The current CIP is maintained in the bureau's airport management system (currently the ASM - Airport System Management).

Records in this series may include, but is not limited to:

- Six-Year Program plans
- Related information
- Background information
- Computations
- Supporting documentation
- Related correspondence

Records have ongoing value to recommend project funding; develop timetables for the future; and estimate when projects will be initiated. The official records in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: No existing RDA for these records.

EVENT = Date current CIP is submitted to the FAA

<u>00751000.</u>	<u>PERMANENT AIRPORT LAND RECORDS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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The file contains information related to current and historic airport property for the 97 airports in the Wisconsin State Airport System Plan (SASP) and closed SASP airports. File contains deeds, property surveys, title work, property maps and other survey and real

Dept #: /000/ Department Name: DTIM, AERONAUTICS

RDA # RDA Title Retention Disposition PII

property information.

Retention Justification: Files are needed to understand airport property rights, restrictions and interests in land. They are also needed to develop current and historic property maps and airport layout plan property information required for federal projects and project planning. Files are also needed to research historic acquisitions to support activities related to disposal of airport property or compliance with state and federal grant obligations.

The Bureau of Aeronautics acts as agent for the county or municipality in acquiring and disposing of airport property and it is the sole record keeping custodian for this collection of airport and records.

The official records in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper files are digitized, they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: Previously covered under an RDA with a shorter retention. Records must be kept permanently.

Dept #: /001/ Department Name: DTSD MADISON

RDA # RDA Title Retention Disposition PII

00007A00. PERMITS - WORK ON HIGHWAY RIGHT-OF-WAY, AND UTILITIES CR+5 DEST N

File Contains Copies Of Permits Issued To Individuals, Companies, Corporations, And Local Units Of Govern- Ment To Perform Work Within The Limits Of Sth (State Trunk Highways), Etc. Including The Installation Of Power And Gas Lines, Sewer, Water And Communication Lines. File Also Contains Copies Of Permits Of Similar Works And Facilities And Highway Rest Area Refreshment Serving. Division Of Transportation Infrastructure Development (Dtid) Central Office To Be Holder Of "Official Copy."

Note: Prior To 1979 Permits Included All Public Highways. From 1979 On Files Include Only Sth Highways And Dot Railroad Property. Files Include Forms For: "Application/Permit To Construct And Operate Utility Facilities On Highway Right-Of-Way" And "Application/Permit To Work On Highway Right-Of-Way" Or Equivalent.

Cross Reference: See Rda 7 For "Original" Retained By Division Of Transportation Infrastructure Development (Dtid) Central Office Files.

Retention Period Is 5 Years After Issued Date. Electronic Files To Be Deleted At The Time Of Paper Records Disposal.

2/21/00 Approved By Prb.

00008A00. PERMITS - DRIVEWAY EVT+2 DEST N

File Contains Originals Of Permits And Supporting Documentation Issued To Individuals, Companies, Corporations, And Local Units Of Government, Regarding Driveways Within The Limits Of Highway Right-Of-Way. File Includes Form For: "Application/ Permit To Construct Driveway." Division Of Transportation Districts To Be Holder Of "Official Copy."

Cross Reference: See Rda 8 For Copies Retained By Division Of Transportation Infrastructure Development (Dtid) Central Office Files For 5 Years.

Event Is Described As Permit Being Superseded, Rescinded Or Dot No Longer Has A Vested Interest. Destroy Provided No Litigation Is Pending. Electronic Files To Be Deleted At The Time Of Paper Records Disposal.

Amended To Change Retention From Cr+40 Years To Evt+2 Years.

2/21/00 Approved By Prb.

00187A00. AS-BUILT HIGHWAY CONSTRUCTION PLANS CR+4 SHSW N

File Contains The Location Index To The Wisconsin Photolog Presentation (Film/Digital Video) Information. This Is A Copy Of The Official Record Index For The Photolog Information And Maintained In The District Office. It Is An Index To Photolog Information For Applicable District To Which It Is Distributed Only.

Cross Reference:

Official Record - Photolog Index Refer Rda00187000

District Copy - Photolog Index Refer Rda00187A00

Official Record - Positive Film Refer Rda00185A00

District Copy - Positive Film Refer Rda00185B00

Official Record - Photolog Digital Video 8" Refer

Rda00185C00

Dept #: /001/ Department Name: DTSD MADISON

RDA #	RDA Title	Retention	Disposition	PII
	District Copy - Photolog Digital Video 8" Refer Official Record - Photolog Digital Video 12" Refer District Copy - Photolog Digital Video 12" Refer Rda00185F00	Rda00185D00 Rda00185E00		
	Filed By: Highway Segment Within County Within Year Filmed. Information By Engineering Staff Because Of At Scale Presentation.			
	Closed Means Construction Completion.			
	Retain 100 Years Or Until Plan No Longer Has Engineering Reference Value To Dot, (E.G.; Relocated, Rebuilt, Destroyed) Whichever Comes First.			
	Upon End Of Retention, Plans May Be Destroyed Or Transferred To Applicable Municipal Agency If Highway Converted To Local Road, Etc.			
	For Microfilm (1970 On) Refer Rda00186-0. (Microfilm Not At Scale).			

Dept #: /002/ Department Name: DTSD WAUKESHA

RDA #	RDA Title	Retention	Disposition	PII
<u>00008A00.</u>	<u>PERMITS - DRIVEWAY</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
	File Contains Originals Of Permits And Supporting Documentation Issued To Individuals, Companies, Corporations, And Local Units Of Government, Regarding Driveways Within The Limits Of Highway Right-Of-Way. File Includes Form For: "Application/ Permit To Construct Driveway." Division Of Transportation Districts To Be Holder Of "Official Copy."			
	Cross Reference: See Rda 8 For Copies Retained By Division Of Transportation Infrastructure Development (Dtid) Central Office Files For 5 Years.			
	Event Is Described As Permit Being Superseded, Rescinded Or Dot No Longer Has A Vested Interest. Destroy Provided No Litigation Is Pending. Electronic Files To Be Deleted At The Time Of Paper Records Disposal.			
	Amended To Change Retention From Cr+40 Years To Evt+2 Years.			
	2/21/00 Approved By Prb.			

Dept #: /003/ Department Name: DTSD GREEN BAY

RDA #	RDA Title	Retention	Disposition	PII
<u>00008A00.</u>	<u>PERMITS - DRIVEWAY</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
	File Contains Originals Of Permits And Supporting Documentation Issued To Individuals, Companies, Corporations, And Local Units Of Government, Regarding Driveways Within The Limits Of Highway Right-Of-Way. File Includes Form For: "Application/ Permit To Construct Driveway." Division Of Transportation Districts To Be Holder Of "Official Copy."			
	Cross Reference: See Rda 8 For Copies Retained By Division Of Transportation Infrastructure Development (Dtid) Central Office Files For 5 Years.			
	Event Is Described As Permit Being Superseded, Rescinded Or Dot No Longer Has A Vested Interest. Destroy Provided No Litigation Is Pending. Electronic Files To Be Deleted At The Time Of Paper Records Disposal.			
	Amended To Change Retention From Cr+40 Years To Evt+2 Years.			
	2/21/00 Approved By Prb.			

Dept #: /005/ Department Name: DTSD LACROSSE

RDA #	RDA Title	Retention	Disposition	PII
<u>0008A00.</u>	<u>PERMITS - DRIVEWAY</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
<p>File Contains Originals Of Permits And Supporting Documentation Issued To Individuals, Companies, Corporations, And Local Units Of Government, Regarding Driveways Within The Limits Of Highway Right-Of-Way. File Includes Form For: "Application/ Permit To Construct Driveway." Division Of Transportation Districts To Be Holder Of "Official Copy."</p> <p>Cross Reference: See Rda 8 For Copies Retained By Division Of Transportation Infrastructure Development (Dtid) Central Office Files For 5 Years.</p> <p>Event Is Described As Permit Being Superseded, Rescinded Or Dot No Longer Has A Vested Interest. Destroy Provided No Litigation Is Pending. Electronic Files To Be Deleted At The Time Of Paper Records Disposal.</p> <p>Amended To Change Retention From Cr+40 Years To Evt+2 Years.</p> <p>2/21/00 Approved By Prb.</p>				

Dept #: /011/ Department Name: DBM- FLEET MANAGEMENT

RDA #	RDA Title	Retention	Disposition	PII
<u>0011000.</u>	<u>STATE PUMP GAS TICKETS</u>	<u>EVT+2</u>	<u>DEST</u>	
<p>File Contains Copies Of Gas Tickets From Dot Owned Facilities On Fuel Dispensed To A Dot Owned Vehicle. Ticket Gives Vehicle Number, Pump Number And Location, Date And Gallons Dispensed And Signature Of Person Receiving. File Used By Fleet Operations To Verify Amount & Use Of Fuel Dispensed To Dot And As An Audit Trail And Supplemental Information To Vehicle Report.</p> <p>This Is Dot Official File On Fuel Dispensed From Dot Owned Pumps To Dot Owned Vehicles.</p> <p>Closed Means End Of Calendar Year In Which Gasoline Dispensed.</p> <p>File In Order By Date Fuel Dispensed Within Pump Location.</p> <p>Retain 2 Years After Closed And Destroy.</p>				
<u>00112000.</u>	<u>OIL COMPANY CREDIT CARD TICKETS</u>	<u>EVT+2</u>	<u>DEST</u>	
<p>File Contains Copies Of Credit Card Charge Slips Sent To Dot From Oil Companies With Monthly Invoices. File Contains Only Those Tickets Where Other Detail Listings Have Been Sent To Baa With Invoice. Tickets Identify Account Number, Vehicle Number Receiving Fuel, Oil Or Service, Dollar Amount And Driver Signature.</p> <p>Information Is Use By Dot Fleet Operations To Cross Check Oil Company Invoices For Accuracy Prior To Payment Authorization. Information Has Operational And Fiscal Value.</p> <p>Closed Means End Of Calendar Year In Which Invoices Are Dated.</p> <p>Reference Rda 00086-0 For Dot Official Invoice File.</p> <p>File In Order By Year Within Vendor Name.</p> <p>Beginning With Cy 1991 These Will Become A Part Of Rda 00086-0.</p> <p>Retain 2 Years After Closed And Destroy.</p>				
<u>00114000.</u>	<u>VEHICLE USE AGREEMENTS</u>	<u>EVT+2</u>	<u>DEST</u>	
<p>File Contains Agreements Signed By Employees And Other People Who Use Dot Vehicles. Information Includes Person'S Name, Drivers License Number, Signature And Information Regarding The Rules For Using Dot Vehicles.</p>				

Dept #: /011/ Department Name: DBM- FLEET MANAGEMENT

RDA # RDA Title Retention Disposition PII

This Information Is Used Part Of The Fleet Management System And Risk Management System. Information Mandated By Doa Per Vehicle Use Handbook. Information Is Used To Insure That Users Of Dot Vehicles Have Been Adequately Briefed On Rules And Liabilities; That They Have A Valid Driver License, Information About Special Restrictions, Etc. Information May Be Used When Individual Is Involved In An Accident Involving A Dot Vehicle.

Closed Means Agreement Terminated Or Superseded.

File In Order By Drivers Last Name.

Retain 2 Years After Closed And Destroy.

00115000. **FLEET ASSIGNMENT AND EQUIPMENT RECEIPT FILE** **EVT+2** **DEST**

File Contains Fleet Assignment And Equipment Receipt Identifying Vehicle Or Equipment Description Information And Vehicle License Number. File Identifies Where Or To Whom Vehicle/Equipment Was Assigned, Including Signature Of Receiving Party. File Includes A Description Of Special Equipment If Installed. File Also Contains A Copy Of The Vehicle Odomometer Statement At Time Of Vehicle Sale By Dot.

Information Is Used In The Management And Operation Of The Dot Fleet. File Is Referenced More Frequently Than The Vehicle Record File.

Reference Rda 00110-0 For Dot Official Vehicle Record File.

This Is The Dot Official Vehicle/Equipment Assignment File.

File In Order By Vehicle Number.

Closed Means End Of Calendar Year In Which Vehicle Sold.

Retain 2 Years After Closed And Destroy.

00116000. **FLEET MANAGEMENT SYSTEM** **EVT+3** **DEST**

Host Online Fleet Management System Contains Dot Fleet Asset And Cost Information Including Tables Of Control, Classification (Category And Rate), Unit Oriented Description, Monthly Specific And Posted Use Detail And Other Applicable Information. System Is Also Tied To Dot Organization And Financial Operating Systems.

Information Originates From Vehicle/Equipment Purchase, Use Maintenance, Repair, Transaction Transmittals, Invoices, Monthly Vehicle Reports, Postings, Etc.

System Is Used As An Online Resource To Identify Fleet Assets And Related Equipment, Use/Maintenance Costs, Miles/Hours To Develop Use Rates, Invoice Dispose/Replace, Audit And Other Fleet Management Requirements/Needs.

This Is An Operational Working File. Refer To Rda110-0 For Official Record During Retention Period.

Closed Means End Of Calendar Year In Which Vehicle Is Sold From Dot.

Retain 3 Years After Closed And Destroy.

Dept #: /012/ Department Name: OFFICE OF PUBLIC AFFAIRS

RDA # RDA Title Retention Disposition PII

00820000. **EVENT BRIEFS** **EVT+1** **SHSW** **N**

Event briefs provide details and contextual information that guides the Secretary, Deputy or Assistant Deputy on his or her interactions and activities during an event or meeting.

Dept #: /012/ Department Name: OFFICE OF PUBLIC AFFAIRS

RDA # RDA Title Retention Disposition PII

Depending on the event, briefs may contain substantive information as well as administrative type information. These briefs may be prepared for both internal and external events.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.
When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: Records previously covered under 00365-000. New RDA needed to keep for a shorter retention period.

EVT + 1 = date of creation; transfer to WHS

00821000. PHOTOGRAPH, VIDEO, AUDIO AND/OR INTERVIEW RELEASE AUTHORIZATION EVT+3 DEST Y

Forms signed by individuals photographed, recorded or interviewed by the Department releasing rights and claims relating to the photographs or recordings.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.
When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.
Reason for creation: No existing RDA

EVT + 3 yrs = date information/record associated to the authorization is no longer used; destroy confidential

00822000. AUDIO VISUAL MATERIALS EVT+3 DEST N

Records in this series include photographs, video, audio, and any other audio-visual materials used for any departmental public relation purposes such as agency websites (internal or external), publications, or social media platforms where the department posts information.

Reason for creation: No existing RDA.

EVT + 3 = date superseded or obsolete; transfer to WHS

Dept #: /015/ Department Name: GENERAL COUNSEL

RDA # RDA Title Retention Disposition PII

00048000. ATTORNEY OPINIONS EVT+20 SHSW Y

FILES ARE TYPICALLY CREATED AS A RESULT OF REQUESTS FROM DEPARTMENT OF TRANSPORTATION STAFF; OTHER AGENCIES; LEGISLATORS; ATTORNEYS; OR THE GENERAL PUBLIC. RECORDS RELATE TO TRANSPORTATION MATTERS INCLUDING BUT NOT LIMITED TO: DRIVEWAY REVOCATIONS, REAL ESTATE ACQUISITION, DRAINAGE DAMAGE, PUBLIC WORKS BID PROCEDURES, DRIVER CONTROL, VEHICLE REGISTRATION AND STATE PATROL ENFORCEMENT. FILES MAY INCLUDE BUT ARE NOT LIMITED TO:

* BACKGROUND MATERIALS

* CLARIFICATION OF THE LAW

* INTERPRETATION OF CASES, STATUTES, REGULATIONS AND OTHER ADMINISTRATIVE MATERIALS RELATING TO TRANSPORTATION INCLUDING HIGHWAYS, PORTS AND AIRPORTS.

SOME FILES MAY INCLUDE PII THAT IS PROTECTED BY THE DRIVER PROTECTION PRIVACY ACT 18 U.S.C. SS 2721 ET. SEQ.

RETENTION: EVENT(DATE FILE IS CLOSED) + 20 YEARS AND TRANSFER TO WHS

00049000. SIGN AND ACCESS/DRIVEWAY HEARINGS FILES EVT+10 DEST Y

FILES ARE TYPICALLY CREATED AFTER ACTION BY WISDOT TO REMOVE A NONCONFORMING SIGN OR PROHIBIT THE CONSTRUCTION OF SIGNS THAT VIOLATE STATUES, INCLUDING, WIS. STAT. CH. 84, 86 AND 346; OR REGULATIONS, INCLUDING, WIS. ADMIN. CODE. CH. TRANS. 200 AND 201. SOME FILES MAY INCLUDE INFORMATION ABOUT SIGN ACQUISITION UNDER WIS. STAT SS 84.30. FILES MAY INCLUDE BUT ARE NOT LIMITED TO:

* BACKGROUND MATERIAL; NOTICES; APPRAISALS AND DETERMINATION OF VALUES; AND JURISDICTIONAL OFFERS

* CORRESPONDENCE AND OTHER DOCUMENTATION OF NEGOTIATIONS

* FINAL DECISIONS AND FINDINGS/CONCLUSIONS BY ADMINISTRATIVE JUDGES

RDA # RDA Title Retention Disposition PII

* OUTDOOR ADVERTISING INFORMATION
 * DRIVEWAY CASE MATERIALS FOR CONTESTED HEARINGS UNDER WIS. STAT. CH. 86 AND WIS. ADMIN. CODE CH. TRANS. 231.

RETENTION OF 10 YEARS IS NECESSARY BECAUSE SIGN AND ACCESS/DRIVEWAY CASES AFFECT INTERESTS IN REAL PROPERTY (REAL ESTATE).

EXAMPLES INCLUDE: SIGN (BILLBOARD) REMOVAL; DRIVEWAY REVOCATION; PERMIT REVOCATION; AND ROADWAY REMOVAL. THESE ARE TRANSPORTATION HEARINGS THAT ARE UNIQUE TO WISDOT AND EMPLOY A SPECIFIC HEARING PROCEDURE. THESE FILES ARE OF SIGNIFICANT CONCERN BECAUSE OF THE FREQUENCY AND EXPENSE OF LITIGATION AND ADMINISTRATIVE ACTION INCLUDING APPEALS. A 10-YEAR RETENTION PERIOD IS NECESSARY BECAUSE OF THE LONG-TERM IMPORTANCE OF THE REAL ESTATE AFFECTED AND TO PROVIDE SOURCE MATERIAL FOR FUTURE CASES INVOLVING LITIGATION OR ADMINISTRATIVE ACTION AGAINST THE SAME PARCEL AND/OR PARCEL OWNER.

RETENTION: EVENT(DATE CASE IS CLOSED) + 10 YEARS AND DESTROY CONFIDENTIAL

00052000. RAILROAD CASES AND REGULATORY INTERVENTION EVT+10 DEST Y

FILES ARE TYPICALLY CREATED AS PART OF OGC INVOLVEMENT IN REPRESENTING WISDOT BEFORE FEDERAL AND STATE REGULATORY AGENCIES AND COORDINATING WISDOT'S REGULATORY INTERVENTION THROUGH THE ADMINISTRATION OF VARIOUS FEDERAL AND STATE PROGRAM. OGC ALSO PROVIDES ADVICE TO THE DEPARTMENT'S RAILROADS AND HARBORS SECTION DURING RAILROAD CONDEMNATION AND ABANDONMENT CASES AND ASSISTS THE SECRETARY AND THE GOVERNOR TO COORDINATE, RECOMMEND AND DEVELOP THE OVERALL DIRECTION FOR WISDOT'S REGULATORY INTERVENTION POLICIES. RECORDS COVERED HERE MAY INCLUDE BUT ARE NOT LIMITED TO:
 * BACKGROUND MATERIALS, CORRESPONDENCE, NOTICES, FINDINGS, AND DECISIONS REGARDING REGULATORY INTERVENTION AFFECTING INTERSTATE OR INTRASTATE RAILROADS.
 * INFORMATION REGARDING EMINENT DOMAIN PURSUANT TO WIS. STAT. CH. 32 (WIS. STAT. SS 32.05) AND PROPERTY MANAGEMENT OF RAILROAD CORRIDOR PROPERTY OWNED BY THE STATE OF WISCONSIN AS REQUIRED BY WIS. STAT. SS 85.09.
 * INFORMATION REGARDING TAXES, UTILITIES AND RAILROAD ORGANIZATION, OPERATION, MANAGEMENT, REGULATION, AND LIABILITY PURSUANT TO WIS. STAT. CH. 190, 192 AND 195.
 * HARBOR INFORMATION RELATED TO WIS. STAT. SS 85.095 AND WIS. ADMIN. CODE. CH. TRANS. 28.

RETENTION: EVENT(DATE CASE IS CLOSED) + 10 YEARS AND DESTROY CONFIDENTIAL

00053000. LEGISLATION CASE FILES EVT+5 SHSW N

FILES CONTAIN BACKGROUND MATERIALS AND LETTERS RELATING TO PROPOSED AND ENACTED LEGISLATION AFFECTING THE DEPARTMENT BOTH AT THE STATE AND FEDERAL LEVEL. FILES MAY INCLUDE BUT ARE NOT LIMITED TO:
 * BILL DRAFTS AND ANALYSES
 * INTERNAL AND EXTERNAL CORRESPONDENCE
 * FISCAL ESTIMATES
 * AMENDMENTS
 * ATTORNEY NOTES AND MEMORANDA
 * POLICY AND POSITION RECOMMENDATIONS
 * AGENCY POSITION ON BILLS AND AMENDMENTS

NOTE: FOR THE PURPOSES OF THE RETENTION EVENT - A LEGISLATIVE SESSION BEGINS ON JANUARY 1 OF AN ODD NUMBERED YEAR AND RUNS FOR TWO YEARS, SO THAT DECEMBER 31 OF THE EVEN NUMBERED YEAR REPRESENTS THE EFFECTIVE END OF THE TWO YEAR LEGISLATIVE SESSION.

RETENTION: EVENT+5 YEARS AND TRANSFER TO WHS
 EVENT = DATE THAT LEGISLATIVE SESSION ENDS OR DECEMBER 31 OF THE EVEN-NUMBERED YEAR ENDING THE LEGISLATIVE BIENNIAL SESSION PERIOD DURING WHICH THE RECORD WAS CREATED.

00055000. SERVICE OF PROCESS ON NONRESIDENTS EVT+2 DEST Y

THE WISCONSIN SECRETARY OF TRANSPORTATION HAS STATUTORY AUTHORIZATION UNDER WIS. STAT. 345.09 TO ACCEPT SERVICE OF PROCESS FOR LAWSUITS ON BEHALF OF OUT-OF-STATE MOTORISTS. OGC IS AUTHORIZED BY THE SECRETARY TO ACCEPT SERVICE OF PROCESS.

FILES MAY CONTAIN BUT NOT LIMITED TO:
 * CORRESPONDENCE
 * COPIES OF CERTIFICATES
 * SUMMONS AND COMPLAINTS INVOLVING PERSONS RESIDING OUT-OF-STATE WHO WERE INVOLVED IN TRAFFIC ACCIDENTS IN WISCONSIN AS DESCRIBED IN WIS. STAT. SS 345.09.

RETENTION: EVENT+2 YEARS AND DESTROY CONFIDENTIAL
 EVENT = DATE DOCUMENTS WERE MAILED BY REGISTERED MAIL UNDER WIS. STAT. SS 345.09

00447000. ADMINISTRATIVE LAW HEARINGS EVT+7 DEST Y

QUASI-JUDICIAL PROCEEDINGS IN A WIDE VARIETY OF MATTERS INVOLVING THE INTERPRETATION OF LAW AND/OR

Dept #: /015/ Department Name: GENERAL COUNSEL

RDA # RDA Title Retention Disposition PII

PROGRAM REGULATIONS, EITHER PERFORMED BY STATE AGENCY ADMINISTRATIVE LAW JUDGES OR HEARING EXAMINERS OR UNDERTAKEN BY A HEARING EXAMINER FROM THE DIVISION OF HEARINGS AND APPEALS IN THE DEPARTMENT OF ADMINISTRATION PER WIS. STAT. SS 227.43 ON BEHALF OF THE STATE AGENCY OR PERFORMED BY THE BOARDS ATTACHED TO THE AGENCY.

FILES MAY INCLUDE BUT ARE NOT LIMITED TO:

* MOTOR VEHICLE DEALER HEARINGS, FINDINGS AND DECISIONS AS DESCRIBED IN WIS. STAT. CH. 218 AND WIS. ADMIN. CODE CH. TRANS. 137, 138, 139, 140

* PERSONNEL HEARINGS AND MATTERS RELATING TO: HIRING, UNEMPLOYMENT COMPENSATION, EMPLOYEE DISCIPLINE, EMPLOYEE TERMINATION, EMPLOYMENT DISCRIMINATION AND RECLASSIFICATION.

SUPERSEDES RDAS 00050-000 AND 00051-000

NOTE: THIS RDA WILL BE SUPERSEDED BY THE APPLICABLE LEGAL AFFAIRS GRS RDA WHEN APPROVED

RETENTION: EVENT + 7 YEARS AND DESTROY CONFIDENTIAL

EVENT = THE DATE OF THE FINAL DECISION OF THE ADMINISTRATIVE LAW JUDGE OR IF CASE IS APPEALED TO CIRCUIT COURT THE DATE THE CASE IS DECIDED AT THE APPLICABLE COURT OR THE DATE OF THE FINAL DECISION OF THE BOARD ATTACHED TO THE STATE AGENCY

00448000. ADMINISTRATIVE LAW HEARINGS - PRECEDENT SETTING OR HISTORICAL EVT+20 SHSW Y

THIS IS A SUBSET OF THE ADMINISTRATIVE LAW HEARINGS RECORD SERIES IN WHICH THE AGENCY LEGAL COUNSEL, OTHER MANAGEMENT STAFF IN THE AGENCY, DOA HEARINGS AND APPEALS OR ARCHIVES DETERMINES THAT THE CASE WAS HISTORICALLY SIGNIFICANT OR PRECEDENT SETTING.

FILES MAY INCLUDE BUT ARE NOT LIMITED TO:

* MOTOR VEHICLE DEALER HEARINGS, FINDINGS AND DECISIONS AS DESCRIBED IN WIS. STAT. CH. 218 AND WIS. ADMIN. CODE CH. TRANS. 137, 138, 139, 140

* PERSONNEL HEARINGS AND MATTERS RELATING TO: HIRING, UNEMPLOYMENT COMPENSATION, EMPLOYEE DISCIPLINE, EMPLOYEE DISCIPLINE, EMPLOYEE TERMINATION, EMPLOYMENT DISCRIMINATION AND RECLASSIFICATION.

SUPERSEDES RDAS 00050-000 AND 00051-000

NOTE: THIS RDA WILL BE SUPERSEDED BY THE APPLICABLE LEGAL AFFAIRS GRS RDA WHEN APPROVED.

RETENTION: EVENT + 20 YEARS AND TRANSFER TO WHS

EVENT = THE DATE OF THE FINAL DECISION OF THE ADMINISTRATIVE LAW JUDGE OR IF CASE IS APPEALED TO CIRCUIT COURT THE DATE THE CASE IS DECIDED AT BY THE APPLICABLE COURT OR THE DATE OF THE FINAL DECISION OF THE BOARD ATTACHED TO THE STATE AGENCY.

00449000. WITHDRAWN ADMINISTRATIVE RULES FILES EVT+10 DEST N

THIS SERIES CONTAINS PROPOSED RULE DRAFT FILES HAVE BEEN WITHDRAWN BY WISDOT UNDER WIS. STAT. SS 227.14(6) PRIOR TO FILING UNDER WIS. STAT. SS 227.20.

FILES MAY CONTAIN DOCUMENTS AS REQUIRED BY 2011 E.O. 50 AND WIS. STAT. CH. 227 INCLUDING:

* BACKGROUND MATERIALS

* EMAILS, LETTERS AND CORRESPONDENCE

* NOTICES

* RULE DRAFTS

* CODE INTERPRETATIONS AND STATEMENTS OF POLICY

RETENTION: EVENT + 10 YEARS AND DESTROY

EVENT = THE DATE OF AGENCY WITHDRAWAL OF RULE UNDER WIS. STAT. 227.14(6).

Dept #: /020/ Department Name: DTSD - CENTRAL FILES

RDA # RDA Title Retention Disposition PII

00015000. CONTRACTS-BRIDGE MAINTENANCE (M-FILES) EVT+10 DEST N

File Contains Highway Contracts With Counties And Private Contractors For Bridge Maintenance Work Which Includes Proposals For Highway Work, Contractor'S Bond, Power Of Attorney, Special Provisions, State Aid And Federal Provisions, Schedule Of Minimum Wages, Schedule Of Prices And Other Material Pertinent To Execution Of The Contract.

Retention Period = 10 Years After The Contract Has Been Superseded With Another Contract Or The Contract Has Been Amended.

Dept #: /020/ Department Name: DTSD - CENTRAL FILES

RDA #	RDA Title	Retention	Disposition	PII
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Dept #: /030/ Department Name: DBM - PAYROLL

RDA #	RDA Title	Retention	Disposition	PII
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<u>00021000.</u>	<u>HIGHWAY PROJECTS FINAL COST STATEMENT FILE</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
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Final Cost Statements are created upon highway project financial closing. These records are the official record of project financial cost information and remain long term once, the detailed project file information has met its retention.

Each Final Cost statement includes the following information:

- Project location
- Project ID
- Federal Project Number
- Contractor Name
- Date final contract work completed
- Type and amount of engineering cost
- Total project cost
- Source of funds for project financing

The project final cost statement is the permanent historical record for financial data on highway projects. It is also the record that traces funding sources for the project, as they serve as a reference point for future improvements on the same highway. These records are an essential part of the project record.

The official record in this series may exist in paper, microfilm or in another digital format and the retention will apply to the applicable official record format. When the paper records, microfilm or any other format are digitized, they will be kept until verified for quality control purposes and then destroyed.

Supersedes RDAs 00021-AOO and 00021-B00 - Highway Projects Final Cost Statements File (microfilm and electronic).

<u>00090000.</u>	<u>HIGHWAY MAINTENANCE REPORTS</u>	<u>CR+5</u>	<u>DEST</u>	
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File Contains Correspondence, Pay Sheets And Paid Estimates Concerning Contracts With Private Contractors And Various County Highway Departments For Expenditures For Highway Maintenance And Construction Projects. File Is Maintained For Reference Purposes.

Arrangement By County Number.

Retain 5 Years And Destroy.

<u>00092000.</u>	<u>FEDERAL HIGHWAY ADMINISTRATION FILE</u>	<u>CR+4</u>	<u>DEST</u>	
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File Contains Correspondence, Reports, Tables, Bulletins, Statistics, Memoranda Concerning Federal Rules, Regulations Regarding Highway Financing, Programming, Construction, Maintenance And Other Related Topics. File Maintained For Reference And Audit Purposes.

Retain 4 Years And Destroy.

Dept #: /034/ Department Name: DTSD - ADMINISTRATIVE SERVICES

RDA #	RDA Title	Retention	Disposition	PII
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<u>00178000.</u>	<u>AIRCRAFT REGISTRATION FILE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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File Contains Aircraft Registration Fee Exemption Application (Registration), Renewal, File Update-Aircraft Registra-

Dept #: /034/ Department Name: DTSD - ADMINISTRATIVE SERVICES

RDA #	RDA Title	Retention	Disposition	PII
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Tion, Return Notices, Correspondence With Aircraft Owners And Dealers, Aircraft Dealer Applications, Copy Of Aircraft Certificates Or Registration And Other Related Information. Owners Are Reuired To Register Annually By November 1 And Infromation Is Retained As Long As The Aircraft Is Registered.

Closed Means Aircraft Is Sold Out0-Of-State Or Destroyed.

Retention Pursuant To: 114.31 Wis.Stats.; 114.20 Wis Stats.

Dept #: /036/ Department Name: DTIM - TRANSIT

RDA #	RDA Title	Retention	Disposition	PII
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<u>00391000.</u>	<u>TRANSIT AIDS PROGRAMS CONTRACTS FILE</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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Files Contain Copies Of Contracts With Municipalities, Supporting Reports And Other Information Concerning Federal Transit And Local Transportation Aids Programs. Files May Also Include Contract Correspondence, Copies Of Invoice And Payment Information To Municipalities/Private Organizations.

Contracts Are Between The Federal Transit Administration (Fta), Wisdot And Municipalities/Third Party Systems And Providers.

Contract Types Include But Are Not Limited To Fta Section 3,8,9,10,16,18, Elderly & Handicapped And Mass Transit Operating Transportation Assistance And Ride Share Programs Administered By Wisdot.

These Federal Transit Programs Were Originally Authorized Under The Urban Mass Transportation Act Of 1964 And Reauthorized Under The Intermodal Surface Transportation Efficiency Act Of 1991.

Files Are Used To Administer The Programs In Wisconsin.
Closed Means State Audit.
Replaces Rdas 35-84: 006, 007, 009, 011, 016.

Refer To Rda 390 For Job Ride Program Files; Rda 392 For Ride-Share Program Files; Rda 393 For Special Transit Reports File.

Evt=State Audit.

<u>00598000.</u>	<u>SECTION 5310 CAPITAL GRANT PROGRAM</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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This series covers federal transit programs such rural and urban public transit, rural and urban specialized transit, statewide planning, bus and rail safety, intercity bus, technical assistance and capital investment. These programs are authorized under 49 U.S.C. § 53. The programs provide operating, capital and planning funding to local public bodies (e.g. cities, villages and counties), tribes, transit commissions and nonprofit organizations to provide public and specialized transportation services on a reimbursement basis. Examples of projects funded through these programs include service operations, capital acquisitions (e.g. vehicles, equipment, facilities), mobility management, transit development plans, consultant services and training.

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

- Application submittals (project descriptions, budget info, etc.)
- Sub-recipient agreement documentation
- Invoice and payment information
- Vehicle purchase ordering documentation
- Operational reports (ridership, demographics, mileage, etc.)
- Procurement and contract administration documentation
- Oversight, audit and investigation documentation
- Progress report documentation
- Training and scholarship information
- Correspondence

Dept #: /036/ Department Name: DTIM - TRANSIT

RDA # RDA Title Retention Disposition PII

Retention per FTA Circular 5010.1 E.
This RDA supersedes RDA #:00600-000: Sec. 5307, 5309, 5313/5314
Program Files and RDA#: 00603-000: RTAP Program Files.

EVENT = Date the final expenditure report is submitted to Federal Transit Administration (FTA)

00628000. WISCONSIN TRANSPORTATION ASSISTANCE PROGRAM (WETAP) FILES EVT+4 DEST N

This program includes funding from various state and federal sources
The Department of Workforce Development contributes state funding
as well as the Department of Transportation under Wis. Stat. § 85.24.
Federal funds are also contributed to this program under 49 U.S.C. §§
5307 and 5311 . Examples of projects funded through this program
includes service operations, van pools and vehicle loans.

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

- Application submittals (project descriptions, budget info, etc.)
- Memoranda of Understanding between WisDOT and DWD
- Sub-recipient agreement documentation
- Invoice and payment information
- Operational reports (ridership, employment outcomes, mileage, etc.)
- Related correspondence

EVENT = Date the final expenditure report is submitted to the FTA.

00800000. PROGRAMS OVERSIGHT AND COMPLIANCE FILES EVT+5 DEST N

As a recipient of federal transit funding, the transit section is required to
provide federal and state compliance oversight for the transit programs
it manages. The Section is also required to provide compliance and
oversight to the local entities that received transit funding from WisDOT.
Review results and compliance follow up may affect future participation
in transit programs for transit funding recipients and for WisDOT
receiving federal funding.

Records in these series may include, but are not limited to:

- Disadvantaged Business Enterprise semiannual reports
- Compliance Site Review assessment and corrective action files
- Programs Asset Management files (e.g. vehicles, facilities and
equipment)
- Funding recipients' entities drug and alcohol testing summary
information
- Procurement and contract administration records (e.g. cost
estimates, solicitations, evaluation scores, award letters, etc.)
- Charter service requests
- Title VI plans, complaints and other files
- Americans with Disabilities Act service procedure files
- Rail and bus safety plans, audits, investigations and reports
- Annual certifications and assurances of compliance with federal
requirements
- Related correspondence

Reason for creation: No existing RDAs

EVENT = Date of receipt of FTA review close out letter

Dept #: /037/ Department Name: DTIM - RR & HARBORS

RDA # RDA Title Retention Disposition PII

00012000. RAILROAD HIGHWAY CONTRACTS - AGREEMENTS & STIPULATIONS EVT+3 DEST N

RECORDS IN THIS SERIES ARE CONTRACTS EXECUTED BETWEEN WISDOT AND RAILROAD COMPANIES, IDENTIFYING
SPECIFIC CONSTRUCTION AND MAINTENANCE RESPONSIBILITIES. INCLUDES:

RDA # RDA Title Retention Disposition PII

* RAILROAD STIPULATION: AGREEMENT TO IDENTIFY CLEARANCES, SIZE AND DESIGN OF A GRADE SEPARATION OVERPASS AND UNDERPASS STRUCTURES. DEFINES ACCESS TO RAILROAD PROPERTY TO CONSTRUCT SLOPES AND DRAINAGE FOR MAINTENANCE AND STRUCTURE PRESERVATION DUTIES. SIGNATORIES INCLUDE RAILROAD, WISDOT AND MAINTAINING AUTHORITY IF DIFFERENT FROM EITHER.
 * ENCROACHMENT AGREEMENT: USUALLY USED WHEN A HIGHWAY PARALLELS A TRACK AND A PROJECT REQUIRES A CONTRACTOR TO WORK ON RAILROAD LANDS TO MELD THE PROPERTIES, CONSTRUCT DITCHES OR INSTALL DRAINAGE APPURTENANCES. SUCH AGREEMENTS ARE OFTEN USED IN ADVANCE OF AN EASEMENT PURCHASE FROM THE RAILROAD. SIGNATORIES INCLUDE THE RAILROAD, WISDOT AND ANY OTHER AGENCY OR GOVERNMENTAL UNTIL RESPONSIBLE FOR MAINTAINING HIGHWAY APPURTENANCES INSTALLED ON RAILROAD PROPERTY.

ALL AGREEMENT CONTRACTS ARE MAINTAINED IN THE RAILROADS AND HARBORS SECTION AND REFERENCED TO ASSURE COMPLIANCE WITH THE TERMS AND CONDITIONS OF THE CONTRACT FOR THE LIFE OF THE STRUCTURE UNTIL TERMINATION OR TRANSFER OF THE PROPERTY TO ANOTHER ENTITY.

RETENTION: EVENT (RAILROAD LINE IS ABANDONED/OR ELIMINATION OF THE STRUCTURE OR PROPERTY TRANSFER TO ANOTHER ENTITY) + 3 YEARS AND DESTROY CONFIDENTIAL

00360000. **PASSENGER RAIL SERVICE FILES** **EVT+6** **SHSW** **Y**

WISDOT ADMINISTERS FEDERAL FUNDS ALLOCATED TO WISCONSIN FOR RAIL PASSENGER SERVICE. THIS RECORDS SERIES COVERS WISDOT PROGRAM MANAGEMENT RESPONSIBILITIES SPECIFIED IN WIS. STAT. 85.06 FOR COMPLIANCE WITH RAIL PASSENGER SERVICE REQUIREMENTS.

RECORDS INCLUDE BUT NOT LIMITED TO PLANS AND PS&E FOR PASSENGER RAILS FACILITIES, TRAIN AMTRAK SOLE SOURCE CONTRACTS FOR RAIL PASSENGER SERVICE CORRIDORS, OTHER CONTRACTS AND AGREEMENTS, PROMOTIONAL MATERIALS FOR PASSENGER RAIL SERVICE FOR WISCONSIN, RIDERSHIP INFORMATION DATA FROM AMTRAK, CONSULTANT'S CONTRACTS. IT ALSO INCLUDES BACKGROUND MATERIALS RELATED TO PASSENGER RAIL, E.G., RIDERSHIP AND ROUTE PLANNING STUDIES, MARKETING STUDIES, SERVICE MONITORING RECORDS, GRANT APPLICATIONS, DESIGN AND CONSTRUCTION FILES, EQUIPMENT PROCUREMENT, AND OTHER RELATED RECORDS.

RETENTION: EVENT (SUPERSEDED OR PROJECT TERMINATION OR CLOSURE) + 6 YEARS AND TRANSFER TO WHS.

00361000. **RAILROAD PROPERTY MANAGEMENT FILES** **EVT+1** **DEST** **N**

PROPERTY MANAGEMENT FILES PROVIDE INVENTORY AND BACKGROUND INFORMATION RELATED TO EACH RAIL CORRIDOR PROPERTY OWNED BY THE STATE, AS REQUIRED UNDER WIS. STAT. WIS. STAT. 85.08 FREIGHT RAILROAD ASSISTANCE AND WIS. STAT. WIS. STAT. 85.09 ACQUISITION OF ABANDONED RAIL PROPERTY.

WISDOT OFFICIAL RAILROAD PROPERTY MANAGEMENT FILE IS LOCATED IN THE RAILROADS AND HARBORS SECTION WHERE INFORMATION IS MAINTAINED RELATED TO EACH PROPERTY TO MONITOR AND MANAGE IT OVER TIME. RECORDS TYPICALLY IDENTIFY THE LAND DESCRIPTION; DOCUMENT RAILROAD PROPERTY VALUES AND THE ACQUISITION PROCESS; PROVIDE BACKGROUND RELATED TO RAIL SERVICE ALTERNATIVES; AND MAY INCLUDE COPIES OF DEEDS, LEASES AND AGREEMENTS. RECORDS ARE NEEDED FOR ONGOING PROPERTY MAINTENANCE; CURRENT AND FUTURE CONSTRUCTION PROJECT PURPOSES; AND PROPERTY ASSET MANAGEMENT. INFORMATION IN THIS FILES HAS ONGOING VALUE UNTIL THE DEPARTMENT SELLS OR TRANSFERS OWNERSHIP OF THE PROPERTY TO ANOTHER ENTITY.

RETENTION: EVENT (DATE PROPERTY IS SOLD OR TRANSFERRED TO ANOTHER ENTITY) + 1 YEAR AND DESTROY

00362000. **FREIGHT RAILROAD PRESERVATION PROGRAM (FRPP)** **EVT+6** **DEST** **Y**

WISDOT FREIGHT RAILROAD ASSISTANCE UNDER WIS. STAT 85.08 FREIGHT RAILROAD ASSISTANCE AND WIS. STAT 85.09 ACQUISITION OF ABANDONED PROPERTY.

FRPP GRANTS ALLOW THE STATE TO PRESERVE AND IMPROVE ESSENTIAL LIGHT-DENSITY LINES AND PROVIDES GRANTS UP TO 80% OF THE COST: TO PURCHASE ABANDONED RAIL LINES IN THE EFFORT TO CONTINUE FREIGHT SERVICE; TO PRESERVE THE OPPORTUNITY FOR FUTURE RAIL SERVICE; OR TO REHABILITATE FACILITIES, SUCH AS TRACKS OR BRIDGES, ON PUBLICITY - OWNED RAIL LINES.

RECORDS INCLUDES BUT ARE NOT LIMITED TO:
 * FIELD AND MARKETING INVESTIGATIONS,
 * FINANCIAL & TECHNICAL ASSISTANCE ANALYSIS REPORTS
 * FEDERAL & STATE AIDE ALLOCATIONS
 * PHOTOS, TRACK AND PROPERTY CONDITIONS
 * CONSTRUCTION OR IMPROVEMENT PROGRESS

RAILROADS AND HARBORS SECTION MAINTAINS RECORDS FOR THE DURATION OF A PARTICULAR RAILROAD PROJECT/DISPOSAL OF PROPERTY. RECORDS ARE NEEDED TO PROVE OWNERSHIP OF THE PROPERTY AND KEEP TRACK OF THE PROPERTY.

RETENTION: EVENT (DATE CONTRACT IS TERMINATED OR PROPERTY IS SOLD OR TRANSFERRED TO ANOTHER ENTITY) + 6 YEARS AND DESTROY CONFIDENTIAL.

Dept #: /037/ Department Name: DTIM - RR & HARBORS

RDA # RDA Title Retention Disposition PII

00363000. HARBOR ASSISTANCE PROGRAM (HAP) PROJECT FILES EVT+25 DEST N

This record series documents the program application and award process. Records in this series include, but are not limited to:

- Correspondence
- Applications
- Cost/Benefit analysis
- Environmental screening sheets
- Three-year harbor improvement plans
- Draft resolution documents
- Contracts to county, towns, municipalities, agencies, boards of harbor commissioners or private facilities for harbor improvement projects under Wis. Stat. § 85.095.
- Invoices and reimbursement requests

The HAP program is a state funded program. The terms of the grant agreement requires records to be retained for the term of the contract. The term of the contract is 25 years after project completion.

Event is Date project is completed

Dept #: /038/ Department Name: DTIM - LOCAL ROADS & FINANCE

RDA # RDA Title Retention Disposition PII

00456000. CONGESTION MITIGATION & AIR QUALITY IMPROVEMENT PROGRAM (CMAQ) PROJECT FILES EVT+3 DEST N

Cmaq)
Files Include:

Program Development Files
Application Files (Other State Agencies, Local Municipalities, Companies, Groups Of Employers)

Federal Requirements Documentation

Non-Approved Project Files

Program Management Files

The Primary Focus Of The Cmaq Program Is To Provide Funding To Support Innovative Multimodal Transportation Projects That Effectively Reduce Emissions From The Transportation Sector In Wisconsin'S 11 County Ozone Non-Attainment Area.

This Is A Federal Initiative With Federal Cmaq Guidelines Published Under Usc Sec 149 Of Title 23, Intermodal Surface Transportation Efficiency Act Of 1991 (Istea) Sec 1008Cmaq.

Closed Means Project Financial Closing

Filed By Project.

00725000. CMAQ PROGRAM REJECTED PROJECT APPLICATIONS EVT+4 DEST N

Records in this series include rejected project applications that do not meet program requirements, notes on the rejected decision, correspondence and supporting documentation specifying reasons for rejecting the applications.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: New RDA needed to cover these documents with shorter retention.

EVT + 4 yrs = Date notification of denial is sent; destroy

00726000. CMAQ CYCLE SOLICITATION AND GUIDANCE DOCUMENTS EVT+19 DEST N

Records in this series document the administration of a program cycle, including documents related to the application review process and policies and guidance for selected projects:

RDA #	RDA Title	Retention	Disposition	PII
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- Funding Level Calculations
- Application Templates
- Application Instructions
- Cycle Guidance
- Cycle Schedules
- State Municipal Agreement (SMA) Templates
- Review Scores
- Review Instruction
- Public Announcements
- Emission Benefits Calculations
- The Sponsor's Guide to Non-Traditional Transportation Project Implementation (Sponsor's Guide)
- Correspondence with other agencies
- Other related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: previously covered under 00605-000, but records need a longer retention.

EVT + 19 yrs = Date when application process starts; destroy

<u>00727000.</u>	<u>PROGRAM TRACKING DOCUMENTS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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This series includes any related records that track approved projects' status and any related issues concerning the policy or administration of the projects within a given cycle.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: New rda needed to cover these documents with shorter retention.

EVT + 2 yrs = Date program cycle is completed; destroy

<u>00730000.</u>	<u>STP PROGRAMS REJECTED PROJECT APPLICATIONS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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Records in this series include rejected project applications that do not meet program requirements, notes on the rejected decision, correspondence and supporting documentation specifying reasons for rejecting the applications.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: New rda needed. These records are needed for a shorter retention.

EVT + 4 = date notification of denial is sent; destroy

<u>00731000.</u>	<u>STP PROGRAMS CYCLE SOLICITATION AND GUIDANCE DOCUMENTS</u>	<u>EVT+19</u>	<u>DEST</u>	<u>N</u>
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Records in this series document the administration of a particular program cycle, including documents related to the application review process and policies and guidance for selected projects:

- Funding Level Calculations
- Application Templates
- Application Instructions
- Cycle Guidance
- Cycle Schedules
- State Municipal Agreement (SMA) Templates
- Review Scores
- Review Committee Instruction
- Public Announcements
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: previously covered under RDA 00604-000, but documents are needed for a longer retention.

EVT + 19 yrs = Date when application process starts; destroy

RDA #	RDA Title	Retention	Disposition	PII
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<u>00732000.</u>	<u>PROGRAM TRACKING DOCUMENTS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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This series includes any related records that track approved projects' status and any related issues concerning the policy or administration of the projects within a given cycle.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: New rda needed. These records are needed for a shorter retention

EVT + 2 yrs = Date program cycle is completed; destroy

<u>00735000.</u>	<u>LOCAL BRIDGE PROGRAM APPROVED PROJECT FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
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The Local Bridge program is managed by both the Local Transportation Programs & Finance Section in the Division of Transportation Investment Management (DTIM) and the Local Program Project Managers in the Division of Transportation Systems Development (DTSD) regional offices. Each approved project file is the responsibility of the office with the delegated responsibility to manage the project.

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

- Program applications
- Executed State/Municipal agreements
- Project contract awards documentation
- Requests for reimbursement
- Project related correspondence

Other supporting documentation may also include:

- Award letters
- Sponsor training certifications
- Advertisements for bid
- Applicable plans
- Project location maps
- Requests for exception to standards
- Bid award and rejection notices
- Documentation confirming contractor payment
- Project tracking logs

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: Program previously covered under a different program (RDA 00604-000). Needs own RDA because of new programmatic and organizational changes.

EVT + 6 yrs = Date of project financial closure per final cost statement; destroy

<u>00736000.</u>	<u>LOCAL BRIDGE PROGRAM REJECTED PROJECT APPLICATIONS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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Records in this series include rejected project applications that do not meet program requirements, notes on the rejected decision, correspondence and supporting documentation specifying reasons for rejecting the applications.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: Program previously covered under a different program (RDA 00604-000). Needs own RDA because of new programmatic and organizational changes.

EVT + 4 yrs = Date notification of denial is sent; destroy

<u>00737000.</u>	<u>LOCAL BRIDGE PROGRAM CYCLE SOLICITATION AND GUIDANCE DOCUMENTS</u>	<u>EVT+19</u>	<u>DEST</u>	<u>N</u>
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Records in this series document the administration of a particular program cycle, including documents related to the application review process and policies and guidance for selected projects:

- Funding Level Calculations
- Application Templates
- Application Instructions
 - Cycle Guidance
 - Cycle Schedules
 - State Municipal Agreement (SMA) Templates
 - Review Scores

Dept #: /038/ Department Name: DTIM - LOCAL ROADS & FINANCE

RDA # RDA Title Retention Disposition PII

- Review Committee Instruction
- Public Announcements
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: Program previously covered under a different program (RDA 00604-000). Needs own RDA because of new programmatic and organizational changes.

EVT + 19 yrs = Date when application process starts; destroy

00738000. **PROGRAM TRACKING DOCUMENTS** **EVT+2** **DEST** **N**

This series includes any related records that track approved projects' status and any related issues concerning the policy or administration of the projects within a given cycle.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: Program previously covered under a different program (RDA 00604-000). Needs own RDA because of new programmatic and organizational changes

EVT + 2 yrs = Date program cycle is completed; destroy

Dept #: /040/ Department Name: DTIM - PLANNING

RDA # RDA Title Retention Disposition PII

00056000. **ADMINISTRATOR'S FILES** **EVT+4** **DEST**

File Contains General Correspondence Related To The Administration Of The Division Of Planning & Budget; Administrative Directives And Policy Position Statements Provided To The Dot Secretary For Decision Making Purposes; Aashto (American Association Of State Highway & Transportation Officials) And Trb (Transportation Research Board) Materials; And Blue Folder (Secretary'S Signature) And Red Folder (Governor'S Signature) Correspondence (Originals Are Maintained By The Dot Secretary'S Office).

The Purpose Of The File Is To Maintain And Document The Ongoing Administrative Processes Of The Division And The Department.

The Retention Periods For These Records Are Calculated From The End Of The Fiscal Year.

Closed Means Superseded Or Not Active/Reopened.

Retain 4 Years And Destroy Provided Closed/Terminated/Death.

00059000. **ADMINISTRATIVE SERVICES FILE** **EVT+4** **DEST**

File Contains Copies Of Correspondence Relating To The Administrative Functions Of The Division; Printing Requests (Dbm Has Origs.); Purchase Orders (Dbm Ahs Origs.); Purchase Requisitions (Dbm Has Origs.) Notice Of Receipts; Employee Training Records; Forms Management Materials; Publication Management Materials; Records Management Materials; Space And Facilities Management Materials And Service Contract Files And Grant Files.

The Purpose Of The File Series Is To Maintain Records Of Administrative Support Functions Provided For The Division.

The Retention Periods For These Records Are Calculated From The End Of The Fiscal Year. Final Clearance Need Not Be Obtained From The Fhwa To Destroy These Records If The Disposal Is According To This Rda.

Dept #: /040/ Department Name: DTIM - PLANNING

RDA # RDA Title Retention Disposition PII

Retain 4 Years After Fhwa Final Payment Of The Project And Destroy.

00390000. JOB-RIDE PROGRAM FILE CR+5 DEST N

File Contains Program Correspondence And Other Information Regarding The Job-Ride Program In Wisconsin. The File May Also Contain Copies Of Invoice And Payment Information Concerning The Services Provisions.
The Job-Ride Program Began In 1989 To Address Mismatches Between Areas Of Job Growth And Labor Surplus. Job-Ride Provides Transportation For Inter-Views And Worktrips For Unemployed And Underemployed Individuals To Jobs In Areas Not Served By Pubic Transit.

This Program Through Wisdot, Contracts With Grantees.
The File Is Used By Wisdot To Administer The Program.

The Program Is A Part Of Transportation Aids Funding From The Oil Overcharge Fund Administered By The U.S. Dept Of Energy.

Dept #: /052/ Department Name: DTSD - STRUCTURES

RDA # RDA Title Retention Disposition PII

00190000. HIGHWAY STRUCTURES INFORMATION SYSTEM (HSIS) MASTER DATA EVT+10 SHSW Y

THE BUREAU OF STRUCTURES MAINTAINS THE HSIS APPLICATION (CURRENTLY IN ORACLE) TO INVENTROY AND MANAGE ALL HIGHWAY STRUCTURES FOR WHICH THE WISDOT HAS RESPONSIBILITIES AS DEFINED IN 23 CFR PART 650 AND TRANS 212, WIS. ADM. CODE. HSIS INCLUDES DATA FROM THE OLD WISCONSIN BRIDGE SYSTEM DATABASE AND ADDS STRUCTURE DATA AS PROJECTS ARE DEVELOPED. TYPES OF STRUCTURES INCLUDE BRIDGES, CULVERTS, RETAINING WALLS, NOISE BARRIERS, AND OVERHEAD SIGN STRUCTURES. MASTER DATA FOR EACH NUMBERED STRUCTURE INCLUDES THE FOLLOWING:

-STRUCTURE INVENTORY: STRUCTURE DESCRIPTION, CLASSIFICATION TYPE (BRIDGE, RETAINING WALL, SIGN, ETC.), LOCATION, MATERIAL.

-ROUTE, DETOUR AND TRAFFIC DATA

-LOAD RATING DESIGN COMPUTATIONS:

-ENGINEERING DATA

-INSPECTION DATA, BEGINNING IN 1993 (ASSOCIATED WITH INSPECTION REPORTS STORED AS .PDF DOCUMENTS)

-MAINTENANCE DATA.

PLL: NAMES OF STRUCTURE INSPECOTR, PLAN APPROVAL NAMES

CONFIDENTIAL: PER SS. 19.36(9), WIS. STATS, PLANS AND SPECIFICATIONS FOR STATE OWNED OR LEASED BUILDINGS, STRUCTURES, AND FACILITIES ARE CONFIDENTIAL.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/RSB/CODE/ADM/ADM012.PDF) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

WISDOT USES HSIS TO ACCOMPLISH REQUIRED REPORTING TO FHWA AND TO ADMINISTER/MAINTAIN THE VAST WISCONSIN TRANSPORTATION SYSTEM NETWORK. HSIS DATA IS CRITICAL FOR OTHER WISDOT PROGRAMS THAT ACCESS OR EXTRACT DATA. THE STN SYSTEM USES HSIS DATA IN ROUTE ASSIGNMENT FOR CARRIER OVERSIZE/OVERWEIGHT PERMITS. TRANSPORTATION INVESTMENT MANAGEMENT (DTIM) USES METAMANGER SYSTEM TO MANIPULATE HSIS DATA FOR BRIDGE AND STRUCTURES FUNDING. DATA HAS LONG-TERM (LIFE-OF-STRUCTURE) ADMINISTRATIVE AND REFERENCE VALUE TO ENSURE THAT WISDOT COMPLIES WITH REQUIREMENTS TO CONSTRUCT, MONITOR AND MAINTAIN HIGHWAY STRUCTURES OVER TIME.

RETENTION: EVENT (LIFE OF STRUCTURE) + 10 YEARS AND TRANSFER TO WHS

00190A00. HIGHWAY STRUCTURE DATA ENTRY FORMS & DOCUMENTS EVT+10 SHSW Y

RECORDS IN THIS SERIES ARE FORMS AND DOCUMENTS PROVIDING DATA AND DOCUMENTATION FOR EACH TRANSPORTATION STRUCTURE. PERSONNEL ENTER FORMS DIRECTLY INTO THE HIGHWAY STRUCTURE INFORMATION SYSTEM (HSIS) AND SCAN IN MAPS, REPORTS AND OTHER TYPES OF DOCUMENTS (STORED IN IMAGE FORMAT). DOCUMENTS ARE STORED BY STRUCTURE NUMBER.

*STRUCTURE INVENTORY FORM - NEW BRIDGE FILE: PRELIMINARY DESIGNER AND PLANS CHECKER SUBMIT FOR ENTRY INTO THE FILE.

*LOAD RATING INPUT FILE - PERMITS FILE: DESIGNERS SUBMIT ELECTRONIC INPUT DATA FOR LOAD RATING THE STRUCTURE.

*DESIGNER COMPUTATIONS AND INVENTORY SUPERSTRUCUTRE DESIGN RUN: DESIGNERS RECORD DESIGN, INVENTORY, OPERATING RATINGS AND MAXIMUM VEHICLE WEIGHTS ON THE PLANS. ALSO SUBSTRUCTURE COMPUTER RUNS AS DETERMINED BY THE ENGINEER. PLACED INTO SCANNED FOLDER.

*PILE DRIVING REPORTS: SCANNED BY STRUCTURES DEVEL. SECTION.
 *SHOP DRAWINGS FOR STEEL BRIDGES, SIGN BRIDGES, PRESTRESSED GIRDERS, HIGH MAST POLES, RETAINING WALLS, FLOOR DRAINS, RAILINGS AND ALL STEEL JOINTS: METALS FABRICATION & INSPECTION UNIT OR OTHER SOURCE SENDS TO STRUCTURES DEVELOPMENT SECTION FOR SCANNING INTO HSI.
 *MILL TESTS, HEAT NUMBERS & SHOP INSPECTION REPORTS FOR ALL STEEL MAIN MEMBERS: METALS FABRICATION & INSPECTION UNIT SENDS ELECTRONIC FILES DATA INTO HSI.
 *HYDRAULIC AND SCOUR COMPUTATIONS, CONTOUR MAPS AND SITE REPORT: PRELIMINARY STRUCTURES & HYDRAULICS UNIT TO SCANNED FOLDER.
 *SUBSURFACE EXPLORATION REPORT: PRELIMINARY STRUCTURES & HYDRAULICS UNIT PLACES INTO SCANNED FOLDER OR LOADS ELECTRONIC COPIES FROM GEOTECHNICAL FILES.
 *STRUCTURE SURVEY REPORT: PRELIMINARY STRUCTURES & HYDRAULICS UNIT PLACES REPORT INTO SCANNED FOLDER.

THROUGHOUT THE LIFE OF EACH STRUCTURE, ADDITIONAL FORMS AND DOCUMENTS ARE ADDED AS IT IS MAINTAINED AND REPAIRED. CONFIDENTIAL: PER SS. 19.36(9), WIS. STATS., PLANS AND SPECIFICATIONS FOR STATE OWNED OR LEASED BUILDINGS, STRUCTURES, AND FACILITIES ARE CONFIDENTIAL.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM0112.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm0112.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 RETENTION: EVENT (LIFE OF STRUCUTRE) + 10 YEARS AND TRANSFER TO WHS

00191000. STRUCTURE FIELD INSPECTION REPORTS - INSPECTOR COPY **EVT** **DEST** **N**

HIGHWAY STRUCTURES ARE INSPECTED PRIOR TO THE OPENING OF THE STRUCTURE TO TRAFFIC AND AT LEAST EVERY 2 YEARS THEREAFTER. TO DETERMINE THE CONDITION, STRENGTH OR LOAD CARRYING CAPACITY OF A BRIDGE OR OTHER STRUCTURE AS BUILT, ANY MODIFICATIONS SINCE IT WAS BUILT AND ITS PRESENT CONDITION. IF DRAWINGS ARE NOT AVAILABLE OR ARE INCOMPLETE, THEY MUST BE REPRODUCED BY MEANS OF COMPLETE MEASUREMENTS TAKEN IN THE FIELD. THE PRESENT CONDITION AND CHANGES THAT MAY OCCUR IN THE FUTURE ARE DETERMINED FROM FIELD INSPECTIONS.
 RECORDS IN THIS SERIES DOCUMENT THE FIELD INSPECTION, PERFORMED BY THE REGION PERSONNEL, ULTRASONIC ENGINEER, OR OTHER SPECIALTY INSPECTOR. THIS SERIES COVERS THE INSPECTOR'S COPY AND RELATED BACKGROUND MATERIALS CREATED OR RECEIVED TO INITIATE AND COMPLETE THE INSPECTION, INCLUDING PAPER AND ELECTRONIC CORRESPONDENCE RELATED TO ALL TYPES OF BRIDGE AND CULVERT INSPECTIONS, I.E., INITIAL; ROUTINE; FRACTURE CRITICAL; DAMAGE; IN-DEPTH; INTERIM; UNDERWATER, INCLUDING DIVE REPORTS; AND MOVABLE BRIDGE INSPECTIONS. ALSO INCLUDES REGION MATERIALS RELATED TO ANCILLARY TYPES OF HIGHWAY STRUCTURES. INSPECTORS MAINTAIN INSPECTION REPORTS AND SIGNIFICANT BACKGROUND MATERIALS UNTIL THE INSPECTION IS FINALIZED AND LOADED (ENTERED OR SCANNED) INTO HSI. THEY MAY ALSO CONTINUE TO MAINTAIN CONVENIENCE COPIES OF THE PAPER DOCUMENTS FOR REFERENCE PURPOSES.
 RETENTION: EVENT (LOADED INTO HSI) AND DESTROY.

00572000. BRIDGE AND CULVERT INSPECTION REPORTS - HSI **EVT+10** **SHSW** **Y**

FEDERAL BRIDGE INSPECTION STANDARDS REQUIRE THAT ALL BRIDGES AND FEDERAL AID ROUTES STRUCTURES BE INSPECTED PRIOR TO OPENING OF THE STRUCTURE TO TRAFFIC AND AT INTERVALS NOT TO EXCEED TWO YEARS THEREAFTER. MORE FREQUENT INSPECTIONS ARE PERFORMED FOR BRIDGES THAT ARE POSTED FOR LOAD CAPACITY OR WHEN WARRANTED BY CONDITION. TRAINED REGION MAINTENANCE SECTION PERSONNEL PERFORM INSPECTIONS OF BRIDGES ON THE STATE TRUNK HIGHWAY NETWORK (STN). ENGINEERS FROM BRIDGE INSPECTION UNIT, CENTRAL OFFICE ALSO ASSIST IN THE INSPECTION OF BRIDGES WITH UNIQUE STRUCTURAL PROBLEMS OR WHEN IT IS SUSPECTED THAT A REDUCTION IN LOAD CAPACITY IS WARRANTED. LOCAL HIGHWAY MAINTENANCE PATROLS REPORT SOURCES OF DANGER, I.E., BROKEN OR DAMAGED MEMBERS OR COMPONENTS, AND POTENTIAL SCOUR AROUND FOOTINGS OR ACCUMULATION OF DEBRIS IN RIVER CHANNELS. THE REGION STRUCUTES MAINTENANCE SECTION ENTERS DATA DIRECTLY OR SCANS EACH STRUCTURE INSPECTION REPORT INTO THE HIGHWAY STRUCUTRES INFORMATION SYSTEM (HSI). THE FHWA REQUIRES INSPECTION REPORTS; AND WISDOT USES INSPECTIONS TO ADMINISTER, MAINTAIN, DETERMINE AND ENSURE THE SAFETY OF THE WISCONSIN BRIDGE NETWORK. INSPECTION REPORT RECORDS INCLUDES BRIDGE IDENTIFICATION, LOCATION AND SUMMARY INSPECTION INFORMATION AND CONCLUSIONS FOR ALL TYPES OF INSPECTIONS, INCLUDING:
 - INITIAL - PRIOR TO OPEN TO TRAFFIC
 - ROUTINE INSPECTIONS - REQUIRED EVERY TWO YEARS
 - FRACTURE CRITICAL - AS NEEDED
 - DAMAGE - INSPECTION TRIGGERED FROM BRIDGE INCIDENT OR FAILURE REPORT.
 - IN-DEPTH INSPECTION INFORMATION - DEFINED AND REQUIRED BY FEDERAL 23 CFR PART 650 AND WISCONSIN ADMINISTRATIVE CODE, TRANS 212; REQUIRED AS NECESSARY BUT AT A MINIMUM OF AT LEAST ONCE EVERY 6 YEARS.
 - INTERIM INSPECTION - BETWEEN ROUTINE INSPECTIONS AS NEEDED.
 - UNDERWATER, INCLUDING DIVE REPORTS
 - MOVABLE BRIDGE

PLL DATA: BRIDGE INSPECTORS' NAMES ARE INCLUDED
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 THE BUREAU RETAINS A COMPLETE HISTORY OF INSPECTIONS FOR THE LIFE OF TEH BRIDGE OR CULVERT STRUCTURE.
 RETENTION: EVENT (LIFE OF THE STRUCTURE) + 10 YEARS & TRANSFER TO WHS

RDA # RDA Title Retention Disposition PII

00573000. ANCILLARY STRUCTURE INSPECTIONS EVT+10 DEST Y

THE BUREAU OF STRUCTURES INSPECTS ANCILLARY HIGHWAY STRUCTURES PRIOR TO THE OPENING OF THE STRUCTURE TO TRAFFIC AND AT LEAST EVERY 4 YEARS THEREAFTER. RECORDS IN THIS SERIES COVER THE FOLLOWING TYPES OF ANCILLARY STRUCTURE RECORDS:

* RETAINING WALL INSPECTIONS

*SIGN BRIDGE INSPECTIONS: WISDOT POLICY CALLS FOR AN IN-DEPTH INSPECTION OF OVERHEAD AND CANTILEVER SIGN BRIDGES EVERY TWO OR FOUR YEARS WITH A VISUAL INSPECTION EVERY YEAR. THE BUREAU OF STRUCTURES CONTRACTS FOR SIGN BRIDGE INSPECTIONS TO IDENTIFY DEFICIENT SIGN BRIDGE STRUCTURES. IN-DEPTH INSPECTIONS FOR NEWLY INSTALLED AND EXISTING SIGN BRIDGE STRUCTURES INCLUDE ULTRASONIC TESTING OF ANCHOR BOLTS AND INSPECTIONS OF WELDS WITH DYE PENETRANT AND MAG-PARTICLE TESTING.

*LIGHT POLE INSPECTIONS, INCLUDING COR-TEN LIGHT POLES. SINCE 1998, WISDOT CONDUCTS ULTRASONIC AND VISUAL INSPECTIONS ON A MAJORITY OF KNOWN COR-TEN LIGHTPOLES THROUGHOUT THE STATE.

*CULVERTS GREATER THAN 5 FEET BUT LESS THAN 20 FEET.

ANCILLARY INSPECTIONS ALSO ARE TO BE SCANNED AS TIME PERMITS AND THE OFFICIAL COPY MAINTAINED IN HSIS.

PLL DATA: BRIDGE INSPECTORS' NAMES ARE INCLUDED

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: EVENT (LIFE OF STRUCTURE) + 10 YEARS AND DESTROY CONFIDENTIAL

00574000. AS LET STRUCTURE PLANS - HSIS EVT+10 DEST Y

THE FINAL STRUCTURES DESIGN INCORPORATES SPECIAL PROVISIONS AND IS ULTIMATELY PART OF THE ASLET PLAN THAT IS USED TO INITIATE THE BID LETTING PROJECT CONSTRUCTION CONTRACT. AT BID LETTING, PRINTERS SEND A DIGITAL IMAGE OF STRUCTURE PLANS IN A COMPUTER FOLDER TO THE STRUCTURES DEVELOPMENT SECTION.

STRUCTURES PERSONNEL LABEL PLAN SHEETS AND PLACE THEM INTO HSIS. RECORDS IN THIS SERIES ARE LIMITED ONLY TO THE STRUCTURE ASLET PROJECT PLAN. THE BUREAU OF STRUCTURES MAINTAINS A COMPLETE HISTORY OF THE STRUCTURE DESIGN, INCLUDING THE ASLET, FOR THE LIFE OF THE STRUCTURE TO DOCUMENT THE STRUCTURE'S DESIGN INTEGRITY, THAT IT MEETS HIGHWAY CONSTRUCTION AND SAFETY STANDARDS. NOTE: THE BUREAU OF PROJECT DEVELOPMENT MAINTAINS THE COMPLETE ASLET PROJECT PLAN, I.E., ALL COMPONENTS OF THE HIGHWAY PROJECT PLANS AND SPECIFICATIONS. SEE HIGHWAY DESIGN AND CONSTRUCTION PROJECT RECORDS SCHEDULE.

PLL DATA: BRIDGE INSPECTORS' NAMES ARE INCLUDED

CONFIDENTIAL: PER SS. 19.36(9), WIS. STATS., PLANS AND SPECIFICATIONS FOR STATE OWNED OR LEASED BUILDINGS, STRUCTURES, AND FACILITIES ARE CONFIDENTIAL.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: EVENT (LIFE OF STRUCTURE) + 10 YEARS AND DESTROY CONFIDENTIAL.

00575000. AS BUILT STRUCTURE PLANS - HSIS EVT+10 SHSW Y

THE ASBUILT DOCUMENTS THE FINAL END RESULT OF THE CONSTRUCTION PROJECT, INCLUDING NOTED CHANGES TO THE ASLET PLAN THAT WERE MADE DURING ACTUAL PROJECT CONSTRUCTION. THE STRUCTURES DEVELOPMENT SECTION SCANS STRUCTURES ASBUILT PLANS INTO HSIS AFTER THE CONSTRUCTION PROJECT IS COMPLETED.

RECORDS IN THIS SERIES ARE LIMITED ONLY TO THE STRUCTURE PLANS INCLUDED IN THE ASBUILT PLAN.

NOTE: THE BUREAU OF PROJECT DEVELOPMENT MAINTAINS THE COMPLETE ASBUILT PROJECT PLAN, I.E., ALL COMPONENTS OF THE HIGHWAY PROJECT. SEE HIGHWAY DESIGN AND CONSTRUCTION PROJECT RECORDS SCHEDULE.

PLL DATA: DESIGNERS' INITIALS OR NAMES ARE INCLUDED

CONFIDENTIAL: PER SS. 19.36(9), WIS. STATS., PLANS AND SPECIFICATIONS FOR STATE OWNED OR LEASED BUILDINGS, STRUCTURES, AND FACILITIES ARE CONFIDENTIAL.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: EVENT (LIFE OF STRUCTURE) + 10 YEARS, TRANSFER TO WHS.

00576000. STRUCTURES DESIGN ENGINEER DESIGN DRAWINGS & MODELS -- CADDs EVT DEST N

WISDOT STRUCTURES DESIGNERS DEVELOP TWO-DIMENSIONAL STRUCTURE DRAWINGS AND DESIGNS AND COMPUTE STRUCTURAL RATINGS TO ENGINEER, CONSTRUCT, REHABILITATE, REMODEL OR MAINTAIN HIGHWAY STRUCTURES, INCLUDING BRIDGE, CULVERT, RETAINING WALL, SOUND BARRIER, SIGN BRIDGE, ETC.

DESIGNERS USE MICROSTATION(TM) OR OTHER CADDs SOFTWARE TOOLS TO CREATE DESIGNS. FINISHED DESIGNS ARE SCANNED AND STORED AS .PDF OR .TIF IMAGES IN THE HIGHWAY STRUCTURE INFORMATION SYSTEM (HSIS), AND THE SCANNED IMAGES ARE COVERED IN OTHER RDAS IN THIS SCHEDULE. STRUCTURES USES THE ORACLE FILE CABINET INTERFACE TO LOCATE AND RETRIEVE FILES.

THIS RECORDS SERIES COVERS THE DESIGN ENGINEER'S WORKING, REFERENCE AND MODEL FILES, INCLUDING MICROSTATION(TM) AND OTHER CADDs FILES. STRUCTURES REQUIRE ONGOING MAINTENANCE AND DESIGN ATTENTION THROUGHOUT THEIR USEFUL LIFE, AND DESIGN ENGINEERS MAINTAIN DESIGN MODELS AND REFERENCES

TO FACILITATE FUTURE WORK AND REDUCE UNNECESSARY REDESIGN LABOR, I.E., TO UPDATE STRUCTURE DESIGNS AND DEVELOP NEW PROJECTS. DESIGN ENGINEERS RETAIN THE CADD DESIGN UNTIL IT IS SCANNED AND UPLOADED INTO HGIS AND NO LONGER NEEDED FOR FURTHER DESIGN REFERENCE OR MODEL PURPOSES.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 RETENTION: EVENT (ENTERED OR SCANNED INTO HGIS AND NO LONGER NEEDED FOR REDESIGN) AND DESTROY.

00577000. STRUCTURE HYDRAULIC DRAINAGE REFERENCE & WORK PAPERS EVT DEST N

CHAPTER 9, SECTION 55 OF THE FACILITIES DEVELOPMENT MANUAL (FDM) SPECIFIES THAT WHENEVER REPLACING OR INSTALLING A BRIDGE OR BOX CULVERT INVOLVING MOVEMENT OF WATER, HYDRAULIC INFORMATION IS REQUIRED. WISDOT IS REQUIRED TO COORDINATE ALL WORK WITH THE INVOLVED REGIONAL DRAINAGE BOARD, PER CHAPTERS 86.075, 88.87 AND 88.89, WIS. STATS. FDM CHAPTER 13, "DRAINAGE," FURTHER SPECIFIES DRAINAGE PRACTICES AND DESIGN REQUIREMENTS FOR BRIDGES, CULVERTS AND OTHER STRUCTURES. THIS RECORDS SERIES COVERS HYDRAULIC AND DRAINAGE BACKGROUND RECORDS AND DETAILED DATA THAT THE STRUCTURES & HYDRAULICS UNIT AND REGION DRAINAGE PERSONNEL MAINTAIN FOR ONGOING ANALYSIS AND REFERENCE PURPOSES, SUCH AS:
 - BASIN-WIDE, REGION-WIDE DRAINAGE AND HYDRAULIC DATA, MAPS, INCLUDING REGION DRAINAGE BOARD ISSUES AND CORRESPONDENCE.
 - DRAINAGE SURVEY NOTES AND MAPPING DATA: LOCATION AND ELEVATION ON DITCHES, WATERWAYS, CULVERT OUTLETS, TILE LINES, CATCH BASINS, MANHOLES, EXISTING STRUCTURES, UNDERGROUND FACILITIES, OVERHEAD FACILITIES, TREES ETC.
 - HYDRAULIC DESIGN GENERAL CRITERIA, DRAINAGE DESIGN METHODOLOGY FOR PARTICULAR TYPES OF STRUCTURES, AND RELATED BACKGROUND INFORMATION.
 - DRAINAGE ISSUES AND CONCERNS: PAST FLOODS OF RECORD, ETC.

NOTE: RDA 190A IN THIS SCHEDULE SPECIFIES SELECTED HIGHWAY STRUCTURE DOCUMENTS THAT ARE SCANNED OR ENTERED INTO HGIS.
 NOTE: WISDOT ALSO ASSEMBLES AND MAINTAINS DRAINAGE RECORDS FOR EACH TRANSPORTATION DESIGN AND CONSTRUCTION PROJECT IN SEPARATE RDA SCHEDULE.
 CONFIDENTIAL: PER SS. 19.36(9), WIS. STATS., PLANS AND SPECIFICATIONS FOR STATE OWNED OR LEASED BUILDINGS, STRUCTURES, AND FACILITIES ARE CONFIDENTIAL.
 RETENTION: EVENT (SUPERSEDED BY UPDATED INFORMATION OR OBSOLETE) AND DESTROY CONFIDENTIAL.

00578000. LOAD AND RESISTANCE FACTOR (LRFD) BRIDGE POSTINGS AND MAPS EVT DEST N

RECORDS IN THIS SERIES IDENTIFY BRIDGES THAT ARE POSTED WITH WEIGHT OR OTHER RESTRICTIONS FOR SAFETY PURPOSES. THE STRUCTURES DEVELOPMENT SECTION MANAGES THE LRFD POSTINGS PROGRAM. DURING THE PRELIMINARY STRUCTURE DESIGN PHASE, DESIGNERS COMPUTE LOAD RATINGS FOR ALL INTERIOR GIRDER OR SLAB TYPE STRUCTURES. COMPUTED LOAD RATINGS SPECIFY MAXIMUM VEHICLE WEIGHTS FOR WISDOT TO ISSUE VEHICLE LOADING PERMITS.
 LRFD DATA IS A COMPONENT OF THE HIGHWAY STRUCTURES INFORMATION SYSTEM (HSIS) AND DATA IS COVERED IN HGIS MASTER DATA RDA. THIS RECORDS SERIES COVERS THE LRFD INFORMATIONAL MATERIALS GENERATED AND UPDATED REGULARLY. THE BUREAU GENERATES LISTS OF LRFD BRIDGE POSTINGS AND RESTRICTIONS, INCLUDING THE FOLLOWING MAPS THAT IDENTIFY BRIDGES WITH LOAD RESTRICTIONS:
 - SINGLE MAP OF THE STATE OWNED POSTED BRIDGES.
 - POSTED BRIDGE COUNTY MAP SERIES: THE POSTED BRIDGE COUNTY MAP SERIES CONTAINS MORE DETAIL ABOUT THESE POSTED BRIDGES AT THE COUNTY LEVEL.
 - RESTRICTED BRIDGE COUNTY MAP SERIES: THE RESTRICTED BRIDGE COUNTY MAP SERIES IS A GUIDE FOR ALL ANNUAL PERMIT HOLDERS. IT CONTAINS CLEARANCE AND CAPACITY INFORMATION.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 RETENTION: EVENT (SUPERSEDED BY UPDATED POSTING) AND DESTROY.

00579000. STRUCTURE DESIGN DEVELOPMENT FILES -- LOW VALUE EVT DEST N

RECORDS IN THIS SERIES ARE CREATED AND RECEIVED DURING THE STRUCTURES PRELIMINARY DESIGN DEVELOPMENT PHASE. THEY ARE USED DURING THE FINAL DESIGN DEVELOPMENT PROCESS AND DESCRIBED IN BRIDGE MANUAL PROCEDURE # 6.3.4.2. THESE MATERIALS ARE NOT UPLOADED TO OR SCANNED INTO HGIS. WHEN THE FINAL STRUCTURE PLANS ARE COMPLETED, THEY ARE DESTROYED.
 - ALL "VOID" MATERIAL
 - ALL COPIES EXCEPT ONE OF PRELIMINARY DRAWINGS
 - EXTRA COPIES OF PLAN AND PROFILE SHEETS
 - PRELIMINARY COMPUTER DESIGN RUNS
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 RETENTION: EVENT (FINAL STRUCTURE PLAN APPROVAL) AND DESTROY.

RDA # RDA Title Retention Disposition PII

00580000. **STRUCTURES DESIGN PROGRESS FILES -- INTERIM VALUE** **EVT** **DEST** **Y**

IN THE PROCESS OF DESIGNING BRIDGES AND OTHER STRUCTURES, STRUCTURES PERSONNEL DRAFT PRELIMINARY DRAWINGS, PERFORM COMPUTATIONS AND CREATE STRUCTURES PLANS. DURING PROJECT DEVELOPMENT, RECORDS IN THIS SERIES ARE GENERALLY FINALIZED, UPDATED AND/OR SUPERSEDED. PER BRIDGE MANUAL PROCEDURE 6.3.4.1 THESE RECORDS HAVE VALUE THROUGHOUT THE STRUCTURES CONSTRUCTION PROCESS AND ARE NOT NEEDED THEREAFTER.

- MISCELLANEOUS CORRESPONDENCE AND TRANSMITTAL LETTERS
- PRELIMINARY DRAWINGS AND COMPUTATIONS
- PRINTS OF SOIL BORINGS AND PLAN PROFILE SHEETS
- QUANTITY COMPUTATIONS AND BILL OF BARS
- SHOP STEEL QUANTITY COMPUTATIONS : ADDED DURING CONSTRUCTION
- DESIGN CHECKER'S COMPUTATIONS
- PRELIMINARY DESIGNER COMPUTATIONS AND COMPUTER RUNS OF NON-COMPLEX STRUCTURES ON NON-STATE MAINTAINED STRUCTURES.

- LAYOUT SHEETS
 - ELEVATION RUNS AND BRIDGE GEOMETRICS
 - FALSEWORK PLANS: ADDED TO PACKET DURING CONSTRUCTION
 - MISCELLANEOUS TEST REPORTS
 - PHOTOGRAPHS OF BRIDGE REHABS
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).
 RETENTION: EVENT (STRUCTURE COMPLETION REPORT DATE) AND DESTROY CONFIDENTIAL.

00581000. **PRESTRESSED CONCRETE PLANT INSPECTIONS AND REPORTS** **CR+50** **DEST** **Y**

PRESTRESSED CONCRETE IS A SPECIALIZED TYPE OF CONCRETE USED FOR STRUCTURES. IT IS DEFINED AS: "CONCRETE IN WHICH THERE HAS BEEN INTRODUCED INTERNAL STRESSES OF SUCH MAGNITUDE AND DISTRIBUTION THAT THE STRESS RESULTING FROM GIVEN EXTERNAL LOADINGS ARE COUNTERACTED TO A DESIRED DEGREE. IN REINFORCED CONCRETE MEMBERS THE PRESTRESS IS COMMONLY INTRODUCED BY TENSIONING THE STEEL REINFORCEMENT".

REQUIREMENTS FOR PRESTRESSED CONCRETE ARE SPECIFIED IN CHAPTER 19 OF THE WISCONSIN BRIDGE MANUAL. ANNUALLY, THE WISDOT MATERIALS MANAGEMENT SECTION INSPECTS PLANTS THAT FABRICATE PRESTRESSED CONCRETE GIRDERS AND MATERIALS AND PREPARES AN INSPECTION REPORT. IN ADDITION, THE SECTION RECEIVES COPIES OF QUALITY VERIFICATION (QV) REPORTS THAT A QV INSPECTOR REPRESENTING WISDOT COMPLETES AT THE PLANT WEEKLY.

NOTE: MATERIALS MANAGEMENT SECTION MAINTAINS OTHER PRESTRESSED CONCRETE DATA PER THE MATERIAL MANAGEMENT RECORDS SCHEDULE:

- RDA 00347 MATERIALS TRACKING SYSTEM - MTS MASTER DATA IDENTIFIES CERTIFIED SOURCES OF SUPPLY INVENTORY.
- RDA 00348 APPROVED PRODUCTS LISTS SPECIFIES PRODUCTS THAT ARE PRE-QUALIFIED FOR USE ON WISCONSIN DOT PROJECTS.

RECORDS IN THIS SERIES DESCRIBE THE FILE FOR EACH PRESTRESSED CONCRETE PLANT THAT THE WISDOT MATERIALS MANAGEMENT SECTION RETAINS TO MONITOR THE QUALITY OF PRESTRESSED CONCRETE FABRICATED AT EACH PLANT IN ADDITION, EACH PLANT IS REQUIRED TO MAINTAIN TESTING AND QC RECORDS ON SITE IN ORDER TO MEET STANDARDS AND SPECIFICATIONS FOR WISDOT STRUCTURES PROJECTS.

LONG-TERM VALUE: PRESTRESSED CONCRETE IS A CRITICAL COMPONENT OF BRIDGES AND OTHER HIGHWAY STRUCTURES, AND WISDOT MAINTAINS RECORDS FOR EVIDENTIAL AND LEGAL VALUE. THEY DOCUMENT PRODUCT LIABILITY ISSUES AND WISDOT REGULATORY QUALITY ASSURANCE OVERSIGHT.

RETENTION: CREATION + 50 YEARS AND DESTROY CONFIDENTIAL.

00582000. **BRIDGE FAILURE CASE FILES** **EVT+10** **SHSW** **Y**

WISDOT FOLLOWS NATIONAL INCIDENT MANAGEMENT SYSTEM (NIMS) AND INCIDENT COMMAND SYSTEM (ICS) PRINCIPLE TO COORDINATE RESPONSES TO HIGHWAY INCIDENTS, INCLUDING THOSE RELATED TO BRIDGES AND STRUCTURES. STATE PATROL OR OTHER LAW ENFORCEMENT CONTACTS THE REGIONAL OFFICE WHO IN TURN CONTACTS THE BUREAU OF STRUCTURES. THE REGIONAL OFFICE RETAINS GENERAL OVERSIGHT OF THE INCIDENT, AND A BUREAU OF STRUCTURES REPRESENTATIVE HAS SHARED RESPONSIBILITY. INCIDENTS TRIGGER STRUCTURE DAMAGE INSPECTIONS. MINOR INCIDENTS, E.G., VEHICLE HITS ON GIRDERS, COLUMN OR RAILING, ARE UNLIKELY TO CAUSE A BRIDGE FAILURE.

A BRIDGE FAILURE, I.E., ONE THAT COLLAPSES AS THE RESULT OF FLOODING, BEING STRUCK BY A MOTOR VEHICLE, OR THE WEAKENING OF ITS MEMBERS, REQUIRES EMERGENCY ACTION ON THE PART OF THE DOT. WHENEVER REHABILITATION PLANS ARE REQUIRED, THE STRUCTURES DESIGN SECTION PROVIDES ASSISTANCE.

THIS RECORDS SERIES INCLUDES SIGNIFICANT BACKGROUND CORRESPONDENCE AND EVIDENCE THAT THE BUREAU OF STRUCTURES ACTED TO:

- MEET NIMS AND ICS INCIDENT RESPONSE REQUIREMENTS;
- ASSESS BRIDGE INCIDENT DAMAGE, DETERMINE ITS CAUSE, PLAN AND IMPLEMENT NECESSARY REPAIRS.

NOTE: ALL DAMAGE INSPECTION REPORTS AND OTHER BRIDGE INSPECTION REPORTS ARE SCANNED INTO HSIS. SEE RDAS: 00190-000, 00190-A00, 00572-000 AND 00573-000.

RETENTION: EVENT (DATE OF DAMAGE INSPECTION) + 10 YEARS AND TRANSFER TO WHS.

RDA #	RDA Title	Retention	Disposition	PII
<u>00583000.</u>	<u>BRIDGE INSPECTOR CERTIFICATION CASE FILES - APPROVED</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>THE BUREAU OF STRUCTURES REQUIRES VARIOUS TYPES OF STRUCTURE INSPECTIONS. PERSONS WHO PERFORM THESE INSPECTIONS MUST BE CERTIFIED AS BRIDGE INSPECTORS BY WISCONSIN DOT, AND THE BUREAU OF STRUCTURES FOLLOWS STANDARD PROCEDURES FOR CERTIFICATION. RECORDS IN THIS SERIES DOCUMENT BRIDGE INSPECTOR QUALIFICATIONS AND TEH CERTIFICATION AND RECERTIFICATION PROCESSES, INCLUDING:</p> <ul style="list-style-type: none"> - INSPECTOR BRIDGE INSPECTION APPLICATION DATA: NAME, ADDRESS, PHONE, EMAIL, INSPECTION AREA(S), AND DOCUMENTATION OF BRIDGE INSPECTOR QUALIFICATIONS. - EVIDENCE THAT BRIDGE INSPECTOR SATISFACTORILY COMPLETED TRAINING COURSES REQUIRED BY WISDOT, INCLUDING UPDATED TRAINING. - WISDOT REVIEW AND APPROVAL OR DENIAL OF CERTIFICATION. NOTES, COMMENTS, CORRESPONDENCE BEETWEEN CANDIDATE AND WISDOT BUREAU OF STRUCTURES REGARDING CERTIFICATION QUALIFICATIONS. <p>IF INSPECTORS FAIL TO COMPLETE UPDATED TRAINING OR DO NOT APPLY FOR CONTINUED CERTIFICATION, THE CERTIFICATION EXPIRES. RECORDS ARE MAINTAINED FOR 10 YEARS THEREAFTER IN CASE OF RENEWAL OR IN CASE SUBSEQUENT INSPECTIONS IDENTIFY ISSUES AND CONCERNS.</p> <p>RETENTION: EVENT (SUPERSEDED BY UPDATED MATERIALS OR TERMINATION OF CERTIFICATION) + 10 YEARS AND DESTROY CONFIDENTIAL.</p>			
<u>00584000.</u>	<u>BRIDGE INSPECTOR CERTIFICATION CASE FILES - DENIED AND RESCINDEI</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
	<p>THIS RECORDS SERIES INCLUDES RECORDS OF BRIDGE INSPECTORS AND APPLIANTS WHO ARE DENIED CERTIFICATION APPROVAL AND THOSE WHOSE CERTIFICATION IS RESCINDED FOR CAUSE. THIS RECORDS SERIES DOCUMENTS THE WISDOT BUREAU OF STRUCTURES DECISION TO DENY OR RESCIND THE CERTIFICATION FOR APPLICANTS WHO FAIL TO MEET CERTIFICATION STANDARDS AND SPECIAL CASES OF INSPECTORS WHOSE CERTIFICATION IS RESCINDED DUE TO POOR INSPECTION PERFORMANCE, NEGLIGENCE, PROBLEMS WITH INSPECTIONS, ETC.</p> <p>LONG-TERM RETENTION: THIS SERIES IS RETAINED AS EVIDENCE OF THE DECISION IN CASE OF A DISPUTE WITH THE APPLICANT; AS BACKGROUND INFORMATION IN CASE THE APPLICANT RE-APPLIES FOR INSPECTOR CERTIFICATION, IN CASES OF BRIDGE INSPECTIONS THAT DO NOT MEET REQUIREMENTS, RECORDS MAY HAVE SIGNIFICANT LEGAL, EVIDENTIAL VALUE, ESPECIALLY IN CASE OF A BRIDGE FAILURE OR OTHER PROBLEM.</p> <p>RETENTION: EVENT (DATE DENIED OR RESCINDED) + 50 YEARS AND DESTROY CONFIDENTIAL</p>			
<u>00585000.</u>	<u>BRIDGE MAINTENANCE LISTS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	<p>THE STRUCTURES MAINTENANCE SECTION POSTS BRIDGE MAINTENANCE INFORMATION AND LISTS ON THE WISDOT AND DOTNET WEB SITES. INFORMATION IS POSTED FOR INFORMATIONAL PURPOSES AND TO FACILITATE THE CONSTRUCTION OR MAINTENANCE OF A STRUCTURE.</p> <p>RECORDS AND DATA TO COMPILE LISTS ARE COVERED IN OTHER RDAS. LISTS INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING:</p> <ul style="list-style-type: none"> - PRODUCT INFORMATION LISTS: PRODUCT INFORMATION USED BY EACH REGION FOR BRIDGE MAINTENANCE OF THE MAINTENANCE PRODUCT INFORMATION INCLUDES COST AND COMMENTS FOR BEARINGS, CONCRETE REPAIR, DECK OVERLAYS AND REPAIRS, SCOUR PROTECTION AND DECK/PARAPET SEALER, BRIDGE WASHING AND JOINT REPAIR/SEALER MAINTENANCE - CERTIFIED METAL FABRICATION SHOPS - APPROVED BRIDGE PAINTING PRODUCTS, PAINTING PUBLICATIONS, AND PAINTING SPECIFICATIONS - LIST OF BRIDGE INSPECTIONS - BY TYPE - LIST OF CERTIFIED BRIDGE INSPECTORS - LIST OF BRIDGE INSPECTION COURSE ROSTERS - LIST OF STRUCTURE MANUAL HOLDERS <p>RETENTION: EVENT (PRODUCT OR SUPPLIER DATA OBSOLETE OR SUPERSEDED BY UPDATED INFORMATION) AND DESTROY CONFIDENTIAL</p>			
<u>00586000.</u>	<u>BRIDGE METAL SECONDARY FABRICATION SHOP CERTIFICATION</u>	<u>EVT+50</u>	<u>DEST</u>	<u>Y</u>
	<p>METAL FABRICATORS FOLLOW CONSTRUCTION MATERIALS MANUAL PROCEDURE 8.75.2 TO CERTIFY THAT THEY ARE CAPABLE OF CONSISTENTLY SUPPLYING BRIDGE METAL SECONDARY FABRICATION PRODUCTS THAT COMPLY WITH PERTINENT SPECIFICATION AND CONTRACT REQUIREMENTS.</p> <p>RAIL POSTS ANCHOR ASSEMBLIES FOR RAIL POSTS SLEEVES SHIMS RAIL PANELS ANCHOR BOLTS PROTECTION ANGLES STRUCTURAL FASTENERS EXPANSION DEVICES CURB AND SIDEWALK COVER PLATES FLOOR DRAINS GUARDRAIL ANCHORS SHEET LEAD ELASTOMERIC PADS BEARING ASSEMBLIES (STEEL) STRUCTURAL STEEL DIAPHRAGMS</p>			

Dept #: /052/ Department Name: DTSD - STRUCTURES

RDA # RDA Title Retention Disposition PII

RECORDS IN THIS SERIES DOCUMENT THE CERTIFICATION PROCESS:
- WRITTEN APPLICATION (ATTENTION: BRIDGE SHOP FABRICATION SUPERVISOR), WITH INFORMATION ON FABRICATOR'S ESTABLISHED QUALITY CONTROL PROGRAM TO ENSURE THAT ALL MATERIALS USED TO FABRICATE PRODUCTS COMPLY WITH APPLICABLE SPECIFICATIONS AND FABRICATED PRODUCTS CONSISTENTLY MEET SPECIFICATIONS.
-MAY INCLUDE COPY OF WISDOT ROUTINE OR PERIODIC ON-SITE PLANT INSPECTION REPORT: OBSERVED FABRICATING PROCESSES, RECORDKEEPING, VISUAL INSPECTION OF COMPLETED PRODUCTS FOR QUALITY OF WORKMANSHIP, CONFORMANCE WITH SPECIFICATIONS AND FREEDOM FROM DEFECTS. ALL SHOP INSPECTIONS ARE IN HSIS.
- PROPOSES MODIFICATIONS IN METHODS OR SOURCE MATERIALS CHANGE.
- NOTICE OF APPROVAL - SIGNED BY DIRECTOR, BUREAU OF STRUCTURES
- ANNUAL RE-APPROVAL REQUEST
- RECORD OF TERMINATED, WITHDRAWN OR LAPSED CERTIFICATION APPROVAL.
WISDOT FABRICATION SUPERVISOR NOTIFIES REGION CONSTRUCTION AND MATERIALS SECTIONS WHEN BRIDGE METAL SECONDARY SHOPS ARE APPROVED AND PUBLISHES APPROVED FABRICATION PLANTS LIST - DOTNET.
LONG-TERM VALUE: RECORDS DOCUMENT THE FABRICATOR'S CERTIFICATION AND RELATE TO MORE THAN ONE BRIDGE OR STRUCTURE PROJECT. SHOP INSPECTIONS ARE SCANNED INTO HSIS BUT NOT ALL CERTIFICATION DOCUMENTS ARE. RECORDS HAVE LONG-TERM LEGAL PRODUCT LIABILITY VALUE.
RETENTION: EVENT (CERTIFICATION TERMINATED OR SUPERSEDED BY UPDATED MATERIALS) + 50 YEARS AND DESTROY CONFIDENTIAL

00587000. FABRICATION SHOP INSPECTION REPORT & NOTES: INSPECTOR COPY EVT DEST Y

THE WISDOT CONDUCTS REGULAR INSPECTIONS FOR STEEL FABRICATION SHOPS THAT FABRICATE STEEL TO BE USED IN WISCONSIN BRIDGES AND OTHER STRUCTURES, I.E., CULVERTS AND/OR ANY TYPE OF ANCILLARY HIGHWAY STRUCTURE. THE BUREAU OF STRUCTURES FABRICATION UNIT MONITORS SHOP FABRICATION METHODS AND TESTS MATERIALS PRODUCED FOR STRUCTURAL INTEGRITY AND COMPLIANCE WITH STANDARDS. INSPECTIONS CONDUCTED APPLY TO THE SPECIFIC NUMBERED STRUCTURE THAT IS UNDER CONSTRUCTION OR REPAIR. THE CONSTRUCTION & MATERIALS MANUAL (CMM) SECTION 8.75 MATERIALS TESTING AND ACCEPTANCE - STRUCTURES ALSO IDENTIFIES RECORDS THAT THE FABRICATOR MUST MAINTAIN AND HAVE AVAILABLE FOR WISDOT INSPECTION REVIEW UNTIL FIVE YEARS AFTER FINAL ACCEPTANCE OF THE PRODUCTS. THE METALS FABRICATION & INSPECTION UNIT SENDS ELECTRONIC FILES DATA INTO HSIS, INCLUDING THE FOLLOWING:
- SHOP DRAWINGS FOR STEEL BRIDGES, SIGN BRIDGES, PRESTRESSED GIRDERS, HIGH MAST POLES, RETAINING WALLS, FLOOR DRAINS, RAILINGS AND ALL STEEL JOINTS - SCANNED INTO HSIS.
- SHOP INSPECTION REPORT (DT1832)
- ULTRASONIC TESTING REPORT (DT1907)
- RECORD OF HEAT NUMBERS (DT1914)
- CERTIFICATION OF STRUCTURAL STEEL AND MISCELLANEOUS (DT 1913)
- REJECTION TEST REPORTS AND FOLLOW-UP TEST REPORTS, FABRICATION UNIT COPY ALSO INCLUDES LOGS, NOTES AND BACKGROUND MATERIALS NEEDED UNTIL THE INSPECTION IS COMPLETE AND ALL RELEVANT DATA IS SCANNED OR ENTERED INTO HSIS.
THIS SERIES COVERS THE INSPECTOR'S RECORD OF THE SHOP INSPECTION.
RETENTION: EVENT (SCANNED OR LOADED INTO HSIS) AND NO LONGER NEEDED AND DESTROY CONFIDENTIAL

00588000. STRUCTURE TRANSMITTAL DOCUMENTS EVT+1 DEST Y

RECORDS IN THIS SERIES ARE LIMITED TO FORMS AND CORRESPONDENCE USED ONLY TO TRANSMIT OTHER MATERIALS TO WISDOT FOR REVIEW AND/OR ROUTING PURPOSES. EXAMPLES INCLUDE BUT ARE NOT LIMITED TO:
- TRANSMITTAL OF SHOP DRAWINGS TO FABRICATORS (DT2135)
- TRANSMITTAL OF SHOP DRAWINGS TO DISTRICTS (DT1830)
- RECORD AND DISTRIBUTION OF SHOP DRAWINGS (DT1831)
RETENTION: EVENT (TRANSMITTAL DATE) + 1 YEAR AND DESTROY CONFIDENTIAL

00589000. WISDOT STRUCTURES INTERAGENCY AGREEMENTS AND MEMORANDA OF EVT+25 DEST Y

THE WISDOT BUREAU OF STRUCTURES ENTERS INTO FORMAL INTERAGENCY COOPERATIVE AGREEMENTS AND MEMORANDA OF UNDERSTANDING (MOU) WITH OTHER FEDERAL, STATE AND LOCAL AGENCIES TO DOCUMENT AND ADDRESS STRUCTURES ISSUES AND CONCERNS. RECORDS IN THIS SERIES ARE OFFICIAL COPIES OF AGREEMENTS THAT DELINEATE WISDOT AND OTHER AGENCY RESPONSIBILITIES TO COOPERATIVELY EVALUATE THE CONDITION OF STRUCTURES. AGREEMENTS INCLUDE BUT ARE NOT LIMITED TO:
- BORDER BRIDGE MAINTENANCE & INSPECTION AGREEMENTS WITH ADJACENT STATES
- MEMORANDUM OF UNDERSTANDING WITH WISCONSIN DEPARTMENT OF NATURAL RESOURCES (DNR)
AGREEMENTS HAVE VALUE FOR THE DURATION OF THE AGREEMENT TERM, UNTIL TERMINATED OR SUPERSEDED.
RETENTION: EVENT (AGREEMENT TERMINATION OR COMPLETELY SUPERSEDED BY UPDATED AGREEMENT) + 25 YEARS AND DESTROY CONFIDENTIAL.

Dept #: /058/ Department Name: DTSD - SURVEY & MAPPING

RDA # RDA Title Retention Disposition PII

Dept #: 1058/ Department Name: DTSD - SURVEY & MAPPING

RDA # RDA Title Retention Disposition PII

00187000. PHOTOLOG INDEX CR+50 DEST N

File Contains The Location Index To The Wisconsin Photolog Presentation (Film/Digital Video) Information. This Is The Official Record Index For The Photolog Information And Maintained In Central Office.

Cross Reference:

Official Record - Photolog Index Refer Rda 00187000
District Copy - Photolog Index Refer Rda 00187A00
Official Record - Positive Film Refer Rda 00185A00
District Copy - Positive Film Refer Rda 00185B00
Official Record - Photolog Digital Video 8" Refer Rda 00185C00
District Copy - Photolog Digital Video 8" Refer Rda 00185D00
Official Record - Photolog Digital Video 12" Refer Rda 00185E00
District Copy - Photolog Digital Video 12" Refer Rda 00185F00

Filed By: Highway Segment Within County Within District Within Year Filmed.

Dept #: 1071/ Department Name: DTSD - REAL ESTATE

RDA # RDA Title Retention Disposition PII

00135B00. VERTICAL AERIAL PHOTOGRAPHY SCANS EVT+25 SHSW N

SURVEYING & MAPPING SECTION IS RESPONSIBLE FOR HIGH-RESOLUTION SCANS FOR USE IN SOFTCOPY MAPPING AND FOR ENLARGEMENTS. THE SECTION SCANNED PROJECTS FROM 2001 FORWARD. SCANS OF OLDER NEGATIVES ARE CREATED AS REQUESTED.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION: EVENT (SCAN DATE) + 25 YEARS AND TRANSFER TO WHS.

00180B00. SURVEY DATA - ELECTRONIC FORMAT CR+100 SHSW N

RECORDS IN THIS SERIES ARE ACTUAL FIELD SURVEY RAW AND PROCESSED DATA: ANGLE DISTANCE MEASUREMENTS, COORDINATES, AND COMPUTATIONS/CALCULATIONS, INCLUDING:

- ALIGNMENT SURVEY - FIELD
- SECTION CORNER WORK
- DIGITAL TERRAIN MODEL (DTM) DATA OR CROSS SECTIONS
- RADIAL TOPOGRAPHY, SUPPLEMENTAL OR FULL
- APPRAISAL STAKING, RW STAKING AND FINAL
- FIELD CONTROL DATA

DATA IS MAINTAINED IN TRIMBLE GEOMATICS OFFICE TM (TGO) SOFTWARE WITH CADD, CALCULATION AND REPORTING FUNCTIONS; TRIMBLE SURVEY CONTROLLER; AND SDMS SURVEY DATA MANAGEMENT SYSTEM, AN AASHTOWARE PRODUCT; AND CAICE.

REGIONS NOW CAPTURE MUCH RAW SURVEY DATA IN ELECTRONIC FORMAT, SCAN HARDCOPY RECORDS TO IMAGE (.PDF FORMAT) FILES, AND STORE DATA ON EACH REGION LAN. THE REGIONAL SURVEY COORDINATOR MAINTAINS DATA.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION JUSTIFICATION RECORDS HAVE LONG-TERM VALUE TO PERFORM FUTURE SURVEY AND PLATTING WORK AND FOR BACKGROUND EVIDENCE RELATED TO WISDOT LEGAL ACTIONS (OUTDOOR ADVERTISING, REAL ESTATE TAKING, ENVIRONMENTAL ISSUES, ETC.).

RETENTION: CREATION + 100 YEARS AND TRANSFER TO WHS.

00180C00. ENGINEERING CONTROL SURVEYS EVT+100 SHSW N

ENGINEERING CONTROL SURVEYS PROVIDE HORIZONTAL AND VERTICAL CONTROL IN SUPPORT OF TRANSPORTATION IMPROVEMENT PROJECTS USING CONVENTIONAL AND GPS SURVEYING TECHNIQUES. GROUND CONTROL SURVEYS CONSIST OF DIGITAL OBSERVATIONAL DATA, ANALYSIS/ADJUSTMENT FILES, AND OTHER DIGITAL DOCUMENTATION REGARDING THE PROJECT. PRINCIPLE ENGINEERING CONTROL SURVEYS CONSIST OF A BOUND REPORT WITH A CD OF THE REPORT AS WELL AS ALL OBSERVATIONAL DATA, ANALYSIS/ADJUSTMENT FILES, AND OTHER DIGITAL

RDA # RDA Title Retention Disposition PII

DOCUMENTATION REGARDING THE PROJECT. THE PROJECT REPORT MAY CONTAIN:
 - SURVEY CONTROL REFERENCE A.K.A. DT2262 RECORD -CONTROL SURVEY STATION
 - SURVEY PROJECT LOCATION
 - SURVEY SITE LOG
 - SURVEY SESSION LOG
 - SURVEY DATA ACQUISITION SPECIFICATION SHEET
 GPS SURVEY DATA CHECKLIST

1989-2004 SURVEYS: SURVEYING & MAPPING SECTION, MAINTAINS ENGINEERING CONTROL RECORDS.
 2005- CURRENT: REGIONS MAINTAIN ENGINEERING CONTROL RECORDS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

RETENTION JUSTIFICATION: RECORDS MAY BE USED FOR PROJECT ENGINEERING, INSURANCE AND ENVIRONMENTAL PURPOSES. FOR FUTURE WORK, WISDOT MAY REUSES DATA INSTEAD OF COMPLETELY RESURVEY SITES. CONTROLS HAVE LONG-TERM VALUE, AT LEAST UNTIL FINAL INSTALLATION OF THE WISCONSIN HEIGHT MODERNIZATION PROGRAM (WI-HMPS AND CONTINUOUSLY OPERATING REFERENCE STATION NETWORK (WI-CORS-NET) PROJECTS.
 RETENTION: EVENT (SURVEY REPORT DATE) + 100 YEARS AND TRANSFER TO WHS.

00184000. TOPOGRAPHIC MAP CADDS RECORDS CR+25 DEST N

BETWEEN 1955 AND 1998, THE WISDOT DEVELOPED TOPOGRAPHIC MAPS. TOPOGRAPHIC MAPS SHOW 2- FOOT CONTOURS OF THE EARTH IN ADDITION TO THE FEATURES SHOWN ON PLANIMETRIC MAPS. TOPOGRAPHIC MAPS WERE USED TO SHOW HIGHWAY PRECONSTRUCTION SURFACE CONFIGURATION OF RIGHT-OF-WAY AND ADJACENT AREAS. INFORMATION INCLUDES RELIEF CHARACTERISTICS, WATER, DRAINAGE FEATURES AND MAN-MADE OR CULTURAL FEATURES. TOPOGRAPHIC MAPPING WAS GENERATED AS FOLLOWS:

- CADDS MICROSTATION TM TOPOGRAPHIC MAPS, 1983 - 1998: CADDS SOFTWARE WAS USED TO GENERATE TOPOGRAPHIC MAPS.
 - OLD RDA 184 TOPOGRAPHIC MAPS - MYLAR, 1955 - 1984: PRIOR TO ELECTRONIC CADDS FILES, MAPS WERE CONSTRUCTED FROM STEREO PLOTTER OUTPUT INTO 24" X 36" MYLAR MAP SHEETS. ALL MYLAR RECORDS HAVE BEEN DESTROYED, PER OLD RDA RETENTION/DISPOSITION: CLOSED (3 YEARS AFTER CONSTRUCTION COMPLETION OR 10 YEARS, WHICHEVER COMES FIRST) AND DESTROY.

RETENTION JUSTIFICATION: WISDOT NO LONGER GENERATES TOPOGRAPHIC MAPS. THE DIGITAL TERRAIN MODEL (DTM) AND PLANIMETRIC MAPS PROVIDE PHOTOGRAMMETRY REQUIRED. ALTHOUGH THIS IS A CLOSED SERIES, TOPOGRAPHIC MAP CADDS RECORDS HAVE LONG-TERM ADMINISTRATIVE LEGAL AND ADMINISTRATIVE VALUE: TO MANAGE HIGHWAY CORRIDORS, PLAN AND CONSTRUCT TRANSPORTATION PROJECTS AND DOCUMENT THE IMPACT OF PROJECTS ON THE SURFACE OF THE EARTH OVER TIME. DATA IS COSTLY TO COLLECT, AND IT MAY BE REUSED/UPDATED TO DEVELOP DTMS OR REFERENCED FOR FUTURE TRANSPORTATION MAINTENANCE AND RECONSTRUCTION PROJECTS; OR USED AS EVIDENCE FOR PROPERTY DISPUTES, STATE PATROL INCIDENTS, AND LEGAL ACTIONS. OUTSIDE AGENCIES AND PRIVATE SECTOR STAFF ALSO REQUEST COPIES OF THE FILES.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 RETENTION: CREATION + 25 YEARS AND DESTROY.

00560000. OBLIQUE AERIAL IMAGERY FILES P PERM N

OBLIQUE IMAGES ARE TAKEN FROM AN AIRCRAFT WHERE THE CAMERA DIRECTION IS AT AN ANGLE TO THE GROUND BENEATH. OBLIQUE AERIAL PHOTOGRAPHS DISTORT PERSPECTIVE AND CANNOT EASILY BE USED FOR PLOTTING AND MAPPING VISIBLE FEATURES WITHOUT RECTIFICATION, BUT WISDOT PERSONNEL USE THESE IN DOCUMENTS AND FOR DISPLAYS. RECORDS IN THIS SERIES ARE OBLIQUE COLOR IMAGERY OF WISCONSIN SITES IN MULTIPLE MEDIA INCLUDING NEGATIVES, PRINTS, AND DIGITAL IMAGES.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)

PERMANENT JUSTIFICATION: WISDOT HAS NO RESOURCES TO SCAN OLDER PAPER AND FILM IMAGES CONTAINED IN THE OLDER FILES. ACTUAL PRINTS ARE USED FOR PRE-AND/OR POST-CONSTRUCTION EXHIBITS OF WETLANDS, AIRPORTS, HIGHWAY INTERCHANGES, AND ROUNDABOUTS. RECORDS HAVE LONG-TERM VALUE TO MAINTAIN AND RECONSTRUCT HIGHWAYS AND AS EVIDENCE IN PROPERTY DISPUTES, HIGHWAY INCIDENTS, ETC. AND TO INVESTIGATE ENVIRONMENTAL ISSUES, SUCH AS FLOODING, FOR PLANNING AND POLICY.
 RETENTION: PERMANENT

00561000. ORTHO AND GEOREFERENCED IMAGE CASE FILES CR+25 DEST N

AN ORTHO IMAGE IS A DIGITAL AERIAL IMAGE WITH THE DISTORTIONS DUE TO THE CAMERA AND TERRAIN RELIEF REMOVED. THE FINAL PRODUCT IS AN AMALGAMATION, WITH THE IMAGE CHARACTERISTICS OF A PHOTOGRAPHIC IMAGE AND THE GEOMETRIC CHARACTERISTICS OF A STEREO COMPILED MAP. IT IS PRODUCED BY USING SOFTWARE THAT RELATES POINTS ON THE IMAGE TO POINTS THAT HAVE COORDINATE VALUES ON A VECTOR, I.E., BY DRAPING A SCANNED AERIAL IMAGE OVER A TRIANGULATED IRREGULAR NETWORK (TIN) FILE PRODUCED FROM A DIGITAL TERRAIN MODEL (DTM) AND A CAMERA ORIENTATION PARAMETER FILE GENERATED FROM ANALYTICAL TRIANGULATION. A GEOREFERENCED IMAGE IS A DIGITAL AERIAL IMAGE THAT HAS BEEN WARPED TO FIT A SET OF COORDINATES. THE ORTHO IMAGE PROVIDES A DESIGNER WITH MORE INFORMATION THAN THE TRADITIONAL VECTOR MAPPING, AND THE

RDA # RDA Title Retention Disposition PII

PUBLIC CAN PERCEIVE MORE ABOUT A HIGHWAY PROJECT. THE ORTHO IMAGE PROCESS PRODUCES A SCALEABLE RASTER IMAGE WHICH CAN BE USED AS A BACKGROUND FOR: R/W SHEETS; PLAN SHEETS; ENGINEERING EXHIBITS; LAND USE MAPS; RESURFACING PLANS; DIGITAL MOSAICS; AND PUBLIC INFORMATION MEETINGS. SURVEYING & MAPPING SECTION RETAINS THE FINAL IMAGE IN RASTER FORMAT IN A DIRECTORY ON THE LAN AND GIVEN THE SAME UNIQUE FILE CABINET ARCHIVAL NAME AS THE RELATED MAPPING PROJECT. ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 RETENTION JUSTIFICATION: THESE RECORDS ARE COSTLY TO GENERATE AND IMAGES MAY BE USED FOR FUTURE HIGHWAY IMPROVEMENT PROJECTS. THEY ALSO HAVE OTHER ADMINISTRATIVE AND LEGAL VALUE. STATE PATROL MAY USE TO INVESTIGATE INCIDENTS; LEGAL MAY NEED FOR EVIDENTIAL ISSUES, AND OTHER LEGAL ACTION. IMAGES ARE USED FOR WISDOT REFERENCE, TO VIEW LAND IMAGES OVER TIME.
 RETENTION: CREATION + 25 YEARS AND DESTROY

00562000. STATEWIDE AERIAL PHOTOGRAPHY P PERM N

RECORDS IN THIS SERIES INCLUDE OLD STATEWIDE AERIAL PHOTOGRAPHY PROJECT RECORDS THAT HAVE LONG-TERM VALUE. THEY ARE USED STATEWIDE BY MULTIPLE AGENCIES FOR ENVIRONMENTAL STUDIES, WISDOT LOCATIONS OF GAS STATIONS, AND POSSIBLE CONTAMINATION SITES. WISDOT PROVIDES COPIES AT CHARGE AND HANDLES MANY OPEN RECORDS REQUESTS. THE DEPT. OF AGRICULTURE AND USGS HAVE OFFICIAL COPIES OF THESE RECORDS. WISDOT SURVEYING AND MAPPING SECTION MAINTAINS THE OFFICIAL DOT COPY. RECORDS SERIES INCLUDES:
 * USDA NEGATIVES AND PRINTS, 1937 - 1940 - : STATEWIDE AERIAL IMAGERY CONSISTS OF PAPER PHOTOS AND FILM NEGATIVES. MATERIALS ARE OLD. PAPER AND FILM ARE SUPPLEMENTARY RECORDS. WISDOT ACQUIRED FROM USDA.
 * RC-9 NEGATIVES, 1966 - 1967 (OLD RDA 83/065-15): WISDOT HAS 7 CU. FT. OF THESE NEGATIVES. RC-9 WAS THE CAMERA TYPE USED FOR THESE NEGATIVES.
 * STATEWIDE BWIR NEGATIVES, 1978- 1980 (OLD RDA 83/065-13): 26 - 5-DRAWER CABINETS (130 DRAWERS) ARE THE ONLY RECORDS TO DOCUMENT THE ONLY WISDOT STATEWIDE AERIAL PHOTO PROJECT FLOWN.
 * NAPP, 1992- 1993 NEGATIVES: NATIONAL AERIAL PHOTOGRAPHY PROGRAM. WISDOT ACQUIRED FROM USGS FOR STATEWIDE AERIAL COVERAGE.
 * WISDNR COUNTY NEGATIVES, 1986 - : WISDNR FLIES 4 COUNTIES (IN A ROTATION) ANNUALLY FOR WETLAND INVENTORY AND FORESTRY PURPOSES AND TRANSFERS ORIGINAL FILM TO WISDOT TO BE CUSTODIANS. WISDOT MAINTAINS NEGATIVES, SINCE 1986.
 SUPERSEDES RDAS 83/065 - 13 & 83/065 - 15
 PERMANENT JUSTIFICATION: THE NEGATIVES AND PRINTS HAVE ONGOING VALUE TO PLAN AND DEVELOP HIGHWAY IMPROVEMENT PROJECTS; FOR ALL TYPES OF ENVIRONMENTAL AND LAND USE PURPOSES, AND LEGAL ACTIONS. WISDOT, OTHER AGENCIES AND REQUESTERS USE THESE RECORDS EXTENSIVELY.
 RETENTION: PERMANENT

00563000. DIGITAL TERRAIN MODEL (DTM) MASTER DATA CR+25 DEST N

A DIGITAL TERRAIN MODEL (DTM) IS A MATHEMATICAL MODEL OF THE EXISTING EARTH'S SURFACE CREATED FROM A TRIANGULATED IRREGULAR NETWORK (TIN) OF DIGITIZED THREE-DIMENSIONAL COORDINATES (BREAK LINES AND RANDOM POINTS). DTMS ACCURATELY DEPICT THE UNDULATION OF THE EARTH'S SURFACE. DATA MAY BE COLLECTED FROM 3D STEREOSCOPIC SYSTEMS (INTERFACED TO MICROSTATION TM) THAT HAVE ALREADY BEEN MAPPED, OR IF NEW IMAGERY IS REQUESTED, IT CAN BE COLLECTED WHILE THE OPERATOR COMPILES PLANIMETRIC FEATURES. DTMS ARE USED FOR PLANNING AND DESIGNING HIGHWAY IMPROVEMENT PROJECTS. SURFACE MODELS ARE USED TO CREATE 3D MODELS OF THE PROPOSED ROADWAY FOR MACHINE GRADING. REGION PLANNING AND DESIGN STAFF CAN INVESTIGATE ALTERNATE ALIGNMENTS, CUT CROSS SECTIONS OR GENERATE CONTOURS AT ANY PLACE WITHIN THE DTM. DATA IS:
 - EXISTING: DEPICTS STATUS OF EARTH'S SURFACE PRIOR TO CONSTRUCTION.
 - FINAL: DTM IS COLLECTED FROM NEW IMAGERY AFTER THE CONTRACTOR HAS COMPLETED THE EARTHWORK. PRIOR TO 1993, WISDOT COMPILED TOPOGRAPHIC MAPS AND CROSS SECTIONS FOR PROJECTS INSTEAD OF DTMS. PLANIMETRIC AND DTM MAPPING ARE NOW THE STANDARD TYPES. RECORDS IN THIS SERIES ARE FINAL DTM SURVEY DATA INCLUDING THE MAP AND REPORTS THAT CONTAIN SIGNIFICANT SUMMARY INFORMATION ON THE PARTICULAR SITE. SURVEYING & MAPPING SECTION DELIVERS COMPLETED DTMS TO THE REGION VIA FILING CABINET, THE WISDOT ELECTRONIC STORAGE SYSTEM.
 RETENTION JUSTIFICATION: WISDOT REUSES AND UPDATES DATA AS NEEDED FOR MAINTENANCE AND RECONSTRUCTION PROJECTS. STATE PATROL ALSO USES DATA AS A BASIS FOR INCIDENT SCENE ANALYSIS, AND IT MAY ALSO BE USED IN LITIGATION, PROPERTY DISPUTES AND OTHER LEGAL ACTIONS. THIS TYPE OF DATA COLLECTION IS COSTLY TO COLLECT; IT HAS LONG-TERM ADMINISTRATIVE AND LEGAL VALUES.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 RETENTION: CREATION + 25 YEARS AND DESTROY

00564000. PLANIMETRIC MAP DATA CR+25 DEST N

THE PLANIMETRIC MAP SHOWS THE POSITION OF ALL NATURAL AND HUMAN-MADE EARTH FEATURES. IMAGERY FOR PLANIMETRIC MAPS IS USUALLY TAKEN IN THE SPRING, AND THE MAP IS USED FOR TRANSPORTATION PROJECT PLANNING AND DESIGN. THIS RECORDS SERIES COVERS PLANIMETRIC DATA THAT THE SURVEYING AND MAPPING SECTION MAINTAINS AND ARCHIVES IN THE ORACLE FILE CABINET SY _ DIRECTORY. ACCESS TO DATA IS THROUGH FILE

RDA # RDA Title Retention Disposition PII

SERVERS AND CLIENT SOFTWARE. SURVEYING & MAPPING SECTION PROVIDES PHOTOGRAMMETRIC MAPPING FILES TO CADDS COORDINATES IN EACH REGION AND IN OTHER SPECIFIC FUNCTIONAL AREAS.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 RETENTION JUSTIFICATION: DATA HAS LONG-TERM ADMINISTRATIVE AND LEGAL VALUE TO WISDOT TO CONTINUE TO MANAGE HIGHWAY CORRIDORS, PLAN AND CONSTRUCT TRANSPORTATION PROJECTS AND DOCUMENT THE IMPACT OF PROJECTS ON THE SURFACE OF THE EARTH OVER TIME. DATA IS COSTLY TO COLLECT, AND IT MAY BE REUSED OR REFERENCED FOR TRANSPORTATION MAINTENANCE AND RECONSTRUCTION PROJECTS. OUTSIDE AGENCIES AND PRIVATE SECTOR STAFF REQUEST COPIES OF THE ELECTRONIC FILES FOR PURPOSES OTHER THAN PLANNING AND DESIGNING HIGHWAYS. OTHER USES INCLUDE PROPERTY DISPUTES, STATE PATROL INCIDENTS, LITIGATION AND OTHER LEGAL ACTIONS INVOLVING WISDOT.
 RETENTION: CREATION + 25 YEARS AND DESTROY.

00565000. PHOTOGRAMMETRY DATA TRANSITION FILES CR+25 DEST N

PHOTOGRAMMETRY DEALS WITH MEASUREMENTS OF AERIAL IMAGES. THE SURVEYING AND MAPPING PHOTOGRAMMETRY UNIT TRANSLATES TWO-DIMENSIONAL AND THREE-DIMENSIONAL MICRO STATION TM (CADDS) FILES BETWEEN DATUM AND COORDINATE SYSTEMS, PER SPECIFICATIONS FOR THE WISCONSIN COUNTY COORDINATE SYSTEM (WCCS) AND AS DEFINED IN THE FACILITIES DEVELOPMENT MANUAL. THE PHOTOGRAMMETRY UNIT MAINTAINS A COPY OF THE ORIGINAL ELECTRONIC FILE AND THE TRANSLATED ELECTRONIC FILE IN THE CADDS FILING CABINET.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 RETENTION: CREATION + 25 YEARS AND DESTROY.

00567000. MILESTONE DATASET ELECTRONIC TRACKING DATA CR+20 DEST N

THE SURVEYING AND MAPPING SECTION USES AN MS ACCESS DATABASE TO MANAGE PHOTOGRAMMETRY (AERIAL MAPPING) PROJECTS. MASTER DATA INCLUDES MULTIPLE DATA FIELDS TO PROVIDE PROJECT INFORMATION AND TRACK VARIOUS COST COMPONENTS AND PROJECT STATUS/PROGRESS. IT CONTAINS CUSTOMIZED VISUAL BASIC PROGRAMMING TO EXTEND ITS FUNCTIONALITY FOR SCHEDULING PROJECTS AND TO PERFORM OTHER TASKS. THE MILESTONE SYSTEM IS CAPABLE OF GENERATING REPORTS AND RESPONDING TO QUERIES FOR SPECIFIC NEEDS. ALSO USED TO PROVIDE STATISTICS ON PHOTOGRAMMETRY PROJECTS, INCLUDING DATE, COVERAGE, SITES, ETC. TRACKS PROJECT FROM REQUEST DATE THROUGH DELIVERY OF FINAL PRODUCT.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 RETENTION: CREATION + 20 YEARS AND DESTROY.

00568000. WISCONSIN STATE HIGHWAY MAP AND COUNTY MAP DATA EVT+2 DEST N

THIS RECORDS SERIES IS THE ELECTRONIC (CADDS) DATA MAINTAINED TO SUPPORT WISCONSIN STATE AND COUNTY MAPPING. DATA PROVIDES A SNAPSHOT IN TIME OF THE STATE AND COUNTY TRANSPORTATION NETWORK, AND IT CANNOT NECESSARILY BE RECREATED OR REGENERATED FROM OTHER SOURCES.
 INCLUDES:
 - THE STATE HIGHWAY MAP IS UPDATED AND MAINTAINED AS MULTIPLE DIGITAL BASE FILES FOR THE SPECIFIC PURPOSE OF PRINTING THE STATE HIGHWAY MAP AS REQUIRED BY STATE STATUE 84.02. DIGITAL INFORMATION IS SPECIFICALLY SET UP FOR EFFICIENT UPDATING, MAINTENANCE, AND CREATION OF COLOR SEPARATIONS REQUIRED FOR PRINTING.
 - THE WISCONSIN COUNTY MAPS ARE UPDATED AND MAINTAINED AS INDIVIDUAL DIGITAL MAPPING BASE FILES FOR ALL 72 COUNTIES OF WISCONSIN, FOR THE SPECIFIC PURPOSE OF PRINTING INDIVIDUAL COUNTY MAPS AND PRINTING FOR THE 8.5 X 11-INCH COUNTY MAP BOOKLET. DIGITAL INFORMATION IS SPECIFICALLY SET UP FOR EFFICIENT UPDATING, MAINTENANCE, AND PRINTING BY THE DIGITAL CARTOGRAPHY UNIT. PRINTED MAPS AND COUNTY MAP BOOKLETS ARE MADE AVAILABLE EACH YEAR IN FEBRUARY.
 DIGITAL DATA IS AVAILABLE IN DIRECTORIES VIA THE WISDOT ELECTRONIC FILING CABINET STORAGE SYSTEM.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 RETENTION: EVENT (SUPERSEDED) + 2 VERSIONS AND DESTROY.

00568A00. STATE HIGHWAY MAP AND COUNTY MAP - MASTER PAPER RECORD P PERM Y

RECORDS IN THIS SERIES ARE MASTER COPIES OF EACH WISDOT MAP GENERATED FOR PUBLIC USE, INCLUDING:
 - FOLDED STATE HIGHWAY MAP - DATING TO 1947 REQUIRED TO PRODUCE AT LEAST BIENNIALLY - FOLDED. STATE MAPS CONTAIN PII DATA: IDENTIFY THE GOVERNOR AT THE TIME OF PRINTING.
 - 8.5 BY 11-INCH BOOKLET OF COUNTY MAPS - DATING TO 1990 DONE ANNUALLY.
 PRINTED MAPS ARE DISTRIBUTED WIDELY.
 PERMANENT JUSTIFICATION: THIS RECORDS SERIES IS MAINTAINED IN THE SURVEYING AND MAPPING SECTION TO FACILITATE ONGOING SURVEY AND MAPPING EFFORTS; FOR RESEARCH AND REFERENCE PURPOSES; AND AS A BASIS

RDA # RDA Title Retention Disposition PII

OF COMPARING WISCONSIN HIGHWAYS AND ROADWAYS OVER TIME.
RETENTION: PERMANENT

00568B00. WISCONSIN STATE HIGHWAY MAP AND COUNTY MAP CASE FILES - PAPER EVT+2 DEST N

RECORDS IN THIS SERIES ARE CREATED BY THE DIGITAL CARTOGRAPHY UNIT THAT IS RESPONSIBLE FOR COLLECTING AND COORDINATING PERTINENT UPDATE INFORMATION FROM STATE, COUNTY, AND OTHER VARIOUS SOURCES TO UPDATE, MAINTAIN, AND PRINT THE WISCONSIN STATE HIGHWAY MAP AND COUNTY MAP BOOKLETS. INFORMATION COLLECTED IS ALSO USED TO UPDATE REQUEST FROM PRIVATE MAPPING COMPANIES TO UPDATE VARIOUS PRODUCTS. THE UNIT MAINTAINS THE CURRENT VERSION PLUS TWO PREVIOUS VERSIONS FOR EASE OF UPDATING AND TO RESPOND TO REQUESTS. RECORDS INCLUDE BACKGROUND MATERIALS AND CORRESPONDENCE NEEDED TO GENERATE STATE AND COUNTY MAPS, BY DATE ISSUED.
ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
RETENTION: SUPERSEDED BY 2 UPDATED VERSIONS AND DESTROY.

00569000. RIGHT-OF-WAY PLATS (RW PLATS) P PERM Y

THE SURVEYING AND MAPPING SECTION, GEODETIC SURVEYS UNIT PROVIDES RIGHT-OF-WAY PLAT (RW PLAT) COORDINATION SERVICES FOR WISDOT. AT ONE TIME RW PLATS WERE THE STANDARD TYPE OF PLAT DEVELOPED FOR ALL HIGHWAY IMPROVEMENT PROJECTS. AS OF 2003, ALL NEW HIGHWAY IMPROVEMENT PROJECT PLATS MUST BE TRANSPORTATION PROJECT PLATS (TPPS). HOWEVER, OCCASIONALLY, FOR PROJECTS INITIATED PRIOR TO THE TPP PROCESS, WISDOT GENERATES A TRADITIONAL RIGHT-OF-WAY PLAT. R/W PLATS ARE ALWAYS FILED WITH THE COUNTY CLERK'S OFFICE BUT THEY ARE NOT RECORDED DOCUMENTS, I.E., FILED WITH REGISTERS OF DEEDS. CURRENTLY, TRADITIONAL RIGHT-OF-WAY PLATS ARE GENERATED ON A MICRO STATION PLATFORM WITH CAICE SOFTWARE. PLATS ARE INCORPORATED INTO THE ASLET HIGHWAY IMPROVEMENT DESIGN PLAN, AND ULTIMATELY, INTO THE ASBUILT CONSTRUCTION PLAN.
THIS RECORDS SERIES COVERS THE OFFICIAL WISDOT COPY OF RIGHT-OF-WAY PLATS, MAINTAINED IN EACH REGION IN PAPER OR ELECTRONIC FORMS. EACH REGIONAL PLAT COORDINATOR MAINTAINS CURRENT PLATS FOR THE PARTICULAR REGION ON A REGION SHARE DRIVE.
PLL: ON ALL R/W PLATS, PERSONALLY IDENTIFIABLE INFORMATION INCLUDES DOT MANAGEMENT SIGNATURE. IF PREPARED BY A CONSULTANT, THE PLAT ALSO INCLUDES CONSULTANT REGISTERED LAND SURVEYOR (RLS) STAMP AND SIGNATURE. PLL WILL ALSO INCLUDE NAMES OF PROPERTY OWNERS FROM WHOM WISDOT IS ACQUIRING RIGHTS OR INTERESTS IN PROPERTY.
ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
PERMANENT JUSTIFICATION: PLATS HAVE ONGOING VALUE: FUTURE PLATTING EFFORTS; HIGHWAY DESIGN AND CONSTRUCTION PROJECTS, POLICY AND PLANNING; ADMINISTRATIVE REFERENCE AND RESEARCH; AND AS LEGAL EVIDENCE TO: DELINEATE EXISTING HIGHWAY RIGHT-OF-WAY, FACILITATE REAL ESTATE ACQUISITIONS, AND RESOLVE LEGAL DISPUTES. THIS RESOURCE PROVIDES A BASIS TO COMPARE WISCONSIN ROADWAYS OVER TIME AND IN ADDITION THESE ARE THE RECORDS OF THE RIGHT-OF-WAY BOUNDARIES OF THE HIGHWAY SYSTEM,
RETENTION: PERMANENT

00570000. TRANSPORTATION PROJECT PLATS (TPPS) P PERM Y

TRANSPORTATION PROJECT PLATS (TPPS), FIRST USED IN 1998, BECAME THE STANDARD WISDOT PLAT TYPE FOR ALL HIGHWAY IMPROVEMENT PROJECTS IN 2003. FINAL PLATS ARE RECORDED WITH THE APPROPRIATE COUNTY REGISTER OF DEEDS. REGIONAL PLAT PREPARES (WISDOT PERSONNEL OR DESIGN CONSULTANTS) DEVELOP TPPS. TPPS ARE CURRENTLY GENERATED ON A MICROSTATION PLATFORM USING CAICE SOFTWARE. REGIONS SEND COPIES OF ALL PLATS TO SURVEYING AND MAPPING, DTSD TO BE REVIEWED FOR CONSISTENCY, FINALIZED AND SENT TO THE APPROPRIATE COUNTY REGISTER OF DEEDS OFFICE. REGISTERS OF DEEDS HOLD THE OFFICIAL, RECORDED VERSIONS OF ALL TPPS, FOR THE PARTICULAR COUNTY.
THIS RECORDS SERIES COVERS THE OFFICIAL WISDOT VERSIONS OF TPPS. REGIONAL PLAT COORDINATORS EACH MAINTAIN THE OFFICIAL REGION-SPECIFIC TPPS, WITH COUNTY RECORDING INFORMATION, ON A REGIONAL SHARE DRIVE. REGIONS ALSO POST THE FINAL VERSION (IN .PDF FORMAT) IN THE "E-PLAN" FOLDER ON THE WISDOT NETWORK SHARED DRIVE, WHERE IT IS ACCESSIBLE TO AUTHORIZED WISDOT PERSONNEL FOR A PERIOD OF TIME. TPPS ARE INCORPORATED INTO THE ASLET HIGHWAY IMPROVEMENT DESIGN PLAN, AND ULTIMATELY, INTO THE ASBUILT CONSTRUCTION PLAN.
PLL: ON ALL TPPS PREPARED BY WISDOT, PERSONALLY IDENTIFIABLE INFORMATION INCLUDES A SIGNATURE BY THE PLAT PREPARER THAT CREATED THE PLAT IN ADDITION TO A MANAGEMENT APPROVAL SIGNATURE. IF A CONSULTANT PREPARES THE PLAT, A REGISTERED LAND SURVEYOR (RLS) REPRESENTING THAT CONSULTANT PREPARES THE PLAT, A REGISTERED LAND SURVEYOR (RLS) REPRESENTING THAT CONSULTANT WILL STAMP AND SIGN THE PLAT, AND IT WILL CONTAIN A DOT MANAGEMENT APPROVAL SIGNATURE. PLL ALSO INCLUDES NAMES OF PROPERTY OWNERS FROM WHOM WISDOT IS ACQUIRING RIGHT OR INTERESTS IN PROPERTY.
ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
PERMANENT JUSTIFICATION: PLATS HAVE ONGOING VALUE: FUTURE PLATTING EFFORTS; HIGHWAY DESIGN AND CONSTRUCTION PROJECTS, POLICY AND PLANNING; ADMINISTRATIVE REFERENCE AND RESEARCH; AND AS LEGAL

EVIDENCE TO: DELINEATE EXISTING HIGHWAY RIGHT-OF-WAY, FACILITATE REAL ESTATE ACQUISITIONS, AND RESOLVE LEGAL DISPUTES. THIS RESOURCE PROVIDES A BASIS TO COMPARE WISCONSIN ROADWAYS OVER TIME AND IN ADDITION THESE ARE THE RECORDS OF THE RIGHT-OF-WAY BOUNDARIES OF THE HIGHWAY SYSTEM, RETENTION: PERMANENT

00571000. WISCONSIN HEIGHT MODERNIZATION PROGRAM (WI-HMP) AND WI-CORS-N P PERM N

RECORDS IN THIS SERIES DOCUMENT PROJECTS TO ESTABLISH SURVEY BASE POINTS AND TECHNOLOGY TO FACILITATE SURVEYING EFFORTS AND INCREASE SURVEY ACCURACY AND CONSISTENCY. INCLUDES: WISCONSIN HEIGHT MODERNIZATION PROGRAM (WI-HMP): THE PURPOSE OF THE STATEWIDE HEIGHT MODERNIZATION PROGRAM (WI-HMP) IS TO CREATE CONCRETE MONUMENTATION DISKS POURED INTO THE GROUND AT REGULAR INTERVALS THROUGHOUT THE STATE. WISDOT SURVEYORS USE TRADITIONAL GROUND SURVEY METHODS TO TARGET MONUMENT SITE LOCATIONS; CAPTURE X, Y AND Z COORDINATES; AND SUBMIT DATA TO THE FEDERAL NATIONAL GEODETIC SURVEY (NGS).
 CONTINUOUSLY OPERATING REFERENCE STATION NETWORK (WI-CORS-NET): WI-CORS-NET CAPTURES Z (ELEVATION) COORDINATE DATA USING ANTENNAS (INSTALLED ON PILLARS THROUGHOUT THE STATE), USES GPS TECHNOLOGY AND COMMUNICATES DATA VIA SATELLITE TO A CENTRAL SERVER. SURVEYING AND MAPPING SECTION MANAGES DOT PERSONNEL AND CONTRACTOR FORCES THAT INSTALL THE NETWORK OR PILLARS. EACH PILLAR CONTAINS A GPS RECEIVER TO COLLECT DATA AROUND THE POSITIONED MARKER. WHEN RECEIVERS ARE OPERATING, CELL PHONES AND OTHER TECHNOLOGY WILL COMMUNICATE WITH STATIONS AND COLLECT GPS DATA. RECORDS IN THIS SERIES IDENTIFY PILLAR STATION SITE LOCATIONS AND MARKER POSITIONS; AND DOCUMENT ACCURATE INSTALLATION OF GPS RECEIVERS, CONSTRUCTION AND TESTING OF THE CORS NETWORK, INCLUDING:
 - ORIGINAL SURVEY BOOKS, FILED NOTES CREATED TO TARGET MONUMENT LOCATION
 - MAPS OF MONUMENT LOCATIONS
 - MARK DESCRIPTIONS AND PHOTOS. NGS ALSO IDENTIFIES AND POSTS MARKER DESCRIPTIONS ON THE NGS WEBSITE.
 - GPS AND LEVELING SURVEY OBSERVATION LOGS AND DATA
 - GPS AND LEVELING DATA PROCESSED OBSERVATIONS AND ADJUSTMENTS.
 ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm)
 RETENTION JUSTIFICATION: THESE RECORDS SERVE AS THE BASIS OF ALL FUTURE POSITIONING NEEDS FOR THE DESIGN, CONSTRUCTION, AND MAINTENANCE OF ALL TRANSPORTATION FACILITIES. THE WISCONSIN HEIGHT MODERNIZATION DATA NEEDS PERMANENT RETENTION TO ENSURE VALIDATION AND VALUE OF TRANSPORTATION PLATS, MAPPING, FLOOD INSURANCE, ACQUISITION OF PROPERTY, ENGINEERING SURVEYS, AND GEOGRAPHIC INFORMATION SYSTEM DATA AMONG A FEW. THIS DATA SERVES NOT ONLY THE NEEDS OF THE DEPARTMENT, BUT ALSO ALL PUBLIC AND PRIVATE ENTITIES THROUGHOUT WISCONSIN.
 RETENTION: PERMANENT

00611000. LABORATORY QUALIFICATION CASE FILES EVT+5 DEST N

Records in this series include submitted lab qualifications application materials. Program criteria documents by which contractors and consultants doing highway improvement project acceptance sampling and testing must function, as required by 23 C.F.R. pt. 637 and Wis. Stat. §.84.01. Certification requirements apply to WisDOT labs and contractor/consultant labs.

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

- Laboratory Qualification Application Form (must include the applying laboratory's legal name and address, specific sampling and testing activities they are seeking qualification recognition and certification requirements). This form is submitted electronically or in paper format.
- American Association of State Highway and Transportation Officials (AASHTO) certification and/or Proficiency Sample Testing reports
- Supporting documents as requested by the Materials Management Section (MMS)
- Laboratory Certification Renewals including applications
- Laboratory Inspection Reports including Deficiencies
- Certificate of qualification
- Compliance documents
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. If the paper records or any other format are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date of certification

00612000. LAB INSPECTION REPORTS EVT+5 DEST N

The Quality Assurance Unit (QAU) outsources the inspection of qualified laboratories to consultants. The consultants conduct the inspection with the QAU provided inspection checklist and provide a final report to WisDOT.

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

Dept #: /071/ Department Name: DTSD - REAL ESTATE

RDA # RDA Title Retention Disposition PII

- Inspection checklist
- Inspection summary
- Final inspection report
- QAU spot-check inspection report
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. If the paper records or any other format are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date of creation of final report

00613000. **REGION FIELD VERIFICATION TESTING RECORDS** **EVT+5** **DEST** **N**

WisDOT regional labs perform field verification sampling and testing to validate contractor Quality Control (QC) test results. Data is entered in the electronic Materials Tracking System (MTS). Regions also perform Independent Assurance (IA) to ensure all samplers and testers are certified and performing their duties competently ; following standard procedures and that equipment used was calibrated.

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

- Verification test reports
- IA reports (includes recorded observations)
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. If the paper records or any other format are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date the report is created in MTS

00614000. **LIST OF QUALIFIED LABORATORIES** **EVT+10** **DEST** **N**

List of all contractors and consultants' permanent and mobile laboratories, that are qualified to perform highway improvement project acceptance sampling and testing, as required by 23 C.F.R. pt. 637 and Wis. Stat. §.84.01. WisDOT's Materials Management Section maintains this list and updates it throughout the year.

Records are needed for the same retention as the materials (prequalified products) final test reports. See Materials Management Program RDA # 00346-000 - Materials (Prequalified Products) Final Test Reports.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. If the paper records or any other format are digitized, they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date list is superseded

Dept #: /081/ Department Name: DTIM - HIGHWAY PROGRAM DEVELOPMENT

RDA # RDA Title Retention Disposition PII

00185A00. **PHOTOLOG IMAGE MASTER FILES - ALL MEDIA** **CR+50** **SHSW** **N**

File Contains Wisconsin Photolog 35 Mm Color Film Positive From 1974 To 1987. This Medium Is Produced From The Negative Film And Becomes The Record And Reference Viewing Medium. Refer To Digital Video Records Series For Later Record And Reference Viewing Medium.

Cross Reference:

- Official Record - Photolog Index Refer Rda 00187000
- District Copy - Photolog Index Refer Rda 00187A00
- Official Record - Positive Film Refer Rda 00185A00
- District Copy - Positive Film Refer Rda 00185B00
- Official Record - Photolog Digital Video 8" Refer Rda 00185C00
- District Copy - Photolog Digital Video 8" Refer Rda 00185D00
- Official Record - Photolog Digital Video 12" Refer Rda 00185E00
- District Copy - Photolog Digital Video 12" Refer Rda 00185F00

Dept #: /081/ Department Name: DTIM - HIGHWAY PROGRAM DEVELOPMENT

RDA # RDA Title Retention Disposition PII

Filed By: Frame Number Within Roll Number (Hwy Segment Cardinal/Noncardinal Direction Within Hwy Within County Within Dot Hwy District Within Year Filmed).

Dept #: /083/ Department Name: DTIM - STATE HIGHWAYS DATA MANAGEMENT

RDA # RDA Title Retention Disposition PII

00187000. PHOTOLOG INDEX - PAPER EVT SHSW N

THIS RECORD SERIES IS THE LOCATION INDEX TO THE WISCONSIN PHOTOLOG PRESENTATION (FILM, DIGITAL VIDEO, OPTICAL IMAGE) INFORMATION. THIS PAPER (BROWN FOLDER) OFFICIAL INDEX OF PHOTOLOG INFORMATION WAS CREATED AS AN INDEX TO LOCATE PHOTOLOG IMAGES COLLECTED DURING THE PARTICULAR COLLECTION PERIOD. INDEXING RECORDS NEED TO BE MAINTAINED AS FINDING AIDS FOR IMAGES STORED ON OLDER MEDIA, ESPECIALLY FOR 35MM FILM, 12" AND 18" LASER DISKS.

NOTE: AS OLDER IMAGES ARE CONVERTED TO CD, DVD OR DIGITAL IMAGES ON THE FILE SHARE, IMAGE DATA WILL BE UPGRADED AS WELL.

NOTE: DATA MANAGEMENT SECTION MAINTAINS ELECTRONIC COPIES OF MOST PHOTOLOG 35MM FILM AND 12" LASER DISK COLLECTION PERIOD INDEX MATERIALS, BUT NOT FOR THE OLDEST 8" LASER DISK CYCLE RECORDS. THE ELECTRONIC INDEX INFORMATION IS CURRENTLY STORED ON A BACKED UP FILE SERVER. SEE PHOTOLOG IMAGE SUPPORT FILES, RDA # 187A.

THE PFFICIAL COPY OF PAPER INDEX RECORDS IS IN THE DATA MANAGEMENT SECTION, BSHP, DTIM CENTRAL OFFICE. REGIONS MAY HAVE WORKING COPIES.

RETENTION: EVENT (CONVERSION OF RELATED IMAGE COLLECTION TO DIGITAL FORMAT OR 50 YEARS) AND TRANSFER TO WHS.

00187A00. PHOTOLOG IMAGE SUPPORT FILES CR+50 SHSW N

THE WISDOT MAINTAINS DATA ABOUT PHOTOLOG IMAGES IN A "NODE" TEST FILE CONTAINING SELECTED DATA EXTRACTED FROM THE STATE TRUNK NETWORK (STN) DATABASE ABOUT THE PHOTOLOG IMAGE SET. NODE FEATURE DATA INCLUDES: REGION, COUNTY, TOURE TYPE, NAME, INTERSECTIONS, ON AND OFF RAMPs, ETC. DATA IS USED TO SEARCH FOR AND ACCESS PHOTOLOG DATA AND LOCATE PARTICULAR IMAGERY. A PROPRIETARY BINARY GPS FILE RELATES EACH IMAGE TO A GPS LOCATION AND IS INTEGRAL IN PHOTOLOG MILEAGE BY WHICH IMAGES TO COUNTIES IN WHICH THEY RESIDE. THESE FILES ARE STORED BY THE DATA MANAGEMENT SECTION ON SHARE DRIVES IN CENTRAL OFFICE, ALONG WITH THE IMAGES TO WHICH THEY RELATE. THIS RECORD SERIES COVERS ALL ELECTRONIC METHODS TO LOCATE PHOTOLOG IMAGES, INCLUDING CURRENT IMAGE SUPPORT FILES DESCRIBED ABOVE AND INDEXING FILES THAT MAY BE DEVELOPED FOR FUTURE REFERENCE AND RETRIEVAL PURPOSES.

ROADWAY DATA CHANGES WHENEVER WHENEVER ROAD PROJECTS ALTER WISCONSIN HIGHWAYS. OUTDATED NODE DATA NEEDS TO BE RETAINED FOR THE SAME PERIOD OF TIME AS PHOTOLOG IMAGES WITHIN EACH COLLECTION YEAR.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSTRECORDS/RECELEC.HTM](http://dotnet/bmstrecords/recelec.htm)

RETENTION: CREATION + 50 YEARS AND TRANSFER TO WHS.

Dept #: /122/ Department Name: DMV - MOTOR CARRIER INSURANCE

RDA # RDA Title Retention Disposition PII

00105000. MOTOR CARRIER INSURANCE CERTIFICATES EVT+6 DEST Y

Motor carriers are required to maintain insurance on file with the State of Wisconsin to legally operate as required in Wis. Stat. § 194.41. Insurance filings are retained to provide documentation for court cases involving damages for injury or death to a person, or damage to property. Legal actions must be commenced within 3 years per Wis. Stat. § 893.54 for bodily injury or death to a person and

Dept #: /122/ Department Name: DMV - MOTOR CARRIER INSURANCE

RDA # RDA Title Retention Disposition PII

6 years for damage to property per Wis. Stat. § 893.52.

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

- Carrier insurance certificates
- Expired or canceled certificates of insurance
- Notices of insurance cancellation
- Related correspondence

Information in these files may contain personally identifiable information (PII) such as carrier's name, social security number, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed confidentially.

RDA supersedes RDA # 00105-A00 Motor Carrier Insurance Certificates - Machine Readable.

EVENT = Date of insurance cancellation; EVT + 6 yrs; Destroy Confidential

00105A00. MOTOR CARRIER INSURANCE EVT+6 DEST

File Contains Records Of Insurance Filings And Cancellations
Keyed From Paper Records Documenting Evidence Of Insurance
Coverage For Motor Carriers As Required In S.194.41 Wis.
Stats.

Insurance Filings Are Retained To Provide Documentation For Court Cases
Involving Damages For Injury Or Death To A Person Or Damage To Property.
Actions Must Be Commenced Within 3 Years For Bodily Injury Or death To A
Person And Within 6 Years For Damage To Property, S.893.54 And S.893.52.
(Computer Records Require Minimal Storage To Provide Evidence For Court
Cases Involving Property Damage.)

The Filing Arrangement Is Numeric By The Account Number Associated With The
Motor Carrier Name And Accessed By Use Of The Cin/Function.

Closed Means Cancellation Or Superseded, Using The Date Of Cancellation
That Appears On The Insurance Company Certificates.

Reference Rda 00105-0 For Paper Certificates/Notices.

Retain 6 Years After Closed And Destroy.

Dept #: /125/ Department Name: DSP - TRANSPORTATION SAFETY

RDA # RDA Title Retention Disposition PII

00520000. SAFETY EDUCATION AND SPECIAL DETAIL REPORT CR+1 DEST Y

File Contains Safety Education And Special Detail Reports
Which Document Actions That Are Done For The Purpose Of
Traffic Direction, Traffic Safety Or Education, Or Related
Duties. Special Details That Re Included In This Type Of
Activity Are Safety Talks, Panel Discussions, Television
Appearances, Radio Talks Or Tapes, Traffic Control Functions, And Any
Presentation Or Other Operations That Promote Safety.

The Safety Education And Special Detail Report Includes The Following
Information Who Receives, Refers, And Requests The Escort, The Type Of Detail
That Is Requested, The Personnel Assigned, And The Personnel'S Report On
Mileage, Hours Driven, Time Spent On Detail, And Other Specifics About The
Detail.

Wsp Policy And Procedure 10-4 Requires The Safety Education And Special
Detail Report To Be Completed.

Pii May Include Name And Address.

RDA #	RDA Title	Retention	Disposition	PII
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00530000.	<u>MOTORCYCLIST SAFETY PROGRAM RECORDS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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THE WISCONSIN MOTORCYCLIST SAFETY PROGRAM PROVIDES FUNDING FOR MOTORCYCLE RIDER TRAINING FOR THE PURPOSES OF SAFETY OF MOTORCYCLISTS ON WISCONSIN ROADS. FUNDS ARE PROVIDED TO RIDER EDUCATION SCHOOLS OR MOTORCYCLE INSTRUCTION SCHOOLS.

THE PROGRAM INCLUDES OPERATIONAL SKILLS TRAINING, SAFETY EDUCATION AND PUBLIC AWARENESS AND OTHER ELEMENTS THE DEPARTMENT MAY DEEM DESIRABLE FOR THE PROGRAM.

RECORDS IN THIS SERIES INCLUDE, BUT ARE NOT LIMITED TO: TRAINING SCHOOLS APPLICATIONS AND CONTRACTS, FUNDS ALLOCATIONS, SCHOOL AND INSTRUCTORS REQUIREMENTS AND CERTIFICATIONS, CANCELLATIONS OR DENIALS FOR APPROVAL, COURSE REQUIREMENTS, SCHOOLS ACTIVITY REPROTS AND STUDENT REPORTS, OTHER DOCUMENTS OR FORMS USED FOR THE MANAGEMENT OF THE COURSE, PROGRAM AUDIT PROCEEDINGS, PUBLIC AWARENESS EDUCATIONAL AND INFORMATIONAL MATERIALS SUCH AS MOTORIST AWARENESS AND MOTORCYCLIST CONSPICUITY MEDIA CAMPAIGNS, AND MOTORCYCLE AWARENESS AND MOTORIST EDUCATION MEDIA CAMPAIGNS.

PARTS OF THE WISCONSIN MOTORCYCLIST SAFETY PROGRAM IS FUNDED BY FEDERAL FUNDS FROM THE NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION. THE PROGRAMS'S GRANT RELATED RECORDS ARE COVERED UNDER ADMINISTRATIVE RECORDS GRS RDA # ADM00013. SEE STATEWIDE ADMINISTRATIVE RECORDS GRS RDA #ADM00013 UNDER THE RELATED RECORDS SECTION AT THE END OF THIS SCHEDULE.

RETENTION: DATE OF FINAL REPORT OF THE GRANT CYCLE OR DATE OF THE NOTIFICATION OF DENIAL OF APPLICATION OR CANCELLATION OF THE DEPARTMENT APPROVAL, OR DATE OF THE CREATION OF THE RECORD RELATING TO A MEDIA CAMPAIGN.

00534000.	<u>MOTOR VEHICLE CRASH DATA</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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THE RECORDS IN THIS SERIES CONTAIN INFORMATION AND DATA REGARDING MOTOR VEHICLE CRASHES FROM REPORTS SUBMITTED BY LAW ENFORCEMENT AGENCCIES NAD MOTORISTS AS REQUIRED BY WIS. STAT. S 346.70 AND SAFETY RESPONSIBILITY CASES UNDER CHAPTER 344 WIS. STAT.

THE CRASH DATA IS CONTAINED IN AN ORACLE DATABASE AND A DB2 DATABASE. THIS IS THE OFFICIAL RECORD OF ALL REPORTABLE MOTOR VEHICLE CRASHES.

INFORMATION IS KEPT FOR 4 YEARS PER SECTION TRANS 100.19, WIS. ADMIN CODE - FILE PURGE CRITERIA, ACCIDENT REPORTING AND SAFETY RESPONSIBILITY.

THE COLLECTED INFORMATION IS USED FOR STATISTICAL ANALYSIS, REFERENCE OF HIGHWAY SAFETY ISSUES

RETENTION: EVENT(DATE OF THE MOTOR VEHICLE CRASH) + 4 YEARS AND DESTROY CONFIDENTIAL

00537000.	<u>SUBMISSION FILES FOR FATALITY ANALYSIS REPORTING SYSTEM (FARS)</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES INCLUDES BUT ARE NOT LIMITED TO FILES RELATED TO FATALITIES AND FATAL MOTOR VEHICLE CRAHES IN WISCONSIN SUCH AS TOXICOLOGY REPORTS, VEHICLE RECORDS, VITAL RECORDS, FATAL SUPPLEMENTS, AND CORONER'S REPORTS.

INFORMATION FROM THE ABOVE RECORDS ARE INPUTTED INTO THE FARS SYSTEM WHICH IS A NATIONWIDE SYSTEM ON FATAL MOTOR CRASHES MAINTAINED BY THE FEDERAL GOVERNMENT.

INFORMATION IS RETAINED FOR 4 YEARS (WHICH INCLUDE CURRENT YEAR AND PRIOR 3 YEARS) FOR QUALITY CONTROL AND AUDIT PURPOSES PER THE COOPERATIVE AGREEMENT BETWEEN WISDOT AND THE NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION.

THIS INFORMATION IS PRIMARILY USED IN ORDER TO PROVIDE THE NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION WITH DATA ON FATAL INJURIES IN MOTOR VEHICLE CRASHES AS AUTHORIZED BY 49 U.S.C. 30166 AND 23 U.S.C. 403

RETENTION: EVENT(DATE OF THE MOTOR VEHICLE CRASH) + 4 YEARS AND DESTROY CONFIDENTIAL. PER FEDERAL REQUIREMENT, RETAIN CURRENT YEAR PLUS THE THREE PRIOR YEARS.

00538000.	<u>WISE GRANTS SYSTEM REPORTS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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WISE-GRANT IS A THIRD PARTY WEB-BASED GRANTS MANAGEMENT SYSTEM USED TO MANAGE ALL TRANSPORTATION SAFETY GRANTS AND OTHER NON-GRANT RELATED INFORMATION.

THIS SERIES COVERS SYSTEM GENERATED AD HOC REPORTS RELATED TO GRANTS AND OTHER NON-GRANT RELATED REPORTS THAT ARE KEPT IN THE SYSTEM SUCH AS ACTIVITY REPORTS ON HIGHWAY TRAFFIC SAFETY LAW ENFORCEMENT MOBILIZATION. GRANT RELATED INFORMATION IN THE SYSTEM IS COVERED UNDER STATEWIDE ADMINISTRATIVE RECORDS GRS RDA# ADM00013 - GRANT DOCUMENTATION

RETENTION: EVENT(DATE OF REPORT OF CREATION OR RECEIPT) + 4 YEARS AND DESTROY

Dept #: /125/ Department Name: DSP - TRANSPORTATION SAFETY

RDA # RDA Title Retention Disposition PII

00539000. ANALYSIS AND OUTREACH RECORDS EVT+4 DEST N

WORK PRODUCTS RELATED THE ANALYSIS AND OUTREACH FUNCTIONS OF THE SECTION, TO INCLUDE WHITE PAPERS, BILL ANALYSES, FISCL ESTIMATES, GRANT TARGETING METHODOLOGY, RESLUTS OF GRANT TARGETING, THE ANNUAL SEAT BELT SURVEY, GRANTEE MONITORING, EQUIPMENT INVENTORIES, DOCUMENTS RELATED TO PUBLIC INFORMATION REQUETS, ACTIVITY SUMMARIES, AND PRESENTATIONS. THESE RECORDS ARE LATER USED FOR REFERENCE PURPOSES FOR FUTURE PROGRAM ANALYSIS.

EVENT(DATE OF CREATION) + 4 YEARS AND DESTROY

00596000. HIGHWAY SAFETY PLAN AND ANNUAL REPORT FILE EVT+4 SHSW N

FILE CONTAINS THE HIGHWAY SAFETY PLAN AND ANNUAL REPORT WITH SUPPORTING CORRESPONDENCE AND FISCAL INFORMATION COPIES. INFORMATION IS USED FOR PROGRAM ADMINISTRATION, JUSTIFICATION, AUDIT, AND PROGRAM BENEFIT INFORMATION REFERENCE. THE HIGHWAY SAFETY PLAN/BENCHMARK AND ANNUAL REPORTS ARE REQUIRED TO BE ELIGIBLE FOR FEDERAL FUNDS (23 USC S. 402).

RETENTION: EVENT(DATE OF SUBMISSION OF THE FINAL EXPENDITURE REPORT TO THE NHTSA FOR A FEDERAL FISCAL YEAR) + 4 YEARS AND TRANSFER TO WISCONSIN HISTORICAL SOCIETY (WHS)

00656000. STATISTICAL DIGESTS EVT+4 DEST N

FILE INCLUDES ARTWORK, SAS OUTPUTS, AND DOCUMENTATION WHICH PROVIDED INFORMATION FOR STATISTICAL DIGESTS. THE INFORMATION, FOR CRASH DATA, IS COLLECTED IN CONNECTION WITH WIS. STAT. 346.70(3M)(B) WHICH REQUIRES WISDOT TO PUBLISH SUCH STATISTICAL SUMMARIES FOR STATISTICAL DATA. THE DOCUMENTATION PROVIDES A HISTORY FOR THE NUMBERS AND HOW AND WHY THEY WERE PUBLISHED. THIS INCLUDES THE WISCONSIN TRAFFIC CRASH FACTS BOOK.

THESE ARE SENT TO LIBRARIES, LAW ENFORCEMENT AGENCIES, GOVERNMENT (FEDERAL, STATE, LOCAL, AND COUNTY) OFFICES, INSURANCE COMPANIES, EDUCATIONAL FACILITIES, LEGISLATORS, MEDIA AND THE GENERAL PUBLIC. THESE DIGESTS CONTAIN MONOGRAPHS. COMPLETED STATISTICAL DIGESTS ARE STATE PUBLICATIONS AND ARE DISTRIBUTED TO STATE LIBRARIES AND DEPOSITORIES PER WIS. STAT. 35.83

RETENTION: EVENT(DATE OF PUBLICATION) + 4 YEARS AND DESTROY

Dept #: /126/ Department Name: DMV - MCS

RDA # RDA Title Retention Disposition PII

00104000. HEAVY VEHICLE USE TAX (HVUT) RECORDS EVT+4 DEST Y

Records in this series contain federal Internal Revenue Service (IRS) Heavy Highway Vehicle Use Tax Return (for vehicles 55,000 pounds and over) and alternate documents for proof of compliance with the IRS federal Heavy Vehicle Use Tax (HVUT) as required by federal Rules and Regulation 23 C.F.R. pt. 669 and Wis. Stat. § 341.63 (1)(d).

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

- Form 2290 Heavy Vehicle Use Tax Return
- Related correspondence

Information in these files may contain personally identifiable information (PII) such as carrier's name, social security number, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. Paper records are also kept for Federal Highway Administration (FHWA) audit purposes because electronic records do not always show watermarks which are required to prove authenticity of the record.

RDA supersedes RDA # 00104-A00 Heavy Vehicle Use Tax (HVUT) - Machine Readable.

EVENT = Date of FHWA audit; EVT + 4 yrs; Destroy confidential

00104A00. HEAVY VEHICLE USE TAX (HVUT) EVT+4 DEST

Contains Information From Federal Form 2290 Heavy Vehicle Use Tax (Hvut) As Required For Registration Of Vehicles 55,000 Pounds And Over Per Irs Rules And Regulations 26 Cfr 669 And S.341.63(1)(D), Wis. Stats.
Files In Order By The Federal Employer Identificaiton Number (Fein).

RDA # RDA Title Retention Disposition PII

Records Are Retained For Irs Audit Requirements, Federal Rule 26 Cfr 669.

Closed Means End Of Fiscal Year, Period 7/1 Through 6/30.

Reference Rda 00104-0 For Paper.

Retain 4 Years After Closed And Destroy.

00106000. **WISCONSIN IDENTIFICATION STAMP-APPLICATIONS** **EVT+1** **DEST**

File Contains Wisconsin Identification Stamp Applications Showing Name And Address Of Applicant, Authority Number Issued By The Interstate Commerce Commission Or Wisconsin Public Service Commission. File Maintained To Provide Verification Of The Motor Carrier Purchase Of Identification Stamps Which Allow Vehicles To Operate "For Hire" In Wisconsin.

Purchase Of Stamps Is Required By S.194.41 Wis. Stats.

Filing Arrangement Is Chronological By Date Processed And Transaction Within Date. Accessed From Computer Reference.

Closed Means End Of One Year After Date Of Application Process (I.E., Application Processed On 11/29/90, Destroy On 11/29/91).

Reference Rda 0016-A For Data Base.

Retain 1 Years After Closed And Destroy.

Provided:Entered Into Data System

00106A00. **WISCONSIN IDENTIFICATION STAMP FILE** **EVT+1/6** **DEST**

File Contains Wisconsin Identification Stamp Records Showing Name And Address Of Applicant, Authority Number Issued By The Interstate Commerce Commission Or Wisconsin Public Service Commission. Also Shows Number Of Identification Stamps Applied For, Issued, And Fee Paid. File Maintained To Provide Verification Of Tehmotor Carrier Purchase Of Identification Stamps Which Allow Vehicles To Operate "For Hire" In Wisconsin.

Purchase Of Stamps Is Required By S.194.41 Wis. Stats.

Files Are Accessed By Motor Carrier Account Number Or Authority Numbers.

Closed Means Six Months Afte The End Of Renewal Period, Which Runs 2/1 Thru 1/31 (I.E., Files Entered During The Period 2/1/89 Thru 1/31/90, Can Be Destroyed 8/91).

Reference Rda 00106-0 For Applications.

Retain 18 Months After Closed And Destroy.

00107000. **MULTI-JURISDICTIONAL RECIPROCAL AGREEMENTS** **EVT+3** **DEST** **N**

Wis. Stat. §§ 341.41 (1) and (1a) authorize WisDOT's Secretary to enter into reciprocal agreements with other states and jurisdictions.

Reciprocal agreements are an agreement, arrangement, or understanding between two or more jurisdictions under which each of the participating jurisdictions grants reciprocal rights or privileges to properly registered vehicles that are registered under the laws of other participating jurisdictions.

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

- Multi-Jurisdictional reciprocal agreements
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVENT = Date agreement is terminated or superseded; EVT + 3 yrs; destroy

00108000. **INTERNATIONAL REGISTRATION PLAN (IRP) CARRIER APPLICATIONS** **EVT+6** **DEST** **Y**

IRP is the system in which motor carriers in Wisconsin register for interstate transportation across the 48 US contiguous states, the District of Columbia and 10 Canadian provinces.

File contains applications for each interstate carrier including fee payment information based on fleet miles in applicable jurisdictions. Carrier accounts contain records of miles, number of vehicles, specific qualifying weights for use on Wisconsin highways, correspondence and proof of payment. The file also includes Wisconsin transmittal lists of application and total fee amounts sent to other jurisdictions and foreign lists received from other jurisdictions. Files are maintained for enforcement, audit, and court record certification. The IRP requires the preservation and availability of records for audit.

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

- WI IRP - Lease Verification (between Owner/Operator and Lessee)
- WI IRP Application - New Operations and/or Amendment
- WI IRP New Operations (Interstate) Checklist
- WI IRP Application Vehicle Information
- WisCRS System Access Request
- Heavy Highway Vehicle Use Tax Return
- Optional letters of credit and surety bonds to guarantee fee payment
- IRP Fee transmittal list
- Related correspondence

Information in these files may contain personally identifiable information (PII) such as carrier's name, social security number, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed confidentially.

EVENT = Date application is received; EVT + 6 yrs; destroy confidential

00122000. **IRP, IFTA, WIFT AUDIT FILE** **EVT+5** **DEST**

The File Contain International Registration Plan (Irp), International Fuel Tax (Ifta) And Wisconsin Interstate Fuel Tax (Wift) Audit Reports, Audit Work Papers And Other Supporting Information Used To Prepare The Reports For Each Carrier Account Audited. The File Information Is Used Along With The On-Site Computer Audit Data Files To Verify/Adjust Carrier Account Registration Fees And Fuel Taxes Paid Based On Fleet Miles, As Supporting Information When Carrier Accounts Contest Audit Results And For Court Certification.

S.341.43, Wis Stats., Authorizes The Department Of Transportation To "Conduct Such Audits As It Deems Necessary To Determine The Adequacy Of Fees Paid Under The International Registration Plan... And Taxes Paid Under S.341.45, Stats.," Section 341.45, Stats., Is The Statute That Addresses Payment Of Fuel Taxes By Heavy Trucks.

Closed Means Calendar Year.
 Dot Official Ipr, Ifta, Wift Audit File.
 See Rda122-A For Machine Readable Portion Of Audit Information.
 See Rda107,108 For Ipr Applications And Agreement Files.
 Filed By Account Number Within State (Jurisdiction).

00181000. **FUEL TAX FILES** **EVT+6** **DEST** **Y**

The International Fuel Tax Agreement (IFTA) allows for the disbursement of fuel tax revenue to all member jurisdictions based on miles traveled and fuel used in each jurisdiction. Carriers need to report fuel expenditures and miles in each jurisdiction they travel. Files contain carrier and audit information for fuel tax reporting and licensing as required by the IFTA program.

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

- Carrier and audit information for fuel tax reporting
- Carrier jurisdiction license applications/cancellations, amendments, reinstatements, activity reports including fuel used and miles traveled and fuel tax returns
- Carrier activity summary transmittals issued to/from member jurisdictions
- Source documents, activity and tax summaries and reports
- Related correspondence
- Wisconsin International Fuel Tax License Application
- WI International Fuel Tax Agreement (IFTA) Instructions & Tax Rates
- Wisconsin Fuel Tax Quarterly Report for IFTA
- WI IRP - Lease Verification (between Owner/Operator and Lessee)
- WisCRS System Access Request

RDA # RDA Title Retention Disposition PII

Files are WisDOT's official records pursuant to IFTA and Wis. Stat. § 341.45(b). Retention is mandated per IFTA articles of agreement.

Information in these files may contain personally identifiable information (PII) such as carrier's name, social security number, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed confidentially.

RDA supersedes RDA 00181-A00 - Fuel Tax Files - Machine Readable.

EVENT = Date of motor carrier registration; EVT + 6 yrs; destroy confidential

00181A00. **FUEL TAX FILES** **EVT+4** **DEST**

File Contains Fuel Tax Transmittal, Payment And Audit Information.
 File Is A Supplemental Work File Used For Generating Fuel Tax Billing, Collection And Payment Information To And From Other Member Jurisdiction Of Ifta And Wift As Part Of The Fuel Tax Program. File Is Also Used For Statistical Reporting, Audit Trail Information And Audit Report Generation Of Licensed Carriers. Files Are Used In Conjunction With The Paper Fuel Tax Files.

Closed Means Calender Year End Of Fuel Tax Return Or Filing,(Later Of Two).

Retain 4 Years After Closed And Destroy.

00181B00. **FUEL TAX ACCOUNTS FILE** **EVT+4** **DEST**

Carrier Information Is Contained On The Vehicle Information System For Tax Apportionment (Vista), Which Is Operated By The Lockheed Corp In Tarrytown, Ny. The Wisconsin Dot Subscribes To This Service.
 Fuel Tax Return Processing, The Licensing Operation And Financial Activity Are Completed On Vista For The International Fuel Tax Agreement(Ifta) And Wisconsin Interstate Fuel Tax(Wift) Programs. The System Verifies And Calculates Fuel Tax Liability, Interest, Penalties And Payments For All Member Jurisdictions.

The System Serves As A Active Working File For Recording Financial And Credential Activity. It Also Serves To Monitor Both Programs For Carrier Activity And As An Online Information Resource For Law Enforcement Carrier Specific Inquiries.

Lockheed Maintains The System Under The Wisconsin Fuel Tax(Dot) Contract.

Closed Means Calender Year End.

Retain 4 Years After Closed And Destroy.

00202000. **PRIVATE MOTOR CARRIER LEASES** **CR+5** **DEST**

File Contains Current Valid Approved And Disapproved Private Carrier Leases, Lease Supplements Or Schedules A, Copies Of Outgoing Letters Approving Or Disapproving The Lease Agreement, Correspondence Sent Or Received By Reciprocity Section In Regard To The Lease Agreement. Leases Are Filed To Comply With Regulations Contained In Chapter Mvd-12 Of The Wisconsin Motor Vehicle Administrative Code, 12.05(3)(4) And 194.43 Wisconsin Statutes. File Of Approved Leases Provides Evidence To Enforcement Agencies That Such Vehicle Is Not Being Used Illegally In A "For Hire" Operation.

File Is Arranged Numerically By Lease Number.

00203000. **TRIP PERMIT POST CARDS** **CR+2** **DEST**

File Contains Department Of Transportation'S Copy Of Validated Trip Permits Previously Purchased And Completed By A Motor Vehicle Carrier. Cards Bear The Description Of A Specific Vehicle, Carrier'S Name And Address, Authority Number, Carrier Classification And Signature. Also Lists Owner'S Name If Vehicle Leased. Permits Are Pre-Printed With A Number Which Is Assigned To The Purchaser And Are Not Transferable.

File Is Arranged Alphabetically By Carrier'S Name.

00204000. S/L PRORATE PERMIT POST CARD CR+5 DEST

S/L Prorate Permits Are Utilized By Prorate Carriers To Quality A Vehicle For Interstate Operation On Wisconsin Highways For A Period Of 30 Days. Carrier Purchases Permit In Advance And Fills In The Required Information At Time Of Use. Prorate Card Bears Description Of A Specific Vehicle, Carrier'S Name, Address, Authority Number, Carrier Classification, Signature And Owner'S Name If Vehicle Is Leased. S/L Permits Are Pre-Printed With A Number And When Assigned To A Purchaser Is Not Transferable. File Is Maintained As Department Of Transportation'S Copy Of Validated S/L Permits.

File Is Arranged Alphabetically By Carrier'S Name.

S/L = Supplemental Leasing.

00630000. UNIFIED CARRIER REGISTRATION (UCR) FILES EVT+3 DEST Y

UCR is a federally mandated program for all carriers over 10,000 pounds with any interstate commerce operation. Formerly this function was conducted by the Single State Registration (SSR) Program.

File contains Interstate applications for the UCR permit for motor carriers using Wisconsin as their base state as FHWA regulated carriers, and applications for interstate exempt carriers. These applications are proof of payment of registration permit fees either to Wisconsin or other UCR states.

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

- UCR Applications
- Records of payment
- Related correspondence

Retention per 49 U.S.C. § 14504a.

Information in these files may contain personally identifiable information (PII) such as carrier's name, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed confidentially.

EVENT = Date of motor carrier registration; EVT + 3 yrs; destroy confidential

00654000. HAZARDOUS MATERIALS TRANSPORTATION REGISTRATION FEE (PAPER R EVT DEST N

Wisdot Was Required By S. 85.50, Stats., To Collect An Annual Fee From Companies That Transported Or Offered For Transport Certain Types Of Hazardous Materials (Hazmat). Wisdot Began Collecting The Fee In 1993. The Fee Hasn'T Been Collected Since Late 1996,

When The Wisconsin Court Of Appeals Found The Fee Structure Unconstitutional And Ordered Wisdot To Cease Collections And Refund All Fees Previously Collected. Refunds Were Made In October, 1997. The Legislature Has Chosen Not To Re-Establish The Hazmat Registration Program Under A Different Fee Structure. The Proposed 1999-2001 Biennial Budget Includes A Provision To Eliminate S. 85.50 As Well As Wisdot'S Appropriation For Administration Of The Hazmat Fee. Wisdot Requests Approval Of A Plan To Store And Eventually Dispose Of The Records From The Defunct Hazmat Registration Program.

There Are 10 Boxes Of Paper Hazmat Fee Materials, Including Completed Application Forms (With Company Name, Address, Fee Paid, And Information About The Hazmat Transported Or Offered For Transport), Supporting Correspondence, Daily Reports Of Fees Paid, Printouts And Correspondence Documenting The 1997 Refund, And Program/Processing Documentation.

The Department Requests Approval To Store The Paper Records At The State Records Center With A Disposal Date Of June 30, 2002.

Evt=6/30/2002.

11/17/99 Approved By Prb.

00654A00. HAZARDOUS MATERIALS TRANSPORTATION REGISTRATION FEE (ELECTR(EVT DEST N

Wisdot Was Required By S. 85.50, Stats., To Collect An Annual Fee From Companies That Transported Or Offered For Transport Certain Types Of Hazardous Materials (Hazmat). Wisdot Began Collecting The Fee In 1993. The Fee Hasn'T Been Collected Since Late 1996,

When The Wisconsin Court Of Appeals Found The Fee Structure Unconstitutional And Ordered Wisdot To Cease Collections And Refund All Fees Previously Collected. Refunds Were Made In October, 1997. The Legislature Has Chosen Not To Re-Establish The Hazmat Registration Program Under A Different Fee Structure. The Proposed 1999-2001 Biennial Budget Includes A Provision To Eliminate S. 85.50 As Well As Wisdot'S Appropriation For Administration Of The Hazmat Fee. Wisdot Requests Approval Of A Plan

Dept #: /126/ Department Name: DMV - MCS

RDA #	RDA Title	Retention	Disposition	PII
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To Store And Eventually Dispose Of The Records From The Defunct Hazmat Registration Program.

The Registration Fees Were Processed On A Free-Standing Database Application On The Division Of Motor Vehicles (Dmv) Lan. The Database Data Base Was Copied To Microsoft Access On The Dmv Lan In 1997 To Facilitate The Fee Refund Process. Due To The Transition To A Windows Nt Environment, The Dmv Motor Carrier Services Section Staff No Longer Has Access To The Database Dos Application. The Microsoft Access Data Base Contains Information Submitted By Hazmat Registrants, Including Company Name And Address, Categories Of Hazmat Transported Or Offered For Transport, And Fees Paid. The Data Base Also Includes The Amount Refunded To Each Registrant.

Wisdot Requests Approval To Retain The Ms Access Electronic Records On The Dmv Lan With A Disposal Date Of June 30, 2001.

Evt=6/30/2001.

11/17/99 Approved By Prb.

Dept #: /140/ Department Name: DMV - DEALER LICENSING

RDA #	RDA Title	Retention	Disposition	PII
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<u>00211000.</u>	<u>VEHICLE DEALER LICENSING RECORDS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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The Dealer Licensing Unit (DLU) is responsible for creating and issuing business and dealer licenses such as retail, salvage, wholesaler, etc. as mandated by Wis. Stat. ch. 218.

DLU also issues individual licenses to dealers' salespeople, vehicle wholesale buyers, and salvage buyers under the umbrella of dealer licenses. This series also includes dealers' inspection and disciplinary action records.

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

- Initial dealer licensing applications
- Renewal applications
- Owner/entities forms
- Surety bonds or irrevocable letters of credit
- Municipalities' zoning approval
- Facilities statements
- Individual license applications (sales or buyer staff)
- Out of business statements
- Manufacturers' agreements
- Dealer inspection reports
- Dealer responses to inspection or disciplinary actions
- Disciplinary actions
- Franchise disputes
- Any supporting documentation
- Any related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Supersedes RDA 00213-000 Dealer Inspection Reports.

EVT + 7 yrs = date dealer goes out of business or date their license expires; destroy confidential

<u>00212000.</u>	<u>DEALER COMPLAINT FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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The Field Investigation Unit (FIU) provides consumer protection and regulation enforcement for all types of licensed vehicle dealers in Wisconsin, such as retail and wholesale motor vehicle dealers, recreational vehicle dealers, motorcycle dealers and salvage dealers. FIU receives and investigates complaints from consumers, industry competitors, other government agencies, elected officials, anonymous, and DMV.

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

- Consumer dealer complaints and supporting documentation such as purchase contracts, lease agreements, payment receipts, repair orders, etc.
- Complaints about dealers' sales staff
- Complaints about unlicensed sales activity
- Investigation evidence and reports
- Sanction letters

RDA #	RDA Title	Retention	Disposition	PII
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- Licensee responses
- Related correspondence

Information in these files may contain PII information such as complainant's name, social security number, driver license number, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 7 yrs = date when complaint is closed; destroy confidential

<u>00214000.</u>	<u>DEALER LICENSING ACTION HEARING RECORDS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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Hearings may result because of WisDOT actions due to violations of the Dealer Licensing Regulations, Wis. Stat. ch. 218. Hearings may be conducted to take action against a motor vehicle dealer's license such as: license denial, suspension, revocation or special orders against the license.

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

- DOT Legal complaints
- Hearing transcripts
- Exhibits
- Subpoenas
- Case findings/conclusions
- Other related documents
- Related correspondence

Information in these files may contain PII information such as complainant's name, social security number, driver license number, address, telephone number, and email address.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT+7 = date dealer goes out of business or date their license expires; destroy confidential

<u>00870000.</u>	<u>MOTORIST INSPECTION & MAINTENANCE NONCOMPLIANCE RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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In southeast Wisconsin, certain vehicles are required to pass emissions testing. Some vehicles pass the testing under false pretenses such as using cheater software or misrepresenting the Gross Vehicle Weight Rating (GVWR) or because the owner tries to evade testing, e.g. by providing the wrong domicile information.

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

- Letters to motorist about non-compliance with testing requirements
- Motorist response
- Motorist proof of compliance
- Auditor notes
- Follow up information
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: no existing RDA for these records.

EVT + 5 yrs = date of letter to motorist; destroy confidential

<u>00871000.</u>	<u>TECHNICAL ASSISTANCE CENTER (TAC) RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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If a vehicle doesn't pass inspection, the owner of the vehicle may consult one of five Technical Assistance Centers (TACs) for repair assistance, monitor resets and waivers from testing. TACS are privately owned repair facilities specializing in emission repairs.

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

- Technician comments
- Receipts
- Vehicle owners' appointments with TACs
- general documentation issues
- waiver inspection records
- TAC issued waivers

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

RDA #	RDA Title	Retention	Disposition	PII
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destroyed.

Reason for creation: no existing RDA for these records.

EVT + 5 = date the vehicle's appointment with TAC ended; destroy confidential

<u>00872000.</u>	<u>PRIVATE INSPECTION FACILITIES AUDIT RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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WisDOT I/M Program staff conduct audits of testing facilities and TACs, and review records to maintain compliance with federal and state requirements.

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

- Audit reports of Private Inspection Facilities (PIF) including, amongst others, overt, covert and remote observation.
- Inspection reports
- Customer complaints
- Investigation reports and case files on emissions fraud
- PIF staff inspectors' certification records
- Disciplinary Actions resulting from errors such as data entry error, incorrect weight waiver, testing off camera, etc.
- Letters and documented offenses
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: no existing RDA for these records.

EVT + 5 = date of the audit; destroy confidential

<u>00873000.</u>	<u>PIF AND TAC FACILITIES LISTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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DOT maintains a list of current PIF and TAC facilities used to do I/M inspections. These listings are updated on a regular basis. The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format. When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: no existing RDA for these records.

EVT + 5 yrs = date list is suspended

<u>00880000.</u>	<u>CONSUMER BOND CLAIM FILES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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The Wisconsin Consumer Bond Claim Program is in place to assist Wisconsin consumers who face monetary loss after they have purchased a used motor vehicle. To qualify there must be a documented violation by the selling dealer of the applicable Wisconsin Statutes or administrative rules.

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

- Consumer bond claim and supporting documentation
- Bond Claim case summaries
- Interested parties' lists
- Dealer, claimant, and bond company correspondence
- Dealer bonds and any bond continuations or attachments
- Investigation reports and attachments
- DOA Division of Hearings and Appeals (DHA) case related records
- Other related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: no existing RDA for these records.

EVT + 7 yrs = date the bond claim is withdrawn, dismissed, or resolved; destroy confidential

<u>00881000.</u>	<u>ELECTRONIC LIEN TITLE (ELT) PARTICIPANTS FILE</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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The Electronic Lien Title (ELT) Program consists of the transmission and management of data transferred to and from E-lenders (lenders choosing to receive titles electronically), ESPs (Electronic Service Providers, aka vendors), and the state.

The program involves itself with the setup of Vendors by reviewing/accepting applications to participate, this application process also includes a review of the vendor's financial records provided by the applicant.

Files contain paper and electronic records concerning lending institutions and ELT vendors as they pertain to electronic titling. Records in this series include, but are not limited to:

- Electronic Service Provider-Request to Participate
- Statement of assets and liabilities
- Business plan
- Lien Holder Electronic Title Agreement
- Electronic Service Provider Agreement
- Supporting documentation for the above-mentioned forms
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: no existing RDA for these records.

EVT + 2 yrs = Date vendor or agent terminates program participation; destroy confidential

<u>00882000.</u>	<u>THIRD PARTY PROGRAM RECORDS</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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The third-party program is a public-private partnership with businesses that, as agents of DMV, electronically title and register vehicles for themselves or their customers using the Automated Processing Partnership System (APPS) and a set of DOT-developed web applications (eMV). These applications serve as a bridge to transmit title and registration information to DMV main title and registration database. Files contain records dealing with APPS and eMV programs.

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

- Vendor and agents program application and supporting documentation
- Business plans from vendors and agents
- APPS vendor and agent contracts
- APPS bond and Irrevocable Letter Of Credit (ILOC)
- Warning letter to vendors and agents
- eMV Agent application
- eMV Fleet application

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: no existing RDA for these records.

EVT + 2 yrs = the date the contract is canceled; destroy

<u>00883000.</u>	<u>LEMON LAW PROGRAM CASE FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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The Wisconsin Lemon Law (LL) Program provides consumers with a way to get compensated for a purchased or leased new vehicle determined to be a lemon. The manufacturer is required to replace a vehicle deemed a "lemon" for free or refund the full price (minus a reasonable amount for mileage/usage).

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

- Lemon Law claim forms
- Lemon Law case files
- Arbitration records including: audits, reports, dispute settlement files
- Manufacturer vehicle case files
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: no existing RDA for these records.

EVT + 3 = date the case is settled or dismissed; destroy confidential

Dept #: /162/ Department Name: DMV-TITLE AND REGISTRATION

RDA # RDA Title Retention Disposition PII

00044000. DISABLED VETERANS LICENSE PLATES APPLICATIONS EVT+5 DEST Y

File contains original application or its equivalent for disabled veterans license plates, stating individual's degree of disability after approval by the Veterans Administration. May contain supporting correspondence and denial letters.

File used for issuance of disabled veterans license plates under Section 341.14(1), Wisconsin Statutes.

Record series is confidential since portions submitted by Veterans Administration are subject to Federal Privacy Act of 1974 and are provided to the Department as privileged and confidential information not to be released without written consent from the veteran.

Filed by last name.

00044A00. DISABLED VETERANS LICENSE PLATES APPLICATIONS EVT+7 DEST Y

File contains original application or its equivalent for disabled veterans license plates, stating individual's degree of disability after approval by the Veterans Administration. May contain supporting correspondence and denial letters.

File used for issuance of disabled veterans license plates under Section 341.14(1), Wisconsin Statutes.

Record series is confidential since portions submitted by Veterans Administration are subject to Federal Privacy Act of 1974 and are provided to the Department as privileged and confidential information not to be released without written consent from the veteran.

"Closed" means plates are no longer valid.

00045000. DISABLED PARKING IDENTIFICATION CARD APPLICATIONS EVT+5 DEST

File Contains Original Application And Supporting Documents For Persons, Or Organizations Who Transport Persons, Physically Disabled. May Contain Certified Medical Statements As To Individual'S Disability.

File Is Used For The Issuance Of Disabled Identification Cards Under Section 343.51, Wisconsin Statutes.

Filed By Card Number

Retain 3 Months After Entered To Data System

Dept #: /221/ Department Name: DMV - DRIVER INFORMATION

RDA # RDA Title Retention Disposition PII

00101000. SAFETY RESPONSIBILITY (SR) CASE FILE EVT+3 DEST Y

Files contain driver license/registration withdrawal cases established under the Wis. Stat. Ch. 344 for drivers and owners of vehicles involved in motor vehicle crashes who fail to pay damages for which they are responsible.

Records under this series include, but are not limited to:

- Withdrawal orders of operating/registration privileges mailed to the drivers/owners
- Crash damage/injury evaluations
- Hearing requests and decisions
- Releases of liability
- Installment agreements
- Related correspondence

Series also includes audio recordings of SR hearing proceedings conducted pursuant to Wis. Stat. § 344.02.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records or any other format are digitized, they will be kept until verified for quality control purposes and then destroyed confidentially.

EVENT = Date case requirements/ conditions have been satisfied in accordance with the SR law and any installment agreements have been paid in full (i.e. case closed).

EVT + 3 yrs; Destroy Confidential

RDA #	RDA Title	Retention	Disposition	PII
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<u>00047000.</u>	<u>MOTOR VEHICLE SURVEYS FILES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>
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File contains public surveys of motor vehicle issues. Surveys are generally used for customer service assessment and program improvement purposes. Survey information may ask about, but is not limited to, topics such as commercial driver licensing, driver exposure estimates and traffic citations.

DMV/BDS surveys need to be retained 2 years after closure. Retention for these surveys starts when survey closes. Thus GRS ADM00024 retention will not meet retention needs.

Event is the date DMV closes survey response

<u>00100000.</u>	<u>DRIVER LICENSE (DL) AND IDENTIFICATION (ID) CARD APPLICATION PAPER</u>	<u>EVT+0/6</u>	<u>DEST</u>	<u>Y</u>
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This series covers the DL/ID card application files which were maintained only in paper format before 2013. It includes Driver License (DL) applications kept under Wis. Stat. § 343.23 and Identification (ID) Card applications kept under Wis. Stat. § 343.50.

These applications were not scanned nor need to be scanned. All relevant information from these early records has been captured in the Driver Record Database system. Authorization is needed to dispose of these records.

Event is the date DL/ID card is issued or denied and relevant information is entered into the Driver Record DB System.

<u>00100A00.</u>	<u>DRIVER LICENSE (DL) AND IDENTIFICATION (ID) CARD APPLICATION / RENE</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Records under this series include, but are not limited to, Driver License (DL) applications kept under Wis. Stat. § 343.23 and Identification (ID) Card applications kept under Wis. Stat. § 343.50. Also included, but not limited to, are the documents required to comply with the federal REAL ID law to apply for a DL/ID such as proof of name and date of birth; legal status; identity; residency in WI; Social Security number; name change(s).

In January 2013 DMV Service Centers (DMVSC) began imaging DL/ID applications and supporting documents at the time of transaction. This RDA covers the paper documents that are scanned into the Document Management System.

Note: DMV has quality checks in place to ensure the paper records are successfully scanned. DMV processors cannot complete the transaction with customer unless documents are successfully captured. Thus, there is no need to retain these records after they have been scanned.

This series also contains records previously covered under RDA 00100-B00 - Operator License ID Card Application Renewal File.

Event is the date DMV successfully scans documents into the Document Management System, processes application to issue or deny DL/ID product and reconciles daily financial transactions

<u>00100C00.</u>	<u>DRIVER LICENSE AND ID CARD APPLICATION / RENEWAL DIGITAL IMAGE F</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Records under this series include but are not limited to Driver License (DL) applications kept under Wis. Stat. § 343.23 and Identification (ID) Card applications kept under Wis. Stat. § 343.50.

Additional records include, but are not limited to those documents required to comply with the federal REAL ID law which the DMV started issuing in 2013. These include: proof of name and date of birth; legal status; identity; residency in WI; Social Security number; name change(s) and photo(s).

DMV scans and stores applications and supporting documents into the document management system where they are maintained for the length of the required retention period.

Ten years is the required minimum retention period for digitized REAL ID documentation by the Department of Homeland Security; 6 CFR § 37.31.

Date valid DL/ID product expires and is not renewed; OR

Date of the most recent case of suspension, revocation, disqualification or cancellation of DL/ID product that is not reinstated; OR

Date a moved-out-of-state entry is added to the driving record and customer does not return to WI; OR

Date customer applied for DL/ID product that was ultimately never issued.

<u>00221A00.</u>	<u>DRIVER CASE FILES - MEDICAL RELATED RECORDS</u>	<u>EVT+0/2</u>	<u>DEST</u>	<u>Y</u>
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Files contain medical-related information on individuals whose ability to safely drive has been questioned due to physical, medical and/or mental condition.

Records under this series include, but are not limited to, medical reports and correspondence from physicians, road test results and voluntary temporary surrender statements, medical cancellation notices and other correspondence between the division and customer. Information is used to provide data to the driver record system database and driver condition management database.

These files do not include alcohol/drug-related records. Refer to DMV/BDS RDA 00664-000 for retention of electronic records.

Date documents are successfully digitized and indexed

RDA #	RDA Title	Retention	Disposition	PII
<u>00548000.</u>	<u>MEDICAL REVIEW BOARD HEARINGS FILE</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
	<p>File contains audio recordings of the Medical Review Board hearing proceedings and licensing decision in which individuals whose operating privilege has been canceled or denied for medical reasons and appeal the cancellation or denial.</p> <p>Board requirements are pursuant to Wis. Stat. § 343.16(5).</p> <p>Records may include a transcript of the audio recording if a judicial review is required or needed. The retention of transcripts also starts when DMV makes licensing decision following Medical Review Board hearing.</p> <p>Date DMV makes licensing decision following Medical Review Board hearing.</p>			
<u>00664000.</u>	<u>DRIVER DATABASES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	<p>The previously approved RDA includes four separate tables, indicating the retention periods for specific types of electronic data. The four tables (categories) are:</p> <ol style="list-style-type: none"> customer (driver) driver products - this category includes data on product type, plus data on eligibility requirements, such as exams, assessments, and insurance filings, in addition to product notations driver incidents - this category includes data on specific events, such as accidents, or convictions, plus court ordered or department ordered product withdrawals miscellaneous - this category includes data on correspondence to or from drivers plus miscellaneous electronic data, not categorized elsewhere. <p>This revision:</p> <ul style="list-style-type: none"> - adds a reason (negligent homicide/NH) for disqualifying a commercial driver and indicates a retention of 55 years consistent with federal law - notes that disqualifications of commercial driver licenses can be for one year, three years, or lifetime consistent with federal law. - extends the retention of the medical correspondence entry to five years to ensure the proper follow-up on medical reports in a new computer system <p>(See paper file for additional information on this RDA)</p>			
<u>00664A00.</u>	<u>BUREAU OF DRIVER SERVICES PAPER DOCUMENTS/CORRESPONDENCE</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	<p>Attached is an addition to the existing RDA (00664-A00) on paper documents received by the Bureau of Drive Services. The existing RDA covers completed forms, reports, or correspondence received by the bureau. These documents are required to carryout the bureau's legal responsibilities, including licensing, withdrawing of licenses, establishment of financial responsibility related to accidents, the production and sale of driver record information. Data from these reports are generally recorded electronically through imaging, microfilming or keying. Once the electronic record is created or updated, the paper documents are held for a short period of time - generally 30 days - and then destroyed.</p>			
<u>00667000.</u>	<u>COMMERCIAL DRIVER LICENSE (CDL) THIRD PARTY TESTING COMPANIES /</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
	<p>Files contain records used to authorize or not authorize CDL Third Party Testing Companies and/or CDL Third Party Examiners to conduct CDL skills tests which ensure the fitness of persons to operate commercial motor vehicles in accordance with Wis. Stat. ch. 343, Wisconsin Administrative Code Chapters Trans 102, 104 and 115, and FMCSA 49 CFR Part 383.</p> <p>Records in this series include, but are not limited to, applications from CDL Third Party Testing Companies and CDL Third Party Examiners, company agreement, certificate of liability insurance, surety bond, CDL skills test certification, testing routes, company advertisement, audit reports and sanctions taken.</p> <p>Date records are successfully scanned and stored in the designated location.</p>			
<u>00668000.</u>	<u>COMMERCIAL DRIVER LICENSE (CDL) THIRD PARTY TESTING COMPANIES /</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	<p>Files contain records used to authorize or not authorize CDL Third Party Testing Companies and/or CDL Third Party Examiners to conduct CDL skills tests which ensure the fitness of persons to operate commercial motor vehicles in accordance with Wis. Stat. ch. 343, Wisconsin Administrative Code Chapters Trans 102, 104 and 115, and FMCSA 49 CFR Part 383.</p> <p>Records in this series include, but are not limited to, applications from CDL third party testing companies and CDL third party examiners, company agreement, certificate of liability insurance, surety bond, CDL skills test certification, testing routes, company advertisement, audit reports and sanctions taken.</p> <p>Event is Date superseded or date company and/or examiner become inactive.</p>			
<u>00669000.</u>	<u>CDL THIRD PARTY TESTING PAPER FILE OF INACTIVE COMPANIES AND EX/</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
	<p>These are the records of CDL third party testing companies/examiners that became inactive before 2011. These records were never scanned into the system and need authorization for disposal.</p>			

Records in this series include, but are not limited to, applications from CDL third party testing companies and CDL third party examiners, company agreement, certificate of liability insurance, surety bond, CDL skills test certification, testing routes, company advertisement, audit reports and sanctions taken.

Event is Date company and/or examiner became inactive in the program

<u>00850000.</u>	<u>DRIVER TRAINING SCHOOL (DTS) PROGRAM</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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File contain records used to license for-profit Driver Training Schools (DTS) and DTS instructors to provide instruction in the operation of motor vehicles in accordance with Wis. Stat. Ch. 343 and Wisconsin Administrative Code Chapter 105. If a school applies but never gets licensed, DMV returns their paperwork to them.

Records in this series include, but are not limited to:

- Applications for licensure as a DTS or DTS instructor
- School insurance and/or bond
- Customer contracts and receipts
- Maximum fee schedule
- Outline or curriculum
- Student records cards
- Classroom certification
- Vehicle inspections
- Cooperative driver testing contract with school
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: These records were previously covered under 00664-AOO which has been closed.

EVT + 4 = date superseded or date school and/or instructor becomes inactive; destroy confidential

<u>00851000.</u>	<u>REQUESTS FOR DRIVER RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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File contains requests for driver records and includes, but is not limited to:

- Completed Request for Vehicle/Driver Record forms
- Related correspondence

Requests can come from individuals, employers, attorneys, law enforcement, courts and others. Many requests are for a business purpose.

Requests that do not meet established requirements for obtaining a driver record are returned to sender.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: These records were previously covered under 00664-AOO which has been closed.

EVT + 5 yrs = date request is fulfilled; destroy confidential

<u>00852000.</u>	<u>SPONSORSHIP WITHDRAWAL FORMS (FOR MINOR CHILD)</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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Wis. Stat. ch. 343 requires driver-license applicants under 18 years of age to have a qualified adult sign their driver-license application as sponsor. It also allows said sponsor to subsequently withdraw sponsorship by completing the sponsorship withdrawal form.

Bureau of Driver Services' Qualification and Issuance Section RDA 00100-AOO covers driver-license applications.

The Sponsorship Withdrawal forms file contains:

- Completed Sponsorship Withdrawal forms MV3118
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: These records were previously covered under 00664-AOO which has been closed.

RDA #	RDA Title	Retention	Disposition	PII
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EVT + 3 yrs = date applicant turns 18 years old; destroy confidential

<u>00853000.</u>	<u>INSTRUCTOR CERTIFICATION FOR TRAFFIC SAFETY SCHOOL, GROUP DYN.</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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File contain records that correspond to Wisconsin Technical College instructors who apply for certification to teach program courses. Records in this series include, but are not limited to:

- Instructor application
- College transcript
- Resume
- Technical College evaluation of instructor for recertification purposes
- Other recertification related documents
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: These records were previously covered under 00664-AOO which has been closed.

EVT + 5 yrs = date instructor is no longer certified; destroy confidential

<u>00854000.</u>	<u>BUSINESSES DRIVER INFORMATION ACCOUNT CONTRACTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Businesses establish accounts with DMV to obtain driving-record information for business-related purposes. For example, an automobile insurance company may establish an account to obtain driving-record information of customers, a trucking company may establish an account to monitor the driving record of each truck driver employed by the company, etc.

Records in this series include, but are not limited to:

- Broker volume contracts
- Driver record monitoring contracts
- Public Abstract Request System (PARS) contracts
- Completed Vehicle/Driver Record Information Request forms MV2896
- Company employees' background check information
- Other data access agreements
- Related correspondence

Wisconsin Interactive Network, a partner of DMV, administers and maintains the contracts in a shared administrative site.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: These records were previously covered under 00664-AOO which has been closed.

EVT + 5 yrs = date contract is signed; destroy confidential

<u>00855000.</u>	<u>FEDERAL MEDICAL CARDS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Federal Medical (Fed Med) cards show a commercial driver has medical approval to operate a commercial motor vehicle as required by the Federal Motor Carrier Safety Association (FMCSA). Fed Med information appears on the driver record which allows law enforcement to confirm a commercial driver meets the FMCSA requirement.

DMV receives Fed Med cards in several ways. The driver, their employer or other person may upload the card online, at which time they can also enter data from the card into the DMV driver records system. They can also choose to email, fax, mail the card via U.S. postal service or present it in person to the DMV.

When a DMV processor enters the data into the DMV driver records systems from paper records, the processor verifies the data and then paper records are destroyed confidential.

All Fed Med cards are scanned into a DMV image system, uploaded into the DMV driver records system and a DMV processor verifies accuracy.

Records in this series include, but are not limited to:

- Federal Medical cards and their data
- Waiver or exception
- Related correspondence

Reason for creation: Program had no existing RDA in place.

RDA #	RDA Title	Retention	Disposition	PII
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EVT = Date federal medical card is superseded or expires and any corresponding prosecution known to the Department at that time is resolved; destroy confidential

<u>00856000.</u>	<u>SCHOOL BUS "S" ENDORSEMENT DENIAL RECORDS</u>	<u>EVT+0/6</u>	<u>DEST</u>	<u>Y</u>
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An "S" endorsement serves as evidence that the driver has passed the requirements and has the information needed to operate a school bus. School bus drivers self-certify during the application process that they have not been convicted of a disqualifying offense.

In accordance with Wis. Stat. § 343.12, DMV conducts a background check on all drivers who obtain for the first time, or renew, an "S" endorsement to operate a school bus.

When DMV find that a driver has a disqualifying event and therefore is not eligible to hold a school bus endorsement, DMV cancels the "S" endorsement, notifies the driver of the ineligibility status and retains the disqualifying information with the driver record.

Records in this series include, but are not limited to:

- Information that disqualifies a driver from holding an "S" endorsement
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for creation: These records were previously covered under 00664-AOO which has been closed.

EVT + 6 months = date when disqualification period ends; destroy confidential

<u>00857000.</u>	<u>DRIVER LICENSE / ID CARD RECEIPTS</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>Y</u>
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Receipt in this context refers to the temporary, electronic driver license or ID card document that DMV central office issues to a customer to use until their plastic-laminated card arrives in the mail.

When DMV central office processes a new card to update driver- license privileges, renew a driver license or ID card under rules for exception processing, correct a processing error, etc., the DMV system automatically routes these electronic receipts to a unit email inbox.

Receipts are valid for 45 days and can be reproduced for only 14 days from the date of issuance.

Reason for RDA creation: Program had no existing RDA in place.

EVT + 1 month = Date DMV central office reissues driver license or ID card; destroy confidential

<u>00858000.</u>	<u>IDENTIFICATION CARD PETITION PROCESS (IDPP) RECORDS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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If a person applies for an identification card for voting purposes and the person's proof of name and date of birth or proof of U.S. citizenship is unavailable, the person may make a written petition to the DMV administrator for an exception to the requirement for which proof is unavailable. This option is known as the Identification Card Petition Process.

Records under this series include, but are not limited to:

- Completed DMV Administrator Petition (MV3012 or MV3012S)
- Identification card application (MV3004 or MV3004S)
- Case activity reports
- Documents presented and/or received
- Communications with the Department of Health Services to verify customer's eligibility information such as name, date of birth, etc. (vital information), and information received
- Related correspondence

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Reason for RDA creation: Program had no existing RDA in place.

EVT + 10 yrs = Date applicant submits the DMV Administrator Petition; destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
<u>00017000.</u>	<u>TEMPORARY CORRESPONDENCE</u> File Contains Requests, Inquiries, Complaint Letters, Internal Transactions, Correspondence Regarding Wisconsin Driver License Issuance And Other Related Material. File Is Used For Reference In Internal Office Operations And With Public Contact. 6 Months And Destroy.	<u>CR+0/6</u>	<u>DEST</u>	
<u>00018000.</u>	<u>MEDICAL CORRESPONDENCE/NO FOLLOW-UP</u> File Contains Medical Information And Case Histories Of Individuals Whose Ability To Safely Drive Has Been Questioned Due To A Physical Or Mental Condition Per Chapter 343, Wis Stats. Reports Filed With Dot Include Information Regarding Individuals Subject To Episodes Of Altered Consciousness Or Loss Of Body Control. This Procedure Applies To Approved Medical Reports With No Follow-Up Requirements. The Paper Is Used To Update Computerized Records And Then Destroyed. 1 Week After Entered Into Data System And Destroy.	<u>EVT</u>	<u>DEST</u>	
<u>00024000.</u>	<u>TRANS. 108 CORRESPONDENCE</u> File Contains Medical Information And Case Histories Of Persons Subject To Episodes Of Altered Consciousness Or Loss Of Body Control As Covered In Chapter 343, Wis Stats. And Chapter Trans 108, Wis Admin Code. File Is Maintained As A Basis For Evaluating Eligibility For Driver Licenses. These Individuals May Be Required To File Periodic Medical Follow-Up Reports. 5 Years After Closed And Destroy.	<u>EVT+5</u>	<u>DEST</u>	
<u>00025000.</u>	<u>MEDICAL CORRESPONDENCE/RESTRICTIONS</u> File Contains Medical Information And Case Histories Of Individuals Whose Ability To Safely Drive Has Been Questioned Due To Physical Or Mental Condition. These Individuals May Be Required To File Follow-Up Medical Reports Periodically Per Chapter 343, Wis Stats. The Records May Also Contain Licensing Restriction (Other Than Glasses) Information. Medical Conditions Are Those Not Covered By Chapter Trans. 108, Wis Admin Code. File Is Maintained As A Basis For Evaluating Eligibility For Driver'S License. 4 Years After Closed And Destroy.	<u>EVT+4</u>	<u>DEST</u>	
<u>00026000.</u>	<u>MEDICAL CORRESPONDENCE/NO RESTRICTIONS</u> File Contains Medical Information And Case Histories Of Individuals Whose Ability To Safely Drive Has Been Questioned Due To Physical Or Mental Condition. These Individuals May Be Required To File Follow-Up Medical Reports Periodically Per Chapter 343, Wis Stats. Medical Conditions Are Not Covered By Chapter Trans. 108, Wis Admin Code. File Is Maintained As A Basis For Evaluating Eligibility For Driver'S License. 2 Years/3 Months After Closed And Destroy.	<u>EVT+2/3</u>	<u>DEST</u>	
<u>000127000.</u>	<u>VISION/NO CANCELLATION CASE FILE</u> File Contains Information And Case Histories Of Individuals Whose Ability To Safely Drive Has Been Questioned Due To Progressive Vision Conditions Per Chapter 343, Wis.Stats.	<u>EVT+0/3</u>	<u>DEST</u>	

RDA #	RDA Title	Retention	Disposition	PII
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Files Contain Vision Reports From Vision Specialists
And Physicians, Resulting Road Tests, Case Correspondence
And Records Of Telephone Contacts, Driver'S Licenses May Be Restricted
And Case Usually Will Be In The Medical Follow-Up Program.

File Is Part Of The Driver Condition Information System.

The Paper Is Used To Update Computerized Records And Then Destroyed.

Case Files For Drivers Whose Operating Privilege Is Cancelled Or Denied
Are Not Included In This Series.

<u>00223000.</u>	<u>CUSTOMER INFORMATION FILES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Files contain paper records concerning customer's driver license/driving privilege or ID card. Records in this series include, but are not limited to:

- Bankruptcy documents
- Financial responsibility in lieu of sponsorship
- Financial responsibility in behalf of another person filings
- Customer request for reinstatement including reinstatement fee payment when a license is issued or customer has a future reinstatement date
- Completed Ignition Interlock Device (IID) installation/removal/ exemption forms
- Wisconsin driving record abstracts (produced in the course of doing DMV work)
- Driver safety plans/assessments/status reports (compliance or non-compliance)
- Customer inquiries (for example, related to a driver record entry)
- Requests and general driver/ID card questions
- Related correspondence

DMV processor enters data from the paper records into the driver records system, scans record into the DMV Image System and verifies accuracy. After verification, paper records are then destroyed confidential.

Refer to DMV /BDS RDA 00664-000 for retention of these digitized records.

EVENT = date DMV enters information into driver record system, images and verifies the paper record

<u>00223A00.</u>	<u>CUSTOMER INFORMATION FILES - NOT IMAGED</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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Files contain paper records concerning customer's driver license/driving privilege or ID card. Records in this series include, but are not limited to:

- Notification of a deceased driver
- Customer request for reinstatement including reinstatement fee payment when customer is eligible for immediate reinstatement and no license is issued
- Customer notification of address change
- Financial responsibility filing/cancellation forms from insurance companies to comply with high risk liability insurance requirements
- Conviction status reports from court to prove a fine has been paid (used to reduce suspension of driving privilege for failure to pay forfeiture)
- Notification (lists) from other States that inform WI DMV of Wisconsin drivers who have moved to another State and applied for license or ID card in that other State (so that DMV enters a moved out-of-state notation on the WI driver record)
- Requests to opt out of DMV mailing lists
- Related correspondence

DMV processor enters data from these paper records into the driver records system and verifies accuracy. After verification, paper records are then destroyed confidential.

EVENT = DMV enters information into driver record system

<u>00664000.</u>	<u>DRIVER DATABASES</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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The Division Of Motor Vehicles, Bureau Of Driver Services Maintains Data Primarily In A Mainframe Data-Base (File Handler). Related To This Database Are Other Mainframe Databases (Db2 Relational Databases) And Smaller Lan Based Databases. All Databases Are Related To And Interact With The Driver Record. Data Maintained In These Databases Is Used By Different Sections To And Maintain The Same Driver Record. Data Is Defined Consistently Across Databases. The Same Electronic Driver Data Has The Same Retention Period Regardless Of Where It Is Stored On The Mainframe Or Lan (Attached Is A Chart Of Retention Periods For Electronic Data.

Supersedes: 00001B00,00220000,00221000

Retention Varies From 3 Years To 55 Years

Dept #: /233/ Department Name: DMV - REVENUE & ACCOUNTINGS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>00664A00.</u>	<u>PAPER DOCUMENTS/CORRESPONDENCE</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>

Dept #: /300/ Department Name: STATE PATROL

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>00027000.</u>	<u>BREATH ALCOHOL INSTRUMENT OPERATOR CERTIFICATION AND RE-CER1</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>

BREATH ALCOHOL INSTRUMENT OPERATORS ARE REQUIRED TO RECERTIFY EVERY TWO YEARS IN ACCORDANCE WITH TRANS 311. THIS INFORMATION IS RETAINED FOR ALL LOCAL COUNTY/MUNICIPAL AND STATE PATROL OFFICERS WHO ARE CERTIFIED TO USE AN EVIDENTIAL BREATH TEST INSTRUMENT.

RECORDS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO FINAL EXAMS AND APPLICATIONS FOR ORIGINAL BREATH TEST INSTRUMENT OPERATOR TRAINING AND TRAINING DOCUMENTATION AND ALL SUBSEQUENT EXAMINATIONS FOR RENEWAL OR BREATH TEST OPERATOR PERMITS.

INFORMATION REGARDING OPERATORS' INITIAL AND RECERTIFICATION TRAINING IS ENTERED INTO THE DMV ARREST SYSTEM DATABASE UPON COMPLETION OF TRAINING SO THAT A CHEMICAL TEST PERMIT CAN BE GENERATED. CERTIFICATION DATA ALSO RESIDES IN THE CHEM TEST DATABASE SYSTEM. THESE FILES MAY BE SUBPOENAED IN CONTESTED (OPERATING A MOTOR VEHICLE WHILE INTOXICATED (OMVWI) CASES.

THIS RDA SUPERSEDES RDA 00031-000 - BREATH TEST INSTRUMENT OPERATOR CERTIFICATION FILE.

RETENTION: EVENT(DATE INSTRUMENT OPERATOR'S PERMIT IS CANCELLED) + 7 YEARS AND DESTROY CONFIDENTIAL

<u>00030000.</u>	<u>EVIDENTIAL BREATH ALCOHOL INSTRUMENT, ALCOHOL SIMULATOR SOLU</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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STATE LAW REQUIRES THAT EVIDENTIAL BREATH ALCOHOL INSTRUMENTS BE CERTIFIED FOR ACCURACY AT INTERVALS NOT TO EXCEED 120 DAYS. ALCOHOL SIMULATOR SOLUTIONS AND DRY GAS ARE USED TO CALIBRATE AND/OR ESTABLISH THE ACCURACY OF A BREATH ALCOHOL TEST INSTRUMENT AND ARE USED FOR CERTIFICATION.

RECORDS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO:

* FILES CONTAINING EVIDENTIAL BREATH ALCOHOL INSTRUMENT CERTIFICATIONS OF ACCURACY (AKA 120 DAY MAINTENANCE TEST) .

* ALCOHOL SIMULATOR SOLUTION AND DRY GAS STANDARD CERTIFICATION REPORTS. (REPORTS CONTAIN INFORMATION REGARDING THE CONTEST OF THE SOLUTION, EXPECTED RESULTS AND THE IDENTIFYING LOT NUMBER ASSIGNED.)

CERTIFICATIONS ATTESTING TO INSTRUMENT ACCURACY ARE SENT TO THE PROSECUTING ATTORNEYS AND OR LAW ENFORCEMENT AGENCY IN WHOSE JURISDICTION THE INSTRUMENT IS USED.

REPORTS ARE RETAINED IN OFFICE AS ACTIVE FILES FOR THE LIFE OF THE INSTRUMENT + 7 YEARS, AND THEN DESTROYED. THE LIFE OF AN INSTRUMENT IS GENERALLY 7 TO 10 YEARS.

THIS RDA NOW INCLUDES THE RECORDS FROM RDA 00033-000-ALCOHOL SIMULATOR SOLUTION AND DRY GAS CERTIFICATIONS WHICH IS NOW CLOSED.

RETENTION: EVENT(DATE BREATH ALCOHOL INSTRUMENT IS RETIRED) + 7 YEARS AND DESTROY

<u>00032000.</u>	<u>BREATH TEST INSTRUMENT OPERATOR ROSTERS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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FILE CONTAINS LISTING OF BREATH TEST INSTRUMENT OPERATORS WHO ARE CURRENTLY PERMITTED TO ADMINISTER BREATH TESTS FOR ALCOHOL. FILE ALSO CONTAINS OPERATOR PERMIT NUMBERS.

THIS LIST IS GENERATED FROM A DMV DATABASE SYSTEM ENTITLED "CHEM FILE" AND IS UPDATED EVERY FEBRUARY AND AUGUST. ROSTERS ARE GENERATED EVERY SIX MONTHS. ROSTERS FROM THE PREVIOUS YEAR ARE SAVED FOR ONE YEAR AND THEN DESTROYED.

RETENTION: EVENT(SUPERSEDED) + 1 YEAR AND DESTROY CONFIDENTIAL

<u>00067000.</u>	<u>CHEMICAL TEST DATABASE DETAILED DATA</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
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THE CHEMICAL TEST DATABASE IS A THIRD PARTY PROPRIETARY SYSTEM USED TO DOWNLOAD AND STORE ALL EVIDENTIAL BREATH ALCOHOL TESTS THAT ARE PERFORMED ON ALL OF THE INSTRUMENTS STATEWIDE.

DATA CONTAINED IN THE SYSTEM INCLUDES THE EVIDENTIAL BREATH ALCOHOL INSTRUMENT CERTIFICATION DATA PERFORMED ON THE INSTRUMENTS AND THE DOWNLOADED INFORMATION FROM THE INSTRUMENTS EVIDENTIAL

RDA #	RDA Title	Retention	Disposition	PII
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BREATH ALCOHOL TEST RESULTS.

INSTRUMENT INFORMATION IS KEPT FOR THE LIFE OF THE INSTRUMENT AND PURGED AFTER INSTRUMENT IS RETIRED.

TESTS ARE STORED WITH THE SERIAL NUMBER OF THE INSTRUMENT THEY ARE PERFORMED ON.

SEE ALSO RDA 00030-000 - EVIDENTIAL BREATH ALCOHOL INSTRUMENT, ALCOHOL SIMULATOR SOLUTION AND DRY GAS CERTIFICATION REPORTS.

ACCESS TO DATABASE IS RESTRICTED TO CHEMICAL TEST PERSONNEL BECAUSE THE FORENSIC NATURE OF THE INSTRUMENTS THAT COULD BE ACCESSED THROUGH THE DATABASE COULD BE COMPROMISED.

RETENTION: EVENT(DATE BREATH ALCOHOL INSTRUMENT IS RETIRED) + 7 YEARS AND DESTROY CONFIDENTIAL

<u>00072000.</u>	<u>CHEMICAL TEST REFUSAL RECORDS</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES INCLUDE REFUSALS TO TAKE AN EVIDENTIAL TEST. THIS IS DOCUMENTED IN FORM MV3396 - NOTICE OF INTENT TO REVOKE OPERATING PRIVILEGES.

REFUSALS TO TAKE AN EVIDENTIAL TEST FOR OMVWI (OPERATING A MOTOR VEHICLE WHILE INTOXICATED) ARE ENTERED INTO THE DMV ARREST SYSTEM DATABASE.

RETENTION: EVENT(DATE REFUSAL INFORMATION IS ENTERED IN DMV ARREST SYSTEM DATABASE) + 1 MONTH AND DESTROY CONFIDENTIAL

<u>00073000.</u>	<u>IGNITION INTERLOCK DEVICE (IID) APPROVAL RECORDS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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WISCONSIN COURTS ARE REQUIRED TO ORDER AN IGNITION INTERLOCK DEVICE (IID) TO BE INSTALLED ON EVERY VEHICLE OWNED BY THE OFFENDER FOR THE FIRST OFFENSE OWI WITH AN ALCOHOL CONCENTRATION OF 0.15 OR HIGHER, FOR ALL SECOND OR SUBSEQUENT OWI OFFENSE, AND FOR CHEMICAL TEST REFUSALS.

RECORDS IN THIS SERIES INCLUDE: APPLICATIONS AND SUPPORTING APPLICATION MATERIALS FOR DEVICE APPROVAL; DEVICE APPROVAL, DENIAL, SUSPENSION OR REVOCATION MATERIALS; AND SUMMARIZED DEVICE EVALUATION DATA.

RETENTION: EVENT(DATE IID IS RETIRED) + 7 YEARS AND DESTROY

<u>00075000.</u>	<u>VEHICLE INSPECTION REPORTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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File contains inspection reports for vehicles inspected by Wisconsin State Patrol. Vehicles covered are ambulances, buses, and human service type motor vehicles used for transportation of pupils and individuals. Vehicle inspections cover vehicle design, construction, equipment, operation and safety equipment. The ambulance inspection report also covers a check list of all medical equipment/material required.

Files may include, but are not limited to the following inspection reports and related records:

- Ambulances - Inspected biennially
- School Bus Inspections- Inspections are done annually but also includes spot checks made throughout the year.
- School Bus Presale Inspections - Inspection made prior to vehicle being registered in Wisconsin.
- Motor Bus Inspections - Motor buses are subject to annual inspection.
- Human Service Vehicles (HSV) - Vehicles primarily used for transportation of individuals with disability or seniors are inspected annually.
- Related correspondence

Note: By law, vehicles must be presented when inspection is due. Because DSP is not notified if a vehicle has been retired for any reason, the last inspection records are kept for the retention period and then destroyed.

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Supersedes RDAs 00374-000 - Ambulance Inspection Files; 00374-AOO - Ambulance Inspection Files - Machine Readable and 00508-000 - School Bus Inspection Database

EVT + 3 yrs = date of inspection; destroy

<u>00501000.</u>	<u>TRAFFIC CRASH REPORTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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File Contains Accident Reports Which Are Completed By Troopers When They Investigate A Motor Vehicle Traffic Accident.

Accident Reports Include Location And Measurements Of Accident, Date, Person(S), And Vehicles Involved, Insurance Companies, Time

RDA #	RDA Title	Retention	Disposition	PII
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Of Day, Type Of Accident, Driver'S Condition, Manner Of Collision, Extent Of Vehicle Damage, Sketches, Diagrams, Photos, Narrative Of Accident, Witness Information, Road Conditions, Weather Conditions, Investigating Officer Information, Truck And Bus Information If Involved In Accident, And Supplemental Information.

Wsp Policy And Procedure 6-1 And S.346.70, Stats Require Accident Reports To Be Completed.

Purpose Is To Address Requests From Attorneys, Insurance Companies, And Other Individuals.

Closed Means Year End In Which Report Completed.

Refer Rda000001-0 For Dmv File.

Pii Includes Name, Address, DI No.

<u>00502000.</u>	<u>MOTORIST ASSISTS REPORTS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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File Contains Motorist Assist Reports Which Are Completed When A Trooper/Inspector Assists A Motorist. Exclusions To Completing This Report Include Instances Where Enforcement Action Is Taken And A Citation, Warning, Etc., Is Issued.

Motorist Assist Report Includes Location, Mile Post Number, Highway, County, I-System, Date, Time, Time Spent In Minutes, Vehicle License, Make And Type Of Service Done, Officer'S Signature, And Officer'S State Patrol Number.

Wsp Policy And Procedure 10-7 Requires The Division Of State Patrol To Record These Reports.

File Is Maintained For Reference.

<u>00503000.</u>	<u>OFFENSE / INCIDENT REPORTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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File Contains Offense Reports Which Are Filled Out Anytime Someone Is Arrested For An Offense Other Than A Traffic Citation, For Criminal Or Forfeiture Violations, For Juveniles Taken Into Custody, For Detoxification Or Mental Health Custody, And When A Trooper Or Inspector Assists Others With Incidents Or Arrests.

Reports Included In This Series Are Offense/Incident Report, Offense/Incident Report Supplement, Controlled Substance/Asset Forfeiture Supplement, Witness/Victim Information Supplement, Use Of Force Supplement, And Offense Disposition Supplement.

Offense Reports Are Kept For Evidence, Pending Cases, And For Resource Reasons.

Wsp Policy And Procedure 10-1 And 10-2 Require State Patrol Employees To Complete These Reports.

Closed Means End Of Year In Which Report Completed.

Pii Includes Name, Address, DI#, Ss#, & Race.

<u>00504000.</u>	<u>SALVAGE VEHICLE RECORDS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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File contains records related to the inspection of salvaged vehicles (vehicle that has been in an accident, flood, etc.). An inspection of a salvaged vehicle ensures that a vehicle has been repaired and it meets certain safety standards for use on roads.

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

- Pictures of the vehicle before it was repaired
- Vehicle inspection certification
- Repaired salvage vehicle major parts statement
- Related correspondence

It may also include:

- Salvage vehicle pictures statement in the absence of pictures
- Vehicle Identification Report if the V.I.N. (Vehicle Identification Number) plate was removed
- Personal checks
- Pictures of driver license
- Investigation records

RDA # RDA Title Retention Disposition PII

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

Retention per Wis. Admin. Code TRANS 149.07(1)(c).

EVT + 3 yrs = date inspection is completed; destroy confidential

00505000. **INNOVATIVE ALCOHOL ENFORCEMENT OF DRUNK DRIVERS-VIDEOTAPE** **EVT+0/6** **DEST** **N**

File Contains Videotapes Of Intoxicated Drivers. The Videotape Documents Events That Occur Up To The Arrest. Events Include Some Of The Driving Before The Actual Stop, The Stop, The Officer'S Approach, Conversation Between The Officer And Citizen, And The Field Sobriety Test. Officers Use These Tapes Due To Their Effectiveness As Evidence In Court. Other Uses Include Training Officers In Safety And For Addressing Complaints.

Based On Use Experience, The Majority Of Other District'S And Police Agencies Retentions, It Is Recommended That The Retention Be Not Less Than 60 Days After Adjudication And Then Reuse The Tape.

Closed Means Adjudication.

00507000. **DSP UNIFORMED PERSONNEL VACATION REQUESTS / APPROVALS** **EVT+1** **DEST** **N**

Record Series Contains Written Vacation Selection Picks Of Uniformed State Patrol Personnel. Vacation Selections Are Governed By Labor Contracts/Agreements.

Records Are Maintained By State Patrol Districts By Troop And By Seniority Of Troop Members.

Vacation Slections Are To Be Maintained For One Calendar Year And Then Destroyed.

Cross Reference: Dot Form Sp4485.

00509000. **RADAR LOGS** **CR+3** **DEST** **N**

File Contains Radar Activity Logs. Radar Is An Effective Enforcement Tool For Speed Limits To Reduce The Number And Severity Of Accidents.

Radar Logs Include The Following Information: Date Of Occurence, Operator'S Name, Fleet Number, County, Court Date, Make Of Radar, Radar Serial Number, Anetnna Seriel Numbers, Serial Number/Mph Of Tuning Forks, Time Of Set-Up Test Or Retest, Light Test Check, Calibration Test Check, Speedometer Verify Check, Radar Verify Check, Time Of Target Speed Reading, Target Speed Reading, Citation Number, Vehicle License Number And State, Remarks About Pertinent Information, And Patrol Speed And Other Applicable Remarks.

Radar Logs Are Maintained For Requests Received Which Are Usually For Open Or Reopened Cases.

Wsp Policy And Procedure 4-1 Requires The Use Of Radar.

Retention Of 3 Year Is Consistent With Recommendation Of Court Officer.

Closed Means Year End In Which Log Completed.

00510000. **TOW-AWAY LOGS** **CR+1** **DEST** **N**

File Contains Tow-Away Logs That Are Completed When State Patrol Removes Abandoned, Disabled, And Illegally Parked Vehicles To Reduce The Unsafe Conditions That Threat The Safety Of Others Using The Highways.

Tow-Away Logs Include All Of The Following Information: District Year, County Number, Activity Case Number, Trooper Number, Vehicle Make, Vehicle Model, Vehicle Body, Vehicle Color, License Number, Location That Car Was

Dept #: /300/ Department Name: STATE PATROL

RDA # RDA Title Retention Disposition PII

Found, Location Car Was Removed To, Date And Time Owner Was Contacted, And Date Letter Was Sent To Owner.

Logs Are Maintained Almost Exclusively For Owner'S Inquiries As To The Location Of Their Vehicle.

Wsp Policy And Procedure 4-8 Requires Tow-Away Logs To Be Completed.

Closed Means Year End.

00511000. **WISCONSIN UNIFORM TRAFFIC CITATIONS (UTC)** **EVT+10** **DEST** **Y**

File Contains Wisconsin Traffic Citation Forms Which Are Completed In Cases Of Moving Traffic Violations And Other Violations Contained In S.345.11, Stats.

Wisconsin'S Uniform Traffic Citation Is A Four Part Form. The Wisconsin Uniform Traffic Citation Contains Information About The Violator'S Mandatory Court Appearance (If Applies), Detailed Facts About The Violation, And Specific Information About The Violator (I.E.Pii). The Court Record Form, Which Is Filled Out By The Clerk Of Court, Details The Specifics On The Court Hearing. The Report Of Court Disposition Form, Which Is Also Filled By The Clerk Of Court, Describes The Court'S Decision. Lastly, The Police Record Form Is Completed By The Arresting Officer. It Includes A Detailed Report On The Facts Of The Violation And The Particulars Of The Court'S Decision.

Citations Are Maintained To Address Those Requests From Individuals And Attorneys.

Wsp Policy And Procedure 10-9 And S.34.11,Stats Require Law Enforcement Agencies To Complete The Wisconsin Uniform Traffic Citation And Other Related Reports.

Closed Means Adjudication

Refer Rda00102-0 For Dmv File

Pii Includes Name, Address, Dl#, Sex, & Race.

00512000. **TRAFFIC WARNINGS / EQUIPMENT VIOLATION NOTICES** **EVT+10** **DEST** **N**

File Contains The Traffic Warning/Equipment Violation Notice Which Is Issued For Violations Of The Traffic Code And Equipment Violations Serious Enough To Warrant Enforcement Action, Yet, Below Arrest Tolerance For The Degree, Conditions, Or Circumstances Surrounding The Violations.

The Traffic Warning/Equipment Violation Notice Is A Two Sided Form. The Front Side Includes The Following Information: Date, Time, Violator'S Name And Address, Driver License Number, State Where License Was Issued, Expiration Year Of License, Type Of License, Date Of Birth, Physical Description Information, License Plate Type, State Where Place Was Issued, Expiration Year Of Plate, Year, Make, Type, And Color Of Vehicle, Description Of Violation, Statutes Violated, Location Of Violation, Compliance Check Box, Date Of Mandatory Compliance, Name Of Officer, Officer'S Wisconsin State Patrol Number, And Signature Of Violator. The Back Side Of The Warning Is A Mail-Back Card Which Contains Compliance Instructions, Corrective Action Information, Signature Of Violator, And Signature Of A Law Enforcement Officer.

Warning Notices Are Mostly Used To See If Individuals Are Taking Corrective Actions On Violations And To Issue Tickets To Individuals Who Have Already Received Warnings.

Wsp Policy And Procedure 10-6 And S.345.11,Stats.Require Officers To Complete Warning Notices.

Closed Means Year End.

Pii Includes Name, Address, & Dl#

00513000. **PARENT NOTIFICATION LETTERS INVOLVING JUVENILES** **EVT+10** **DEST** **Y**

10/5/2018

RDA #	RDA Title	Retention	Disposition	PII
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File Contains Copies Of Letters Sent To Parents Informing Them Of Citations Or Warnings That Persons Under 18 Years Of Age Received. File May Include Driver License Check Data Sheets Which Are Completed By Enforcement Officers When A Juvenile Is Issued A Citation. Letters To Parents Include The Following Information: Citation Number, Name Of Juvenile, The Charge Being Cited, Location Of Violations, Identification Of The Statute Which Requires Parents To Be Notified And Other Applicable Information.

Driver License Check Data Sheets Include The Following Information: Name Of Juvenile, Data Of Birth, Physical Description Information, Driver License Number, Citation Number, Court Date, County, Juvenile'S Employer, Employer'S Home And Work Phone Numbers, City, Schoo, Nearest Relative, Parent'S Name, Address, And The Charge For Which The Juvenile Is Being Cited.

Letters And Data Sheets Are Maintained For Reference (E.G.: An Officer Might Issue A Citation If A Person Has A Warning On File).

Wsp Policy And Procedure 10-6 Require Officers To Complete Driver License Check Data Sheets And S.343.15(5), Stats Require Those Who Issue Warnings/Citations To Notify Parents Or Guardians Within 7 Days.

Closed Means Year End.

<u>00515000.</u>	<u>PROPERTY REPORTS / RECEIPTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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File Contains Property Report/Receipts Which Are Completed When Any Items Are Recovered Or Seized And When Fees Are Accepted By Bureau Employees.

Many Different Individuals Aid In Completed The Property Report/Receipt:

*The Officer Who Seizes Or Recovers Property Provides: Date Property Received, Incident Date, Incident/Offense Number, Control Number, Type Of Property Check Box, Name And Address Of Property Possessor, Name And Address Of Property Owner, Nature Of The Offense/Incident, Section Number, Name Of Officer, Officer'S Wisconsin State Patrol Number (Wsp No.), County, Item Number Of Property, Description Of Property, And Its Estimated Value.

*The Clerk Who Stores The Property Provides: Clerk'S Signature, Storage Location, Date And Time The Property Was Received.

*The Officer Who Releases Or Disposes Of The Property Provides: What Should Happen To The Property, Signature Of Authorizing Court Officer And Wsp No., Date That Property Was Authorized To Be Released Or Disposed Of, And Various Other Signatures Of People Who Approve The Handling Of The Property. File May Include A Property Report/Receipt Supplement.

Wsp Policy And Procedure 10-5 And S.968.18,Stats Require Officers To Complete The Property Report/Receipt. The Property Report/Receipt Is Mainly Used As A Tracking Record.

Closed Means Year End.

Note: Two Old Forms, The Lost-Stolen-Confiscated Or Recovered Property And Official Receipts, Were Combined To Form The Property Report/Receipt.

<u>00516000.</u>	<u>OPERATING WHILE IMPAIRED (OWI) RECORDS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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File Contains Reports On Individuals Who Operated A Motor Vehicle While Under The Influence Of An Intoxicant.

Owi Records May Include The Following: Dwi Tracking And Alcohol Influence Report, Informing The Accused, Test Record Card, Notice Of Intent To Revoke Operating Privileges, Administrative Review Request, And A 24 Hour Out-Of-Service Order. Depending On The Circumstances Of The Owi Case, Other Information May Be Included.

Records Are Typically Used For Reopened Cases And Requests For Information.

RDA # RDA Title Retention Disposition PII

Wsp Policy And Procedure 4-5 And S.343.305,Stats. Require That Certain Actions And Forms Be Completed In Owi Cases.

Closed Means Adjudication

Pii Includes Name, Address, & DI#

00517000. **STATION LOGS** **CR+0/4** **DEST** **Y**

File Contains Recorded Radio Messages Between Police Communication Operators (Pco) And Troopers.

Depending On A Trooper'S Need, Information Will Vary On Tapes. Close Communication Of Trooper'S Activity Assures Personal Safety And Assistance In Time Of Need.

Tapes Are Mainly Used For Court Purposes.

Wsp Policy And Procedure 5-2 Require Pco'S To Maintain A Station Log.

Note: Logs Must Be Maintained For A Full 120 Days.

Pii May Include Name, Dob, Etc.

00517A00. **STATION LOGS** **EVT+1** **DEST** **Y**

File Contains Station Logs That Ar Eproduced Anytime A Police Communications Operator (Pco) Exchanges Information Over The Radio With Troopers.

Station Logs Are Used To Document Communications For Court Purposes.

Wsp Policy And Procedure 5-2 Require Pco'S To Maintain A Station Log.

Pii May Include Name, Dob, Etc.

00519000. **ESCORT SERVICE REPORTS** **EVT+3** **DEST** **Y**

File Contains Escort Service Reports Which Are Completed When Troopers/Inspectors Escort Or Provide Security Services That Are In The Interest Of Pubic Safety, When Protection Is Provided For Vips Or Valuable Property, And When Reimbursable Escort Service Is Required. Reports That Are Used For This Type Of Activity Are An Exkort Service Report And A Safety Eduction And Special Detail Report. The Escort Service Report, Which Is Used For Reimbursable Excorts, Includes Information About The Person Who Requests The Escort, A Detailed Description Of The Vehicle That Is Escorted, The Route Followed, Billing Information, And An Officer'S Report Which Includes Information Such As The Start And Completion Time, Miles Driven, And Meleage Reports. The Safety Education And Spcial Detail Report, Which Is Used For Non-Reimbursable Escorts, Includes Information On Who Receives, Refers, And Requests The Escort, The Type Of Detail That Is Requested, The Personnel Assigned, And The Personnel'S Report On Mileage, Hours Driven, Time Spent On Detail, And Other Specifics About The Detail.

Wsp Policy And Procedure 15-3 Requires Escort Service Reports To Be Completed.

Pii May Include Name And Address.

00522000. **WARRANT RECORDS** **EVT+10** **DEST** **Y**

File Contains Warrants That Are Issued For The Arrest Of Persons Who Have Failed To Appear In Court After Complaints Have Been Issued Through The Action Of Envorcement Personnel. Warrant Records Include A Service Warrant Request And A Warrant. Warrants Vary Depending From Which County They Originated. Warrant Records May Also Include An Incident Report

RDA #	RDA Title	Retention	Disposition	PII
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Or Citation.

The Service Warrant Request Includes The Following Information: Officer'S Name, District Number, Warrant Investigation Number, Citation Number, Name And Address Of Offender, Date Of Violation, Date Of Birth, Driver'S License Number, Vehicle And Trailer Plate Numbers, Expiration Dates, State Of Issuance, Make And Type Of Vehicle/Trailer, Physical Description Of Offender, Violation And Corresponding Section Number, Offender'S Employer, Officer Information, Bond Information, Date Warrant Was Served, Date Of Radio Notice, And Report Specifics.

Wsp Policy And Procedure 13-1 Requires Troopers And Inspectors To Arrest On The Basis Of A Warrant And S.968.04 Stats Requires Judges To Issue Warrants.

Closed Means Warrant Satisfaction Or Cancellation.

Refer Rda 00503-000 For Incident Reports, Rda00511-000 For Citation File

Pii May Include Name, Address, Dob, Dl#

Refer To Doj Time System (Transaction Information For Management Of Enforcement)

<u>00526000.</u>	<u>SPEEDOMETER CERTIFICATIONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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File Contains Speedomter Certifications Which Are Completed When Tests Are Performed On Wsp Fleet Vehicle Speedometers. Tests Check The Accuracy Of Speedometers Whic Aid Enforcement Of Sppeed Law Violations. The Speedometer Certification Includes The Following Information: Date, Certification Location,Hiffway, Vehicle Year And Make, Fleet Number, District, Speedometer Serial Number, Speedometer Test-Speed, Correction Number, Technician Certification And Driver Certification.

Speedometer Certifications Are Maintained For Court Purposes.

Wsp Policy And Prcedures 4-4 Requires District Speedomter Technicians To Complete Speedometer Certifications.

Closes Means Sale Or Disposition Of Vehicle. (Wis Dot Disposes/No Longer Owns Vehicle).

<u>00527000.</u>	<u>AIRCRAFT REPORT FILE</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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File Contains Aircraft Reports Which Document The Actions Of Trooper And Inspector Pilots. Aircraft Is Utilized Primarily For Traffic Surveillance And Law Enforcement. The Aircraft Report Includes The Following Information: District Number, Activity Period, Aircraft Number, Aircraft Make, Pilot Name, Dates Flown, Actual Aerial Enforcement Hours, Hours Traveling To And From Sites, Hours Exchanging A/C Amd Maintenance, Other Aircraft Uses, Hour Meter End, Hour Metter Start, Total Aircraft Hours, Ground Car Hours, Number Of Troopers, Number Of Deputies, County, Flight Sector, What Violations Occurred And What Penalty (Citation Or Warning)Issued.

Wsp Policy And Procedeure 4-3 Requires Pilots To Complete The Aircraft Report.

<u>00528000.</u>	<u>STATE SCALE VEHICLE WEIGHT AND SIZE RECORDS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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23 C.F.R. pt. 657.5 requires each state to enforce vehicle size and weight laws. States must ensure that commercial motor vehicles comply with federal size and weight standards.

Size and weight laws prevent premature deterioration of the highway pavement and structures and provide a safe driving environment. The Federal Highway Administration (FHWA) requires that all states have a plan to protect their highway infrastructure through the enforcement of vehicle size and weight laws that are compliant with federal standards.

Information in this series contains

- State Scale data documenting the activities of weighing and sizing vehicles such as: start date, start time, end date, end time, Wisconsin State Patrol number, hours open, note available, enforcement type, scale site, county, employee's hours worked, number of vehicles weighed and measured, number of weigh in motions, and number of private and portable scales done.
- FHWA Required Size/Weight Enforcement Plan

RDA # RDA Title Retention Disposition PII

The official record in this series may exist in paper or electronic format and the retention will apply to the applicable official record format.

When the paper records, or any other format, are digitized they will be kept until verified for quality control purposes and then destroyed.

EVT + 3 yrs = Date Size/Weight Enforcement Plan is submitted to FHWA; destroy

00535000. **FAA AND FCC LICENSE FILE** **EVT** **DEST** **N**

File Contains The Federal Aviation Administration (Faa) And Federal Communications Commision (Fcc) Licenses That Are Issued To Wisconsin State Patrol For Radio Stations.

The Faa And Fcc License Files Contain Correspondence, Applications, And Licenses.

Fcc Licenses Are Applied For When There Is A Change Made To The Station Or Renewed Every 5 Years If No Changes Occur. The Fcc Records Are Maintained Indefinitely Due To The Necessaity Of Viewing All Records When There Are Equipment Failures Or With Problems That Arise With The Station.

The Faa Application, Study And Notice Is Applied For At The Time Of Original Construction. Alterations To Tower Result In Reapplication.

Closed Means Records To Be Destroyed When The Tower Or Station Is No Longer Used.

Parts 90 Amd 94 Code Of Federal Regulations State The Conditions Of Fcc Licensing And Cfr Part 17 The Conditions For Faa Licensing.

00536000. **VEHICLE IDENTIFICATION REPORTS** **EVT+3** **DEST** **Y**

File Contains Vehicle Identification Reports Which Wsp Uses To Locate And Identify Vehicles That Are Stolen, Abandoned, Wrecked, Repaired, Reconstructed, And For Vehicles With Altered, Improper, Or No Permanent Vehicle Identification Numbers (Pvin).

Vehicle Identification Reports Include The Following Information: Date Examined, Location, Make, Year Of Model, Body Style, Color, License Number, Safety Certification Or State Inspection No., Engine No. Public Vehicle Id Number On Vehicle, Engine Unit #, Body Code #, Transmission #, Body No., Trim No, Lock Numbers If Ignition, Glove Compartment, And Trunk, Accessories And Special Equipment, Marks Of Identification, Name And Address Of Possessor Of Vehicle, Purchase Date, Purchase Amount, Name And Address Of Person Who Sold Vehicle, Location Where Vehicle Is Being Stored, Theft Information (If Applies), Police Complaint #, And May Include The Name Of The Person Arrested.

Refer To Wisdot Title And Registration System And Doj Time System.

00624000. **PURSUIT REPORTS** **EVT+10** **DEST** **N**

File contains pursuit reports which are completed by law enforcement personnel involved in the pursuit. Info is entered in a computer database which is retained for ten years accrding to the statutes. Info in the database is the official copy.

The reported information is used to collect data from all pursuits in accordance with state statutes regarding pursuits Wis. Stat. 85.07 (8)(b) 1997 Wis. Act 88.

00625000. **Mobile Video Surveillance - Video Records** **EVT+0/6** **DEST** **N**

File contains video records of intoxicated drivers, criminal arrests and other incidents where it would be prudent to gather video evidence. Events include motor vehicle operation before actual traffic stops, the stop, the officer's approach, conversation between the officer and the citizens; field sobriety testing, c rash scenes, crime scenes and other job related situations.

Officers frequently use these records as: evidence in court, when training officers, addressing personnel complaints and assisting other agencies in creating visual records.

Based on experience, Wisconsin State Patrol Policy and Procedure 4-11 and other districts' and police agencies retentions, information from national institutions that address mobile video training, Wisconsin State Patrol personnel complaint investigation time limitations and Wisconsin ss.808.04(1) and 808.04(6) the following retention of video records is recommended:

Dept #: /300/ Department Name: STATE PATROL

RDA # RDA Title Retention Disposition PII

Retain at least 6 months after entry of judgement for recordings used for evidentiary purposes in criminal prosecutions. Videotape remains in the custody of arresting officer until cases on the tape are adjudicated, dismissed or a decision has been made not to charge. Reuse tapes six months after all cases are adjudicated. If charges are not filed, videotape retention will be covered under 60 day retention specified in RDA 625-A00

00625A00. Mobile Video Surveillance - Video Records CR+0/2 DEST N

File contains video records of intoxicated drivers, criminal arrests and other incidents where it would be prudent to gather video evidence. Events include motor vehicle operation before actual traffic stops, the stop, the officer's approach, conversation between the officer and the citizens; field sobriety testing, crash scenes, crime scenes and other job related situations.

Retain 60 days after last recorded event on videotape to comply with P & P 7-1 (Investigation of Personnel Complaints) and P & P 4-11 (Mobile Videotaping) for all recordings then erase and reuse.

00661000. MDCN COMMUNICATIONS RECORDS CR+1 DEST Y

Record Series Contains Data Transmitted And Received Via The Mobile Data Communications Network (Mdcn) Through The Use Of Mobile Data Terminals (Mdt'S) And Mobile Data Computers (Mdc'S). The Mdcn Data Transmitted Usually Consists Of Administrative Messages And Vehicle And Driver Queries. Responses To Driver Or Registration Record Queries Are Not Retained.

Records Are Maintained For Recall Of Data Communications Transmissions For Dsp Management, External Law Enforcement Agencies, And Other Open Records Requests.

RETENTION/DISPOSITION:

Data Is Kept On Hard Disk, Retrievable By Workstations At Each District. Data Will Be Maintained On Hard Disk For one year. After one year, Data Will Be destroyed.

Because of technology limitations, the information was previously retained 4 months on-line after creation and then archived to tape where it was retained for one year. The new message switch now allows the ability to provide on-line query access to this information for the entire year. The information is no longer being transferred to tape because of the ability to provide on-line query for the entire 12 months, which is the period of reasonable retention. The data is no longer needed after the 12 months active retention.

Dsp Policy And Procedure 5-9 Authorizes Dsp Staff To Make And Provide Copies Of Mdcn Message Traffic To Persons Making Valid Requests For Information Under Applicable State Statutes.

Mdcn Data Is Maintained By The Bureau Of Communications. Requests For Mdcn Records Shall Be Directed To The Dsp District Record Custodians.

Dept #: /825/ Department Name: DMV - VEHICLE RECORDS

RDA # RDA Title Retention Disposition PII

00022000. VEHICLE RECORD CERTIFICATION & VERIFICATION EVT+5 DEST Y

File Contains Related Notes Taken Of Conversations And Research Materials, Copies Of Requests, Certifications, Cover And Verification Letters Issued By The Division Of Motor Vehicles Regarding Vehicle Record Information.

Requests For Vehicle Records Certification & Verification Are Received From The General Public, Law Enforcement, Courts, District Attorneys, Fbi, And Other State And Agencies For Use In Court Cases, Vehicle Seizures And For Titling And Registration Of Vehicles In Other States And Countries.

The Original Certification Or Verification Is Sent To The Requestor. A Certification Is Sent With Corresponding Microfilm Copies.

File Is Maintained To Assist In Answering Questions Regarding Information And Date Certified, Requestor Information And Name Of Staff Preparing Certifications & Letters Of Verification.

This Is A Working File Used Exclusively To Consolidate Information And Prepare Documents Of Certification And Verification In Accordance With Requests. It Does Not Exist To Meet Any Statutes, Rules, Or Other Legal Requirements.

00022A00. VEHICLE RECORD CERTIFICATION & VERIFICATION EVT+0/6 DEST Y

File Contains The Cover Letters, Certifications And

RDA #	RDA Title	Retention	Disposition	PII
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Verification Letters, Issued By The Division Of Motor Vehicles Regarding Vehicle File Information. Requests Are Received From The General Public, Law Enforcement, Courts, District Attorneys, Fbi, And Other State And Federal Agencies For Use In Court Cases, Seizures Of Vehicles And To Title And Register Vehicles In Other States Or Countries.

The Original Certification Or Verification Is Sent To The Requestor.

File Is Maintained To Produce The Original And Also Duplicate Certification And Verification Documents. This Is A Working File Used Exclusively To Produce The Actual Certification And Verification Documents. It Does Not Exist To Meet Any Statutes, Rules Or Other Legal Requirements.

Filed Alphabetically In A Directory On The Lan (Local Administrative Network).

<u>00043000.</u>	<u>JUNKED AND RETURNED VEHICLE TITLES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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File Contains Original Wisconsin Certificates Of Title, Or Other Ownership/Disposal Certification Documents For Vehicles That Have Been Disposed Of As Junk Or Abandoned As Provided Under Section 343.34, 342.40, Wisconsin Stats.

File Also Contains Wisconsin Certificates Of Title That Have Been Returned By Other States As A Result Of Being Retitled In That State Or Notated As Junk.

Information Is Used As Notification To Department On Vehicle Disposition Status And For Updating The Computerized Vehicle Records Data Base.

File Is Destroyed Confidential Since It Contains Wisconsin Certificates Of Title And Other Documents That Are Negotiable, Controlled Documents. The Information However, Is Non Confidential.

Supersedes Rda 95/075/005,010.

1 Week After Entered Into Data System And Destroy.

Data update verification process: Yje update for the records covered under this RDA is done using the VIN# and the title # so that only the correct record can be retrieved. To verify that the information has been entered correctly, an inquiry is done in another screen format to view the updated record and see that the record has successfully notated the record with the updates.

<u>00109000.</u>	<u>MOTOR VEHICLE REGISTRATION RENEWAL CROSS REFERENCE INDEX</u>	<u>EVT+2</u>	<u>DEST</u>	<u>Y</u>
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File contains a reference to records on Vehicle Records Database where previously issued registration has been renewed. Vehicle's assigned renewal number is cross referenced to the Certificate of Title number, a prime locator for computerized database.

Microfiche is retained for cross referencing the renewal number stamped on the renewal fee check to the vehicle title record and to assist in researching the allocation of registration fees. When the appropriate vehicle record is requested on data base by title number, the owner name, address, and complete record is accessed. The microfiche is used in researching vehicle registration histories and for obtaining copies of documents used in registration transactions and in certifying vehicle records for use in court. This file improves customer service.

This microfiche is computer generated weekly. Retain first week of every month.

See Section 342.09 (2) of the Wisconsin Statutes.

File is arranged by renewal number within date of microfiche.

<u>00123000.</u>	<u>VEHICLE TITLE APPLICATION -- PAPER APPLICATIONS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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FILE CONTAINS APPLICATIONS AND SUPPORTING DOCUMENTS FOR ALL WISCONSIN ISSUED CERTIFICATES OF TITLE TO FURNISH EVIDENCE THAT THE REQUIREMENTS OF WISCONSIN STATUTES SS. 342.09 AND 342.10, WERE MET AND TO PROVIDE INFORMATION REGARDING SPECIFIC VEHICLE TITLES TO INDIVIDUALS AND AGENCIES, BOTH PUBLIC AND PRIVATE.

INFORMATION INCLUDES OWNER AND SECURED PARTY NAME(S), SIGNATURE(S), ADDRESS, STATEMENT OF OWNERSHIP, POSSESSION AND OPERATION DATE(S), VEHICLE MAKE, MODEL, YEAR, IDENTIFICATION NUMBER, ODOMETER READING AND PRINCIPAL DOMICILE LOCATION. INFORMATION OF FEES COLLECTED AND DISPOSITION, LICENSE PLATE ISSUANCE AND OTHER INFORMATION REQUIRED FOR SPECIFIC TITLE TRANSACTIONS MAY BE PRESENT.

FILE IS ARRANGED BY TITLE NUMBER AND CROSS-REFERENCED TO OWNER NAME, LICENSE PLATE NUMBER, AND VEHICLE IDENTIFICATION NUMBER ON COMPUTER VEHICLE RECORDS DATA BASE. SELECTED INFORMATION IS ENTERED INTO DATA BASE PURSUANT TO SECTIONS 342.09 AND 342.10.

FILE IS DESTROYED CONFIDENTIAL SINCE WISCONSIN CERTIFICATES OF TITLE AND OTHER DOCUMENTS ARE

RDA #	RDA Title	Retention	Disposition	PII
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NEGOTIABLE/CONTROLLED. THE FILE ALSO CONTAINS PERSONALLY IDENTIFIABLE INFORMATION INCLUDING SOCIAL SECURITY NUMBERS AND DATES OF BIRTH.

RETENTION: EVENT (SUCCESSFUL DIGITAL IMAGING) + 1 YEAR AND DESTROY CONFIDENTIAL.

<u>00123A00.</u>	<u>VEHICLE TITLE APPLICATION FILE - MICROFILM</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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FILE CONTAINS APPLICATIONS AND SUPPORTING DOCUMENTS FOR ALL WISCONSIN ISSUED CERTIFICATES OF TITLE TO FURNISH EVIDENCE THAT THE REQUIREMENTS OF WISCONSIN STATUTES SS. 342.09 AND 342.10, WERE MET AND TO PROVIDE INFORMATION REGARDING SPECIFIC VEHICLE TITLES TO INDIVIDUALS AND AGENCIES, BOTH PUBLIC AND PRIVATE.

INFORMATION INCLUDES OWNER AND SECURED PARTY NAME(S), SIGNATURE(S), ADDRESS, STATEMENT OF OWNERSHIP, POSSESSION AND OPERATION DATE(S), VEHICLE MAKE, MODEL, YEAR, IDENTIFICATION NUMBER, ODOMETER READING AND PRINCIPAL DOMICILE LOCATION. INFORMATION OF FEES COLLECTED AND DISPOSITION, LICENSE PLATE ISSUANCE AND OTHER INFORMATION REQUIRED FOR SPECIFIC TITLE TRANSACTIONS MAY BE PRESENT.

FILE IS ARRANGED BY TITLE NUMBER AND CROSS-REFERENCED TO OWNER NAME, LICENSE PLATE NUMBER, AND VEHICLE IDENTIFICATION NUMBER ON COMPUTER VEHICLE RECORDS DATA BASE. SELECTED INFORMATION IS ENTERED INTO DATA BASE PURSUANT TO SECTINS 342.09 AND 342.10.

THE BUREAU HAS NO LONGER MICROFILMED THESE RECORDS SINCE 2003. THIS RDA WILL AUTHORIZE THE DISPOSAL OF THE REMAINING MICROFILM.

FILE IS DESTROYED CONFIDENTIAL SINCE WISCONSIN CERTIFICATES OF TITLE AND OTHER DOCUMENTS ARE NEGOTIABLE/CONTROLLED. THE FILE ALSO CONTAINS PERSONALLY IDENTIFIABLE INFORMATION INCLUDING SOCIAL SECURITY NUMBERS AND DATES OF BIRTH.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS AND REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: CREATION + 5 YEARS AND DESTROY CONFIDENTIAL.

<u>00123B00.</u>	<u>OUT-OF-STATE TITLES</u>	<u>EVT</u>	<u>TRANS OTHER</u>	<u>Y</u>
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File Contains Out-Of State Issued Certificates Of Titles For Vehicle Ownership. These Documents Are Used As Supporting Information/Documentation Of Issuing A Wisconsin Certificate Of Title For A Motor Vehicle. Refer Rda00123 For Title Application File. Refer Rda00123A For Microfilm File.

After Title Process Is Complete And Microfilmed With Other Supporting Information/Documents Of The Title Application File, Out-Of-State Titles Are Separated Out And Returned To Issuing State For Disposition.

Personal Information Present Is Vehicle Owner Name And Address.

Evt=Microfilmed.

<u>00123C00.</u>	<u>VEHICLE TITLE APPLICATION FILE - DIGITAL IMAGE</u>	<u>CR+5</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES ARE THE DIGITAL IMAGES OF THE VEHICLE TITLE APPLICATIONS INCLUDING ALL THEIR SUPPORTING DOCUMENTATION REQUIRED TO ISSUED CERTIFICATES OF TITLE TO FURNISH EVIDENCE THAT THE REQUIREMENTS OF WISC. STATS. SS. 342.09 AND 342.10 WERE MET. THIS INFORMATION IS ALSO USED TO PROVIDE INFORMATION REGARDING SPECIFIC VEHICLE TITLES TO INDIVIDUALS AND AGENCIES, BOTH PUBLIC AND PRIVATE AS DESCRIBED IN RDAS 00123-000 AND 00123-A00.

THE DIGITAL IMAGE IS WISDOT OFFICIAL FILE OF THESE RECORDS. THE IMAGES RESIDE IN A CONTENT MANAGER APPLICATION AS TIFF FILES. FILE IS ARRANGED BY TITLE NUMBER AND CROSS-REFERENCED TO OWNER NAME, LICENSE PLATE NUMBER, AND VEHICLE IDENTIFICATION NUMBER ON COMPUTERIZED VEHICLE RECORDS DATABASE.

INPUT ACCEL IS USED TO SCAN AND INDEX THE RECORDS. THE APPLICATION USES MS WINDOWS NT, XP, AND SERVER 2003 AND IT IS WRITTEN IN VISUAL BASIC AND A DB2 DATABASE. INTERNAL CONTENT MANAGER SECURITY SETTINGS RESTRICTS USER ACCESS TO ONLY PERMITTED ITEMS. THE SYSTEM ALLOWS REDACTING AND OVERPRINTING AND HAS IMPORT AND EXPORT CAPABILITIES AND THE RECORDS INTEGRITY IS KEPT INTACT. VIEW-ONLY ACCESS OF CONTENT THROUGH THE ECLIENT INTERFACE IS LIMITED TO SELECT DOT AND DOR EMPLOYEES: DMV TITLE PROCESSORS, DMV CUSTOMER CONTACT REPRESENTATIVES, AND DOR TAX AUDITORS. SECURITY IS MAINTAINED VIA ECLIENT AUTHORIZATION. DIRECT ACCESS TO DATABASE TABLES (VIEW, MODIFY, ADD, DELETE) IS RESTRICTED TO AUTHORIZED DOT-BITS EMPLOYEES RESPONSIBLE FOR MAINTAINING AND DEVELOPING DMV COMPUTER SYSTEMS. SECURITY IS MAINTAINED VIA BITS USER GROUPS.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

THE CONTENT MANAGER RESOURCE MANAGEMENT RULES USE DEFINED PURGE CRITERIA WHICH FOLLOW APPROVED RDAS RETENTION PERIODS FOR THESE RECORDS. FILE IS DESTROYED CONFIDENTIAL. THE FILE CONTAINS PERSONALLY IDENTIFIABLE INFORMATION INCLUDING SOCIAL SECURITY NUMBERS AND DATES OF BIRTH. RETENTION: CREATION + 5 YEARS AFTER IMAGE CREATION AND DESTROY CONFIDENTIAL. DIGITAL IMAGE WILL BE AUTOMATICALLY PURGED BY DATE.

<u>00124000.</u>	<u>RETURNED LICENSE PLATE RECORD FILE</u>	<u>CR+1</u>	<u>DEST</u>	
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File Contains The Completed "Returned Plate Records," Form For Return License Plates.

Law Enforcement Agencies Send In Confiscated Plates, Owners Return Them Requesting Refunds, The Post Office Returns Them As Undeliverable, Etc. The Returned Plates Are Forwarded To Dmv Special Handling For Disposition.

Information Includes The Number Of Plates Returned (1 Or 2), Plate Type (Auto, Truck, Etc.), Number And Expiration Years. File Also Indicates When Additional Items Where Included, E.G., Letters, Checks, Etc. And Disposition.

This File Is Primary Source For Accountability/Disposition Of License Plates. Information Is Useful To Public Contact And Vehicle Records Certification.

Retention Is Base On Date Of Plate Returned.

File Is Arranged Numerically By Plate Number Or Alphabetically If No Numerals

Retain 1 Year And Destroy.

<u>00126000.</u>	<u>(STOP) VEHICLE RECORD UPDATE FILE</u>	<u>CR+1</u>	<u>DEST</u>	
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File Contains Substantiating Correspondence From Financial Institutions, Law Enforcement Agencies, And Other Parties Requesting That The Department Make No Changes To An Existing Vehicle Record. Valid Requests Result In A "Stop" On The Computerized Vehicle Records Database For The Specified Vehicle(S). A "Stop" Prevents Changes Including Vehicle Owner, Address, Lienholder, Registration Renewal Or Replacement Title Until "Stop" Is Removed.

Requests Identify Vehicle And Owner, "Stop" Reason, And Requestor Signature. Teletype Requests From Law Enforcement Agencies Or Internal Dot Requests Need Not Be Signed. File Also Contains A Paper Printout Of The Computer Record And Applicable Notes. This File Is Reference Whenever A Vehicle Record Containing A "Stop" Is Involved In An Update Or Transaction. The "Stop" Requestor Is Contacted And Informed Of Changes.

Typical Users Are Lienholders Attempting To Locate Delinquent Customers, Law Enforcement Agencies Tracing Individuals, Or Other Parties Interested In A Specific Vehicle Or Owner. Requests Are Honored For Up To One Year After Which The "Stop" Is Removed From The Database And The Paper File Is Purged. The Stop Can Be Lifted Prior To This Time By Originator'S Request Or Remain In Effect For Longer Periods If The Department Deems Necessary.

File Is Arranged By The Last Three Digits Of The Vehicle Identification Number.

<u>00128000.</u>	<u>VEHICLE TITLE APPLICATION DATABASE DATA</u>	<u>CR+5</u>	<u>DEST</u>	<u>N</u>
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THE TITLE APPLICATION DATA IS KEPT ON A DB2 DATABASE. THE DB2 DATABASE IS A CROSS-REFERENCE TABLE THAT CONTAINS IMAGE REFERENCE NUMBERS ("TITLE NUMBERS") AND IMAGE LOCATOR NUMBERS (DATABASE ID NUMBERS) TO INDEX AND LOCATE ACTUAL IMAGE FILES (TIFF FILES) IN THE CONTENT MANAGER (SEE RDA 00123-00C). IT ALSO HAS A TRACKING NUMBER THAT TELLS WHICH SCANNER MACHINE PRODUCED THE IMAGE, WHAT THE IMAGE IS (A TITLE APPLICATION IMAGE), AND A TIMESTAMP. WE IDENTIFY WHICH IMAGES ARE TITLE APPLICATIONS OVER 5 YEARS OLD AND SUBJECT TO PURGE VIA THIS TRACKING NUMBER.

THE CONTENT MANAGER FILE CONTAINS THE ACTUAL IMAGES (TIFF FILES) AND THEIR IMAGE LOCATOR NUMBERS. IT IS SEGMENTED INTO DATA STORAGE POOLS (BVS TITLE APPLICATIONS HAVE THEIR OWN STORAGE POOL) BUT IT RELIES

RDA #	RDA Title	Retention	Disposition	PII
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ENTIRELY ON THE DB2 DATABASE FOR STRUCTURE.

ELECTRONIC RECORDS NOTE: IN ORDER TO SAFEGUARD THE INFORMATION CONTAINED IN THESE RECORDS, ALL ELECTRONIC RECORDS MUST MEET THE STANDARDS & REQUIREMENTS FOR THE MANAGEMENT OF ELECTRONIC RECORDS OUTLINED IN CHAPTER ADM 12: [HTTP://WWW.LEGIS.STATE.WI.US/RSB/CODE/ADM/ADM012.PDF](http://www.legis.state.wi.us/rsb/code/adm/adm012.pdf) AND [HTTP://DOTNET/BMSRECORDS/RECELEC.HTM](http://dotnet/bmsrecords/recelec.htm).

RETENTION: CREATION + 5 YEARS AND DESTROY.

<u>00210000.</u>	<u>FICTITIOUS VEHICLE REGISTRATION CONTACT FILE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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File Contains Law Enforcement Agency Contact Names And Information On Persons Authorized To Request Fictitious Motor Vehicle Registration. Law Enforcement Agencies Include The Fbi And Police Departments At Federal, Out-Of-State, Wisconsin State And Local Levels.

File Is Processed By Authorized Dot Personnel.

File Is Used By Authorized Dot Personnel To Process Fictitious Vehicle Registration.

<u>00210A00.</u>	<u>FICTITIOUS VEHICLE REGISTRATION CONTACT FILE</u>	<u>EVT</u>	<u>DEST</u>	
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File Contains Law Enforcement Agency Contact Names And Information Of Persons Authorized To Request Fictitious Motor Vehicle Registration. Law Enforcement Agencies Include The Fbi And Police Departments At Federal, Out-Of-State, Wisconsin State And Local Levels.

Information Is Used To Verify Process Legitimacy And Administration. File Is Accessed And Updated By Authorized Dot Personnel.

Original Records Were Entered In Alphabetical Order By Agency Name. Later Additions Are Not Added In Chronological Order.

Information Is Retained On File Until Superseded Or Removed At Request Of Sponsoring Law Enforcement Agency.

<u>00231000.</u>	<u>TRAFFIC VIOLATION & REGISTRATION PROGRAM (TVRP) CASE FILE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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File Is Part Of Tvrp And Contains Notices Of Unpaid Citations And Judgments Submitted To Dot By Law Enforcement Agencies, Municipal And Circuit Courts Regarding Non-Moving Traffic Violations As Defined By S. 345.28(1) Stats. File Also Contains Satisfaction Notices Submitted Indicating That The Department'S Refusal/Suspension On Vehicle Registration Can Be Lifted. File May Also Contain Case Related Or Supporting Information. File Contents Are Original Documents Certifiable For Use In Court.

Information Includes Citation Date, Amount Of Forfeiture, Recipient'S Name And Address, License Plate Number, Type And Year Of Expiration, Issuing Authority Name And Address, And Citation And Case Numbers.

Notices Result In The Department'S Refusal/Suspension Of Registration For Vehicles Owned By The Person(S)/Organization(S) Cited.

File Is Maintained On All Vehicles Whose Registration Has Been Refused Or Suspended Pursuant To Section 345.28 Wisconsin Statutes.

Closed Means Julian Date When Entered To Computer.

File Is Arranged By Sequential Numbers, Incorporating The Julian Date And Is Cross-Referenced To Vehicle Owner Name, Title And License Plate Number, And Vehicle Identification Number On Computer Vehicle Records Database.

After Microfilmed And Entered Into Data System, Destroy Paper Records.

<u>00231A00.</u>	<u>TRAFFIC VIOLATION & REGISTRATION PROGRAM (TVRP) CASE FILE</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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File Is Part Of Tvrp And Contains Notices Of Unpaid Citations And Judgments Submitted To Dot By Law Enforcement Agencies, Municipal And Circuit Courts Regarding Non-Moving

RDA #	RDA Title	Retention	Disposition	PII
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Traffic Violations As Defined By S. 345.28(1) Stats. File Also Contains Satisfaction Notices Indicating That The Department'S Refusal/Suspension On Vehicle Registration Can Be Lifted. File May Also Contain Case Related Or Supporting Information. File Contents Are Original Documents Certifiable For Court Use.

Information Includes Citation Date, Amount Of Forfeiture, Recipient'S Name And Address, License Plate Number, Type And Year Of Expiration, Issuing Authority Name And Address, And Citation And Case Numbers.

Notices Result In The Department'S Refusal/Suspension Of Registration For Vehicles Owned By The Person(S)/Organization(S) Cited.

File Is Maintained On All Vehicles Whose Registration Has Been Refused Or Suspended Pursuant To Section 345.28 Wisconsin Statutes.

Closed Means Julian Date When Entered To Computer.

Retain For 6 Years After Closed And Destroy.

File Is Arranged By Sequential Numbers, Incorporating The Julian Date And Is Cross-Referenced To Vehicle Owner Name, Title And License Plate Number, And Vehicle Identification Number On Computer Vehicle Records Database.

<u>00231B00.</u>	<u>TRAFFIC VIOLATION & REGISTRATION PROGRAM (TVRP) CASE FILE</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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File Contains Records Of Past Vehicle Registration Refusals/Suspensions By Dot That Have Been Satisfied Through Tvrp. These Dot Actions Are A Result Of Notices Of Unpaid Citations Or Judgments And Subsequent Notices Of Satisfaction Submitted To Dot By Law Enforcement Agencies And Courts On Non-Moving Traffic Violations As Defined By S. 345.28(1) Stats.

File Contains Vehicle Owner'S Name And Address, Case Number, Date Of Vehicle Registration Suspension Or Refusal, Date Of Satisfaction, And Dot Assigned Reference Numbers For Locating Corresponding Microfilmed Documents.

File Is A Com Of Computer Records Prior To Deletion/Satisfaction. File Is Created When Entries Blocking Vehicle Registration Are Removed From The Vehicle Records Database As A Result Of Satisfaction Notice. File Is Also Retained As A Historical Reference Record Of Dot Actions And Is Also Used To Locate Microfilmed Original Documents. Closed Means Date Refusal/Suspension Notation Removed From Vehicle Registration Data Base.

File Is Maintained On All Vehicle Owners Whose Registration Privileges Have Been Refused/Suspended And Subsequently Reinstated By Dot In Accordance With S. 345.28 Stat.

File Is Arranged Alphabetically Within Julian Date And Is Cumulative Annually.

Retain For 6 Years After Closed And Destroy.

<u>00232000.</u>	<u>VEHICLE TEMPORARY LICENSE PLATE FILE</u>	<u>CR+2</u>	<u>DEST</u>	<u>Y</u>
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File Contains Applications, Receipts And Supporting Information For Issuing A Motor Vehicle Temporary License Plate. Information Includes Vehicle Owner Name And Address, Person To Whom Temporary Plate Issued, Plate Number, Issue And Expiration Date, Fees Collected, Vehicle Identification Information And Dot Office From Where Plate Issued, Reason For Issue And Cross Reference To A Previous Permanent Plate Number If Issued.

This Information Is Used Pursuant To S. 341.09 Stats To Identify/Trace Vehicle Owner For Citations, Accidents And To Certify Dmv Records For Court Cases.

This File Contains Information On Only Those Temporary Plates Issued By Dmv Offices Not By Motor Vehicle Dealers. Dealer Records Are Retained For 5 Years Pursuant To S. 342.16(2) And Trans. 132.07.

Cross Reference Dot Plate File. This File Is A Record Of Plate Number Blocks Assigned To Wi Dmv Offices And Motor Vehicle Dealers For Issue. Also Cross Reference Rda 00123, Title Applications File.

Retention Begins On Date Of Temporary Plate Issue To Customer. Plates Are Typically Issued For 60 Days Or Less.

RDA #	RDA Title	Retention	Disposition	PII
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Retain For Two Years After Creation And Destroy.

<u>00357000.</u>	<u>REQUEST TO WITHHOLD NAME AND ADDRESS</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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File Contains Requests From Individuals To Exclude Their Names From Lists Of 10 Or More Records Generated By The Department Under The Wis. Open Records Law. These Lists Are Routinely Produced And May Be Used For Marketing Purposes. Records In Series Result In Motor Vehicle'S Registration/ Driver'S Database Being Flagged To Prevent Inclusion In Such Lists. This Procedure Is Authorized Under S.341.08(Lm), 342.06(L) (l), 343.14 (2M) Wisconsin Statutes.

Records Consist Of Opt-Out Request Used Solely For This Series And Completed By The Requestor. Information May Include Name, Address, Birthdate, Social Security Number, Telephone Number, And The Driver License Number. Form Also Includes Space For Identifying Up To Three Vehicles By License Plate Number, Model Year, Make, And Identification Number.

Requests Are Destroyed After Applicable Databases/Files Have Been Flagged.

<u>00433000.</u>	<u>REGISTRATION RENEWAL AUDIT FILE</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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File Contains A Weekly Cumulative (From Beginning Of Year) Snapshot Of Dmv Vehicle Record Database Information For All Vehicles Currently Titled/Registered (Through Renewal Process) In Wisconsin. Information Includes In Title Number Order: License Plate, Process, Fee, Renewal And Vehicle Information. Information May Also Include Previous Owner Address.

Information Is Used For Vehicle Ownership History Research. It Is Maintained Pursuant To S. 342.09(2)(A), Stats.

Closed Means Year End Of Com Generation Cycle. Weekly Com Information Is Cumulative From Beginning Of Year To Current. The Weekly Set Is Retained Until Superseded By The Following Weekly Com Set And Then Destroyed. The Year End Final Weekly Cumulative Com Set (Contains Entire Year) Is Retained For 7 Years.

File Is Part Of A Com Series Of History Information Snapshots Captured From The Dmv Vehicle Record Database And Used For Research And Certification Purposes.

- Registration Renewal Cross Reference Index Refer Rda 00109000.
- Title Audit Set Refer Rda 00434000.
- Base Plate Registration Cross Reference Refer Rda 00435000.
- Registration Telephone Authorizations Cumulative Weekly Set Refer Rda 00436000.
- Registration Telephone Authorizations Noncumulative Cross Reference Refer Rda 00436A00.
- Purge Vin Refer Rda 00437000.
- Registration License Plate Number - Quarterly Set Refer Rda 00438000.

Filed By: Title Number Within Com Date.

Evt=Closed. Closed Means Year End Of Com Generation Cycle.

<u>00434000.</u>	<u>TITLE AUDIT FILE</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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File Contains A Biweekly Cumulative (From Beginning Of Year) Snapshot Of Dmv Vehicle Record Database Information For All Vehicles Currently Titled/Registered (Through Title Process) In Wisconsin. Information Includes In Title Number Order: License Plate, Process, Fee And Renewal Information. Information May Also Include Previous Title Number(S) To Which Vin/License Plate Were Assigned.

Information Is Used For Vehicle Ownership History Research. It Is Maintained Pursuant To S. 342.09(2)(A), Stats.

Closed Means Year End Of Com Generation Cycle. Biweekly Com Information Is Cumulative (From Beginning Of Year To Current). The Biweekly Set Is Retained Until Superseded By The Following Biweekly Com Set And Then Destroyed. The Year End Final Biweekly Cumulative Com Set Is Retained For 7 Years.

RDA #	RDA Title	Retention	Disposition	PII
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File Is Part Of A Com Series Of History Information Snapshots Captured From The Dmv Vehicle Record Database And Used For Research And Certification Purposes.

- Renewal Audit Set Refer Rda 00433000.
- Base Plate Registration Cross Reference Refer Rda 00435000.
- Registration Telephone Authorizations Cumulative Weekly Set Refer Rda 00436000.
- Registration Telephone Authorizations Noncumulative Cross Reference Refer Rda 00436A00.
- Purge Vin Refer Rda 00437000.
- Registration License Plate Number - Quarterly Set Refer Rda 00438000.

Filed By: Title Number Within Com Date.

Evt=Closed. Closed Means Year End Of Com Generation Cycle.

<u>00435000.</u>	<u>BASE PLATE REGISTRATION CROSS REFERENCE FILE</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
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File Contains A Biweekly Cumulative (From Beginning Of Year) Snapshot Of Dmv Vehicle Record Database Information For All Vehicles Currently Titled/Registered (By Which A Replacement Base License Plate Has Been Issued By The Automated System) In Wisconsin. Information Includes In Previous License Plate Number Order: New Base License Plate Number.

Information Is Used For Vehicle Ownership History Research. It Is Maintained Pursuant To S. 342.09(2)(D), Stats.

Closed Means Year End Of Com Generation Cycle. Biweekly Com Information Is Cumulative From Beginning Of Year To Current. The Biweekly Set Is Retained Until Superseded By The Following Biweekly Com Set And Then Destroyed. The Year End Final Biweekly Cumulative Com Set Is Retained For 7 Years.

File Is Part Of A Com Series Of History Information Snapshots Captured From The Dmv Vehicle Record Database And Used For Research And Certification Purposes.

- Renewal Audit Set Refer Rda 00433000.
- Title Audit Set Refer Rda 00434000.
- Registration Telephone Authorizations Cumulative Weekly Set Refer Rda 00436000.
- Registration Telephone Authorizations Noncumulative Cross Reference Refer Rda 00436A00.
- Purge Vin Refer Rda 00437000.
- Registration License Plate Number - Quarterly Set Refer Rda 00438000.

Filed By: License Plate Number Within Plate Type Within Com Date.

Evt=Closed. Closed Means Year End Of Com Generation Cycle.

<u>00436000.</u>	<u>REGISTRATION TELEPHONE AUTHORIZATIONS FILE</u>	<u>CR+7</u>	<u>DEST</u>	<u>Y</u>
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File Contains A Weekly Noncumulative Snapshot Of Dmv Vehicle Record Database Information For All Vehicles Currently Titled/Registered (For Which A Telephone Authorization Has Been Processed) In Wisconsin. Information Includes In Title Number Order: Owner Information, Vin, Telephone Authorization Number, Process And Fee Information.

Information Is Used For Vehicle Ownership History Research. It Is Maintained Pursuant To S. 342.09(2)(A),(B), Stats.

File Is Part Of A Com Series Of History Information Snapshots Captured From The Dmv Vehicle Record Database And Used For Research And Certification Purposes.

- Renewal Audit Set Refer Rda 00433000.
- Title Audit Refer Rda 00434000.
- Base Plate Registration Cross Reference Refer Rda 00435000.
- Registration Telephone Authorizations Noncumulative Cross Reference Refer Rda 00436A00.
- Purge Vin Refer Rda 00437000.
- Registration License Plate Number - Quarterly Set Refer Rda 00438000.

Dept #: 1825/

Department Name: DMV - VEHICLE RECORDS

RDA # RDA Title Retention Disposition PII

Filed By: Title Number Within Com Date.

00436A00. **REGISTRATION TELEPHONE AUTHORIZATIONS CROSS REFERENCE FILE** **CR+7** **DEST** **N**

File Contains A Weekly Noncumulative Snapshot Of Dmv Vehicle Record Database Information For All Vehicles Currently Titled/Registered (For Which A Telephone Authorization Has Been Processed) In Wisconsin. Information Includes In Telephone Authorization (Ta) Order: Title Number Which Was Assigned At The Time The Ta Was Processed.

Information Is Used For Vehicle Ownership History Research. It Is Maintained Pursuant To S. 342.09(2)(D), Stats.

File Is Part Of A Com Series Of History Information Snapshots Captured From The Dmv Vehicle Record Database And Used For Research And Certification Purposes.

- Renewal Audit Set Refer Rda 00433000.
- Title Audit Refer Rda 00434000.
- Base Plate Registration Cross Reference Refer Rda 00435000.
- Registration Telephone Authorizations Noncumulative Weekly Set Refer Rda 00436000.
- Purge Vin Refer Rda 00437000.
- Registration License Plate Number - Quarterly Set Refer Rda 00438000.

Filed By: Telephone Authorization Number Within Com Date.

00437000. **PURGE VEHICLE IDENTIFICATION NUMBER (VIN) FILE** **EVT+0/6** **DEST** **Y**

File Contains A Semi-Annual Cumulative (From 1980) Snapshot Of Dmv Vehicle Record Database Information For All Vehicles Titled/Registered (Which Have Been Purged From The Database) In Wisconsin. Information Includes In Vin Order: Owner, Lessee And License Plate Information. File May Also Include Vehicle And Corresponding Title Number Information.

Information Is Used For Vehicle Ownership History Research. It Is Maintained Pursuant To S. 342.09(2)(B), Stats.

Com Is Generated Semi-Annually And Cumulative From 1980.

File Is Part Of A Com Series Of History Information Snapshots Captured From The Dmv Vehicle Record Database And Used For Research And Certification Purposes.

- Title Audit Set Refer Rda 00434000.
- Renewal Audit Set Refer Rda 00433000.
- Base Plate Registration Cross Reference Refer Rda 00435000.
- Registration Telephone Authorizations Cumulative Weekly Set Refer Rda 00436000.
- Registration Telephone Authorizations Noncumulative Cross Reference Refer Rda 00436A00.
- Registration License Plate Number - Quarterly Set Refer Rda 00438000.

Filed By: Vin.

Evt=Superseded.

00438000. **MOTOR VEHICLE REGISTRATION LICENSE PLATE NUMBER FILE** **CR+7** **DEST** **Y**

File Contains A Quarterly Noncumulative Snapshot Of Dmv Vehicle Record Database Information For All Vehicles Registered In Wisconsin For Which The Registered Owner Retains The Plate Upon Disposal Of The Vehicle. Information Includes In License Plate Type And Number Order: Name And Street Address.

Information Is Used For Vehicle Ownership History Research. It Is Maintained Pursuant To S. 342.09(2)(D), Stats. This Fiche (Platebook) Is Sold To The Public.

File Is Part Of A Com Series Of History Information Snapshots Captured From The Dmv Vehicle Record Database And Used For Research And Certification Purposes.

RDA #	RDA Title	Retention	Disposition	PII
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- Renewal Audit File Refer Rda 00433000.
- Title Audit Set Refer Rda 00434000.
- Base Plate Registration Cross Reference Refer Rda 00435000.
- Registration Telephone Authorizations Cumulative Weekly Set Refer Rda 00436000.
- Registration Telephone Authorizations Noncumulative Cross Reference Refer Rda 00436A00.
- Purge Vin Refer Rda 00437000.
- Registration License Plate Number - Quarterly Set Refer Rda 00438000.

Filed By: License Plate Number Within Com Date.

<u>00495000.</u>	<u>MOTOR VEHICLE REGISTRATION RENEWALS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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File Contains Motor Vehicle Registration Renewal Paper Applications Submitted By Companies And Individuals. Information Includes Motor Vehicle Owner/Lessee Name And Address, Vehicle Description And Kept Location, Fee, Registration License Number And Expiration, Non-Operation Statement And Other Information As Applicable To Renewal Application Process.

By Law And Administrative Rule, Dmv Mails Renewal Notices To Owners/Lessees Of Motor Vehicles Currently Registered In Wisconsin At Least 30 Days Prior To Current Registration Expiration. The Notice Instructs Them By When, How, Required Fee(S) To Pay And Any Special Requirement(S) That Must Be Accomplished To Complete The Renewal Of Registration.

Currently Motor Vehicle Registration Renewal Can Occur As A Result Of The Customer Using One Of Several Processes Which Include But Are Not Limited To Customer Submittal Through Lockbox, Exception, Counter Of Phone-Ins.

Information And Requirements Used To Renew Motor Vehicle Registration (Plates/Tags) Are In Accordance With Ch.341.Stats And Adm Trans 128.

Closed Means Entry Of Necessary Renewal Data To Data System And Immediate Resolution Of Outstanding Transaction Application Issues.

<u>00495A00.</u>	<u>MOTOR VEHICLE REGISTRATION RENEWALS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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File Contains Motor Vehicle Registration Renewal Paper Applications (Except Lockbox) Submitted By Companies And Individuals. Information Includes Motor Vehicle Owner/Lessee Name And Address, Vehicle Description And Kept Location, Fee, Registration License Number And Expiration, Non-Operation Statement And Other Information As Applicable To Renewal Application Process.

By Law And Administrative Rule, Dmv Mails Renewal Notices To Owners Of Motor Vehicles Currently Registered In Wisconsin At Least 30 Days Prior To Current Registration Expiration. The Notice Instructs Them By When, How, Required Fee(S) To Pay And Any Special Requirement(S) That Must Be Accomplished To Complete The Renewal Of Registration.

Currently Motor Vehicle Registration Renewal Can Occur As A Result Of The Customer Using One Of Several Processes Which Include But Are Not Limited To Customer Submittal Through Lockbox, Exception, Counter Or Phone-Ins.

Information And Requirements Used To Renew Motor Vehicle Registration (Plates/Tags) Are In Accordance With Ch.341, Stats And Adm Trans 128.

This Microfilm Series Of The Actual Renewal Notice Application Form Is Closed Effective April 1996. The Dmv Registration And Title Computer Data System Is The Dmv Official Record As Created In The Normal And Usual Course Of Business. As Indicated Above, Registration Renewals Can Be Submitted On Other Than The Paper Renewal. This Microfilm Represents Only Those Renewals Submitted On The Paper Application Form.

<u>00495B00.</u>	<u>MOTOR VEHICLE REGISTRATION RENEWALS</u>	<u>EVT</u>	<u>DEST</u>	<u>N</u>
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Data Base Is Relationally Part Of The Dmv Title And Registration Computer Data System. Data Base Contains Motor Vehicle Registration Renewal Transaction Data From Applications Submitted By Companies And Individuals. Information Includes Motor Vehicle Customer (Owner/Lessee)

RDA #	RDA Title	Retention	Disposition	PII
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Name And Address, Transaction Type, Vehicle Description And Kept Location, Fee Registration License Number And Expiration, Renewal Number, Non-Operation And Other Information As Applicable To Renewal Application Process.

By Law And Administrative Rule, Dmv Mails Renewal Notices To Owners/Lessees Of Motor Vehicles Currently Registered In Wisconsin Nlt 30 Days Prior To Current Registration Expiration. The Notice Instructs Them By When, How, Required Fee(S) And Any Speical Requirements(S) That Must Be Accomplished To Complete The Renewal Of Registration Of The Specific Motor Vehicle.

Currently, Wi Motor Vehicle Registration Renewal Occurs With The Customer Receiving The Dmv Renewal Notice, Then Using One Of Several Processes Which Include But Are Not Limited To Submittal Through Lockbox, Exception Processing, Counter Service Ofr Telephone (Credit Card).

Information And Requirements Used To Renew Motor Vehicle Registration (Plates/Tags) Are In Accordance With Ch.341, Stats And Adm Trans 128.

Registration Renewal Transaction Data Is Entered To The Dmb Title And Registration Computer Data System In The Normal And Usual Course Of Business Replacing Previous Renewal Transaction Data. Refer Rda00123-0 For Title Application File, And Wisdot Computer Data Mgt Dictionary Entity "Dmvc_Prtd". This Data System Serves As The Active Dmv Official Motor Vehicle Registration Renewal Record. For Inactive Renewal History Record Information, Refer To Rda109-0 Reg Renewal Cross Ref Index (Com), Rda125-0 Reg Renewal Index (Com), And Rda433-0 Reg Renewal Audit File (Com).

Closed Means, Weekly Select Replaced Data Is Copied To Com For History Audit And Every 6 Months The Data System Electronically Purges Record Information Based Upon Coded Criteria In Application Program Purge Proc. P7313241.

<u>00547000.</u>	<u>VEHICLE/DRIVER RECORD INFORMATION REQUEST FILE</u>	<u>CR+0/1</u>	<u>DEST</u>	<u>Y</u>
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File Contains Requests For Vehicle/Driver Record Information. The Federal Driver'S Privacy Protection Act, Title 18 Usc Section 2721-2725 And S. 19.36, Wis. Stats. Provide Provisions And Requirements For Obtaining Vehicle/Driver Record Information.

These Requests, Received By The Wisconsin Department Of Transportation From Organizations Desiring Information Including Personal Information, Identify The Specific Person About Whom Information Is Desired And Authorization For Them To Obtain The Record Information.

<u>00590000.</u>	<u>REFUND FILE</u>	<u>CR+0/3</u>	<u>DEST</u>	<u>Y</u>
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File Contains Supporting Documents Pertaining To Refunds To Applicants For Wisconsin Vehicle Title Or Registration. Information Includes Appicant Name And Address, Vehicle Description (Including Vehicle Identification Number), Dollars Due As Refund And Reason Refund Was Issued. Information May Also Include Vehicle Year, Make, Type And Corresponding Title Number And License Plate Number.

Documents Are Used To Support Refunds Issued By The Department. File Also Supports Postings To Vehicle Title And Registration Database And Electronic Financial File.

Dept #: 1825/

Department Name: DMV - VEHICLE RECORDS

RDA # RDA Title Retention Disposition PII

Was Correspondence File, Cr+1 Year And Destroy.

00591000. COUNTY LIEN FILE CR+0/1 DEST Y

File Contains A Monthly Cumulative Snapshot Of Dmv Vehicle Record Database Information For All Outstanding Liens On Vehicles Titled And/Or Registered In Wisconsin. Information Includes, By County, Vehicle Year, Make, Ident. No., Lienholder Name And Address (Prime Locator On Database). Com Fiche Is Generated And Sent To Each Applicable County Register Of Deed Office In Wisconsin. Since 1982, This Fiche Has Replaced The Old Register Of Deed Paper Copy Of The Security Interest Lien Perfection Form Mv2075 As Generated By The Department. Dmv Generates This Information For The County Register Of Deed Offices In Accordance With S. 342.20(3), Wis. Stats.

Com Is Generated Monthly And Cumulative From 1982. As Liens Are Removed From Database Records Due To Satisfaction Or Statute Of Limitations, Record Information Becomes Omitted From Fiche File. Every Generation Of Monthly Fiche Is A Complete Regeneration Of All Outstanding Liens Present On The Database.

Filed By Customer Name Within County.

Dept #: 1825/

Department Name: DMV - VEHICLE RECORDS

RDA #	RDA Title	Retention	Disposition	PII
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Was Called Lien Perfections With Retention Of Event (Until Lien Is Released) And Destroy.

<u>00592000.</u>	<u>REFUND/CUSTOMER SERVICE CORRESPONDENCE FILES</u>	<u>CR+0/6</u>	<u>DEST</u>	<u>Y</u>
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File Contains Documents Generated By Dmv To Customers Pertaining To Incomplete Applications For Wisconsin Vehicle Title Or Registration Transactions. Information Includes Applicant Name And Street Address, Vehicle Description (Including Vehicle Identification Number) And Reason(S) Why Application Could Not Be Completed. Information May Also Include Vehicle Year, Make, Type And Corresponding Title Number And License Plate Number.

Documents Are Used To Collect Or Resolve Missing Information To Complete Title And Registration Transactions From Customers And To Certify Dmv Records For Court Use, Etc. File Supports Vehicle Record Information On The Dmv Title And Registration System Database And Applicable Transaction Files.

Reference Rda 593 For Paper Correspondence File.

Dept #: 1825/

Department Name: DMV - VEHICLE RECORDS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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Was Called Correspondence Files With Retention Of Cr+1 Yr And Destroy

<u>00593000.</u>	<u>REFUND/CUSTOMER SERVICE CORRESPONDENCE FILES</u>	<u>CR+0/6</u>	<u>DEST</u>	<u>Y</u>
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File Contains Documents From Customers And Generated By Dmv Pertaining To Incomplete Applications For Wisconsin Vehicle Title Or Registration Transactions. Information Includes Applicant Name And Street Address, Vehicle Description (Including Vehicle Identification Number) And Reason(S) Why Application Could Not Be Completed. Information May Also Include Vehicle Year, Make, Type And Corresponding Title Number And License Plate Number.

Documents Are Used To Complete Title And Registration Application Transactions From Customers And To Certify Dmv Records For Court Use, Etc. File Supports Vehicle Record Information On The Dmv Title And Registration System Database And Applicable Transaction Files.

Reference Rda 592 For Electronic Correspondence File.

Dept #: 1825/ Department Name: DMV - VEHICLE RECORDS

RDA #	RDA Title	Retention	Disposition	PII
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Was Correspondence Files With Retention Of Cr+1 Yr And Destroy.

Dept #: 1832/ Department Name: DBM - RISK & SAFETY MANAGEMENT

RDA #	RDA Title	Retention	Disposition	PII
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<u>00130000.</u>	<u>HIGHWAY PROPERTY DAMAGE CLAIMS FILES</u>	<u>EVT+4</u>	<u>DEST</u>	<u>Y</u>
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THE DAMAGE CLAIMS PROGRAM IS THE COLLECTION PROCESS USED TO BILL APPROPRIATE PARTIES RESPONSIBLE FOR STATE HIGHWAY PROPERTY DAMAGES CAUSED AS A RESULTS OF A MOTOR VEHICLE ACCIDENT OR VANDALISM.

RECORDS IN THIS SERIES INCLUDE BUT ARE NOT LIMITED TO: INVOICES FOR DAMAGES, CONTRACTOR CHARGE SHEETS, ACCIDENT/INCIDENT REPORTS AND ALL DATA/CORRESPONDENCE COLLECTED DURING THE ACTIVE PERIOD OF THE CLAIM.

OFFICIAL RECORDS IN THIS SERIES INCLUDE BOTH PAPER AND IMAGED RECORDS. RECORDS IN THIS SERIES MAINTAINED IN PAPER FORMAT WILL NOT BE CONVERTED TO DIGITAL FORMAT AND ARE ALSO CONSIDERED OFFICIAL RECORDS.

DIGITAL IMAGES OF ALL THE CLAIMS RELATED DOCUMENTS ARE KEPT IN THE IBM CONTENT MANAGER ECLIENT IMAGING SYSTEM.

RETENTION: EVENT(DATE CLAIM IS CLOSED) + 4 YEARS AND DESTROY CONFIDENTIAL

<u>00130A00.</u>	<u>HIGHWAY PROPERTY DAMAGE CLAIMS FILES - SOURCE DOCUMENTS</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>Y</u>
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RECORDS IN THIS SERIES INCLUDE THE ORIGINAL PAPER CLAIM DOCUMENTS AND SUPPORTING DOCUMENTATION. THESE DOCUMENTS ARE IMAGED AND STORED IN THE IBM CONTENT MANAGER ECLIENT IMAGING SYSTEM. ORIGINAL DOCUMENTS ARE KEPT FOR 1 MONTH AFTER SUCCESSFUL DIGITAL IMAGING AND THEN DESTROYED CONFIDENTIALLY. DIGITAL IMAGE THEN BECOMES THE OFFICIAL RECORDS.

Dept #: /832/ Department Name: DBM - RISK & SAFETY MANAGEMENT

RDA # RDA Title Retention Disposition PII

RETENTION: EVENT(DATE OF SUCCESSFUL DIGITAL IMAGING) + 1 MONTH AND DESTROY CONFIDENTIAL

00130B00. DAMAGE CLAIMS CICS SYSTEM - CLAIMS DETAIL DATA EVT+4 DEST Y

THE CLAIMS DETAIL DATA CONTAINED IN THIS SYSTEM INCLUDES THE CLAIMS DETAILED INFORMATION, INCLUDING BUT NOT LIMITED TO: NAME, ADDRESS, TYPE DAMAGE DONE, AMOUNT OWED, STATUS OF CLAIM AND A COMMENTS AREA FOR NOTES ON THE CLAIM. DIGITAL IMAGES OF CLAIMS DOCUMENTS ARE KEPT IN THE HIGHWAY DAMAGE CLAIMS IBM CONTENT MANAGER ECLIENT IMAGING SYSTEM AND ARE CROSS-REFERENCED IN THE CIS SYSTEM.

THE DAMAGE CLAIMS CUSTOMER INFORMATION CONTROL SYSTEM (CICS) IS A DB2 (IBM DATABASE) SERVER CONTAINED IN THE IBM RATIONAL HOST ON-DEMAND (HOD) SYSTEM. THE CICS DAMAGE CLAIMS SYSTEM IS USED TO CREATE AND TRACK HIGHWAY DAMAGE CLAIMS.

INFORMATION IN THIS DATABASE ALSO SERVES AS A TICKLER SYSTEM SO STAFF ARE ALERTED WHEN FOLLOW UP IS DUE ON A CLAIM. THE CLAIMS REMAIN AVAILABLE FOR LOOKUP IF NEEDED, AFTER THEY ARE CLOSED IN THE SYSTEM. REPORTS CAN ALSO BE GENERATED.

ALSO SEE RDA 000130-000 - HIGHWAY PROPERTY DAMAGE CLAIMS FILES.

RETENTION: EVENT(DATE CLAIM IS CLOSED) + 4 YEARS AND DESTROY CONFIDENTIAL

Dept #: /840/ Department Name: DBM - BUSINESS SERVICES DIRECTOR

RDA # RDA Title Retention Disposition PII

00055000. SERVICE OF PROCESS ON NONRESIDENTS EVT+2 DEST

File Contains Correspondence, Copies Of Certificates, And Summons And Complaints Involving Persons Residing Out-Of-State Who Were Involved In Traffic Accidents In Wisconsin As Described In 345.09, Wis. Stats. Purpose Of The File Is To Document That The Appropriate Papers Were Served On The Person(S). Retention Is Necessary To Validate That Appropriate Documents Were Filed.

This File Is The Agency Official File.

Arrangement Is By Respondent Name.

Retain 2 Years After Closed And Destroy.

Dept #: /841/ Department Name: DMV - IRP

RDA # RDA Title Retention Disposition PII

00108000. INTERNATIONAL REGISTRATION PLAN - APPLICATIONS EVT+5 DEST

File Contains Applications For Each Apportioned Carrier To Provide Information For Fee Payment Based On Fleet Miles, Revenue Collection Shared With Member States. Wisconsin Accounts Include Apportioned Carriers Vehicle Descriptions (Year, Make, & Vehicle Ident. No.) Registered & Licensed In Wis. Under Irp Plan. File Also Includes Correspondence And Bonds Or Irrevocable Letters Of Credit For Installment Payment Guarantees.

Wis Ss. 341.405 Authorizes The Dot Secretary To Effectuate Irp.

Foreign Carrier Accounts Contain Records Of Miles, Number Of Vehicles, Specific Qualifying Weights For Use On Wis. Highways, Correspondence & Proof Of Payment.

Wisconsin Transmittal Lists Of Application And Total Fee Amount Sent To Other Jurisdictions And Foreign Lists Received From Other Jurisdictions.

Dept #: /841/ Department Name: DMV - IRP

RDA # RDA Title Retention Disposition PII

Files Are Maintained For Enforcement, Audit, And Court Record Certification.
The Irp Requires The Preservation And Availability Of Records For Audit.

Closed Means End Of Calendar Year. Filed By Account No Within State.

Reference Rda 00107-0 For Irp Agreements.

Retain 5 Years After Closed And Destroy.

00122000. IRP, IFTA, WIFT AUDIT FILES EVT+5 DEST

The Files Contain International Registration Plan (Irp),
International Fuel Tax (Ifta) And Wisconsin Interstate Fuel
Tax (Wift) Audit Reports, Audit Work Papers And Other
Supporting Information Used To Prepare The Reports For Each
Carrier Account Audited.

The File Information Is Used Along With The On-Site Computer Audit Data Files
To Verify/Adjust Carrier Account Registration Fees And Fuel Taxes Paid Based
On Fleet Miles, As Supporting Information When Carrier Accounts Contest
Audit Results And For Court Certification.

S.341.43, Wis. Stats., Authorizes The Department Of Transportation To "Conduct
Such Audits As It Deems Necessary To Determine The Adequacy Of Fees Paid
Under The International Registration Plan...And Taxes Paid Under S.341.45,
Stats.," Section 341.34, Wis. Stats., Is The Statute That Addresses Payment
Of Fuel Taxes By Heavy Trucks.

Closed Means Calendar Year.
Dot Official Irp,Ifta, Wift Audit File.
See Rda 122-A For Machine Readable Portion Of Audit Information.
See Rda 107,108 For Irp Applications And Agreement Files.
Filed By Account Number Within State (Jurisdiction).

Retain 5 Years After Closed And Destroy.

00122A00. IRP, IFTA, WIFT AUDIT FILE EVT+5 DEST

The Files Contain International Registration Plan (Irp),
International Fuel Tax (Ifta) And Wisconsin Interstate Fuel
Tax (Wift) On-Site Audit Data Used To Prepare The Carrier
Accounts Audit Reports.

The Files Are Also Used With Other Audit Information To Verify/Adjust Account
Registration Fees And Fuel Taxes Paid Based On Fleet Miles, As Supporting
Information When Carrier Accounts Contest Audit Results And For Court
Certification.

Section 341.34, Stats., Authorizes The Department Of Transportation To
"Conduct Such Audits As It Deems Necessary To Determine The Adequacy Of Fees
Paid Under The International Registration Plan...And Taxes Paid Under
S.341.45, Stats.," Section 341.45, Stats., Is The Statute That Addresses
Payment Of Fuel Taxes By Heavy Trucks.

Closed Means Calendar Year.
Dot Official Irp, Ifta, Wift Audit File.
See Rda 122-0 For Paper Portion Of Audit Information.
See Rda 107,108 For Irp Applications, Agreement File.

Filed By Account Number Within State (Jurisdiction).

Retain 5 Years After Closed And Destroy.

Dept #: /846/ Department Name: DBM - BUSINESS SERVICES

RDA # RDA Title Retention Disposition PII

00158000. DOT CONSUMABLE ASSETS INVENTORY FILE EVT+1 DEST N

File contains the inventory information on consumable assets. The file does not contain information on fixed assets, e.g.: data processing or fleet assets. Inventory report is part of the Materials Management program and contains detail data concerning description, quantities received, distributed, on-hand and issue units, re-order points/levels, commodity and buyer code, restrictions, requestors and other applicable information.

Information used for material management and distribution, audit and risk mgt.

Physical inventory is required at least once per year in accordance with GAAP (general accepted accounting procedures) and LAB

Refer to RDA00155-0 for fixed assets inventory file.

File is official DOT record and will eventually be replaced by RDA00158-A.

Closed means calendar year end when inventory is filled or item is obsoleted from stock.

Arrangement chronological within item stock number.

<u>00158A00.</u>	<u>DOT CONSUMABLE ASSETS INVENTORY DATABASE</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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File (Stores.mdb) contains information on consumable assets. File does not contain information on fixed assets, e.g. ; data processing or fleet assets.

This file is part of the Materials Management program and contains detail data concerning description, quantities received, distributed, on-hand and issue units, re-order points/levels, commodity and buyer code, restrictions, requestors and other applicable information.

This information is used for distribution, audit, and risk management.

A physical inventory is required at least one time per year in accordance with GAAP (general accepted accounting procedures) and LAB (Legislative Audit Bureau).

Refer to RDA00155-0 for fixed assets inventory file.

This file is an official DOT record. Retention is based on calendar year end. Current plus 2 previous years history is retained. History older plus 2 is destroyed.

The database is an Access Database which was converted from a Data Ez file in 1998.

The system requires a high level of security (pc access from computer within M/M Unit only). The system is used to track supplies and allow for orders. The information is manually entered, and the data can only be modified from a PC within the Materials Management Unit (M/M). The data is stored on a file server at the Truax LAN.

Output is available as to re-order reports, data on issues to units within DOT, vendor information as who to order from etc.