

485-VETERANS AFFAIRS

Dept #: 0001/ Department Name: VETERANS BENEFITS - VETERANS BENEFITS RESOURCE CENTER

RDA # RDA Title Retention Disposition PII

00004000. **VETERANS BASE FILES** **P** **DEST** **Y**

Creation of a base file occurs upon receipt of a request for eligibility or benefits from the Department under Wis. Stats. § 45.03(1), or benefits from other Departments we provide eligibility certification for. Base files include documentation pertinent to the veteran, spouse, or dependent necessary to approve or deny eligibility for benefits under Wis. Stats. § 45.02. Base files maintain a permanent history of individual veterans' eligibility and benefits.

Base files can contain tax records, birth and marriage certificates as well as applications for benefits and all documentation regarding approval, disbursement, or denial of eligibility or benefits.

Base files presently exist in paper, microform, and electronic/digital formats. New base files have documents scanned into Smart Search Enterprise Content Management system. Images are verified following Wis. Stats. § 16.61(7), Wis. Admin. Code ch. Adm 12 and WDVA IS-403 Electronic Record Management policy. Each scan has to be accessible, accurate, and complete or redone until they are to allow for confidential destruction of source documents. Recalled older paper base files will follow the same process as the new base files.

Box 16 Confidential Content: The release of confidential information that may be included in veterans records are protected by Wis. Stats. §§ 45.04 and 146.82(1). The Health Insurance Portability and Accountability Act of 1996 (HIPAA), also protect patient health care records (HIPAA). See 42 U.S.C. § 1320d-2, 45 C.F.R. pts160 and 164.

Permanent

00015000. **DEPARTMENT OF DEFENSE RECORD OF DISCHARGE** **P** **PERM** **Y**

THIS RECORD SERIES CONSISTS OF FEDERAL DEPARTMENT OF DEFENSE DISCHARGE PAPERS FOR ALL VETERANS DISCHARGED FROM THE ARMED FORCES OF THE UNITED STATES WHO RETURNED TO THE STATE OF WISCONSIN AFTER THEIR SERVICE. THE PRIMARY FORM IS THE DD-214. HOWEVER, SOME RECORDS INCLUDE THE DD-215 FORM (CORRECTION TO A DD-214) AND MEDICAL EXAM REPORTS.

DVA USES THIS RECORD TO ESTABLISH THE ELIGIBILITY OF WISCONSIN VETERANS, THEIR SPOUSES, AND CHILDREN FOR VARIOUS VETERANS PROGRAM BENEFITS ADMINISTERED AT EITHER THE STATE (UNDER WI STATUTE 45) OR FEDERAL LEVEL.

THE RECORDS CONTAIN NAME OF VETERAN, OTHER IDENTIFYING INFORMATION, DATES OF SERVICE, HOME OF RECORD, DATE AND PLACE OF ENTRY INTO SERVICE, DATE OF SEPARATION, AND PLACE WHERE SEPARATED TO. DVA ASSIGNS A UNIQUE NUMERIC IDENTIFIER TO EACH VETERAN'S RECORD. THERE ARE AN ESTIMATED 840,000 VETERAN RECORDS IN THIS COLLECTION COMPRISING AN ESTIMATED 1.1 MILLION PAGES.

WHILE COPIES OF THE SAME RECORD MAY ALSO BE FILED WITH COUNTY REGISTER OF DEEDS OFFICES THROUGHOUT THE STATE OF UNDER WI S.S.45.04, THE DVA SET OF RECORDS IS THE MOST COMPLETE.

RETENTION IS 62 YEARS, BECAUSE WI DVA IS NOT THE OFFICIAL RECORD HOLDER OF DD-214; FEDERAL VETERANS AFFAIRS RELEASES DD-214 FORMS TO PUBLIC AFTER 62 YEARS OF SERVICE.

RETENTION: EVENT(DATE OF DISCHARGE FROM MILITARY) + 62 YEARS AND DESTROY.

00120000. **REQUESTS FOR RELEASE AND/OR DISCUSSION OF VETERAN RECORDS** **CR+7** **DEST** **Y**

Requests for veteran records are maintained in accordance with Wis.Stat. § 45.04 and Wis. Admin. Code VA I .I 0 and document the release of each record requested.

Veterans Records include: Benefit applications with United States Department of Veterans Affairs (VA) or Wisconsin Department of Veterans Affairs (WDVA), VA or WDVA medical treatment records, VA or WDVA mental health records, Military separation records, Department of Defense (DOD) service records, or other records maintained by WDVA received from the VA or the DOD or created by WDVA.

Record requests can be received by fax, mail, or email. Records received in paper form will be converted to digital format and become the original record after conversion and verification of the converted record. Paper input records can be destroyed confidential after verification of converted original record.

Box 16 Confidential Content: The release of confidential information which may be included in veterans records are protected by Wis. Stats. §§ 45.04 and 146.82(1). Patient health care records are also protected by the Health Insurance Portability and Accountability Act of 1996 (HIPAA). See 42 U.S.C. § 1320d-2, 45 C.F.R. pts160 and 164.

CR + 7; Destroy Confidential

| RDA # | RDA Title | Retention | Disposition | PII |
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00033000. **COUNTY VETERANS SERVICE OFFICE GRANT RECORDS** **EVT+4** **DEST** **N**

THIS RECORDS SERIES IS KEPT IN ACCORDANCE WITH WISCONSIN STATUTE 45.43 (7) WHICH PROVIDES THAT WISCONSIN COUNTIES MAY APPLY FOR A GRANT OF UP TO \$5,000 ANNUALLY FROM THE WISCONSIN DEPARTMENT OF VETERANS AFFAIRS FOR THE IMPROVEMENT OF SERVICE TO FORMER MILITARY PERSONNEL OF THE COUNTY THROUGH THE COUNTY VETERANS SERVICE OFFICE.

EACH YEAR THE COUNTIES MUST SUBMIT AN APPLICATION, AN AGREEMENT, REPORTS OF STATE AND FEDERAL BENEFITS PROVIDED TO COUNTY VETERANS, A COPY OF THE COUNTY VETERANS SERVICE OFFICE BUDGET, A GOALS STATEMENT FOR THE UPCOMING YEAR AND A REVIEW OF THE PREVIOUS GOALS STATEMENT. THESE DOCUMENTS ARE REVIEWED AND ASSESSED FOR COMPLIANCE WITH STATUTORY AND CODE REQUIREMENTS. IF THE COUNTY IS IN COMPLIANCE, A CHECK IS ISSUED.

EXCEPT FOR CERTAIN DOCUMENTS OF HISTORICAL INTEREST (E.G. NEWSPAPER CLIPPINGS, HIRING ANNOUNCEMENTS) THERE IS NO REASON TO RETAIN THE ASSORTED APPLICATION DOCUMENTS FOR LONGER THAN THREE YEARS.

EVENT = CLOSED/TERMINATED + 4 YEARS AND DESTROY.

00122000. **RETRAINING GRANT** **P** **PERM** **Y**

THE RETRAINING GRANT IS MAINTAINED IN ACCORDANCE WITH WI S.S. 45.21, ADMVA 2.03 AND VA 9.01(3),(5),(6), (14), AND (16).

THE RETRAINING GRANT PROGRAM PROVIDES ASSISTANCE TO RECENTLY UNEMPLOYED OR UNDER-EMPLOYED ELIGIBLE VETERANS WHO PROVIDE EVIDENCE OF FINANCIAL NEED WHILE BEING TRAINED FOR EMPLOYMENT. VETERANS MAY RECEIVE UP TO \$3000 PER YEAR, FOR A MAXIMUM OF 2 YEARS WITH A LIFETIME LIMIT CURRENTLY OF \$6000.

THE APPLICANT MUST BE CURRENTLY ENROLLED IN A TECHNICAL EDUCATION PROGRAM, OR ENGAGED IN AN ON-THE-JOB TRAINING PROGRAM WHICH WILL LEAD TO EMPLOYMENT. IN ADDITION TO ALL WISCONSIN TECHNICAL COLLEGES, VARIOUS PRIVATE OCCUPATIONAL AND TRADE SCHOOLS APPROVED BY THE WISCONSIN EDUCATIONAL APPROVAL BOARD (EAB) MAY QUALIFY FOR THE RETRAINING GRANT PROGRAM, IF THEY DO NOT OFFER FOUR YEAR DEGREES OR FOUR-YEAR PROGRAMS.

RETRAINING GRANT APPLICATIONS MAY CONTAIN INFORMATION ON DEPENDENTS, LIQUID ASSETS, PREVIOUS EDUCATION, INCOME, AND RECENT EMPLOYMENT.

00122A00. **DENIED RETRAINING GRANT APPLICATIONS** **EVT+1** **DEST** **Y**

THE RETRAINING GRANT IS MAINTAINED IN ACCORDANCE WITH WI S.S. 45.21, ADMVA 2.03 AND VA 9.01(3),(5),(6), (14), AND (16).

THE RETRAINING GRANT PROGRAM PROVIDES ASSISTANCE TO RECENTLY UNEMPLOYED OR UNDER-EMPLOYED ELIGIBLE VETERANS WHO PROVIDE EVIDENCE OF FINANCIAL NEED WHILE BEING TRAINED FOR EMPLOYMENT. VETERANS MAY RECEIVE UP TO \$3000 PER YEAR, FOR A MAXIMUM OF 2 YEARS WITH A LIFETIME LIMIT CURRENTLY OF \$6000. OTHER ASSISTANCE OR EDUCATION GRANTS ARE CONSIDERED IN THE APPLICATION PROCESS IN DETERMINING FINANCIAL NEED.

THE APPLICANT MUST BE CURRENTLY ENROLLED IN A TECHNICAL EDUCATION PROGRAM, OR ENGAGED IN AN ON-THE-JOB TRAINING PROGRAM WHICH WILL LEAD TO EMPLOYMENT. IN ADDITION TO ALL WISCONSIN TECHNICAL COLLEGES, VARIOUS PRIVATE OCCUPATIONAL AND TRADE SCHOOLS APPROVED BY THE WISCONSIN EDUCATIONAL APPROVAL BOARD (EAB) MAY QUALIFY FOR THE RETRAINING GRANT PROGRAM, IF THEY DO NOT OFFER FOUR YEAR DEGREES OR FOUR-YEAR PROGRAMS.

DENIED RETRAINING GRANT APPLICATIONS MAY CONTAIN INFORMATION ON DEPENDENTS, LIQUID ASSETS, PREVIOUS EDUCATION, INCOME, RECENT EMPLOYMENT, AND THE APPLICATION DENIAL DOCUMENTATION.

EVENET = DATE OF DENIAL

00122B00. **WITHDRAWN RETRAINING GRANT APPLICATIONS** **EVT+0/6** **DEST** **Y**

THE RETRAINING GRANT IS MAINTAINED IN ACCORDANCE WITH WI S.S. 45.21, ADMVA 2.03 AND VA 9.01(3),(5),(6), (14), AND (16).

THE RETRAINING GRANT PROGRAM PROVIDES ASSISTANCE TO RECENTLY UNEMPLOYED OR UNDER-EMPLOYED ELIGIBLE VETERANS WHO PROVIDE EVIDENCE OF FINANCIAL NEED WHILE BEING TRAINED FOR EMPLOYMENT. VETERANS MAY RECEIVE UP TO \$3000 PER YEAR, FOR A MAXIMUM OF 2 YEARS WITH A LIFETIME LIMIT CURRENTLY OF \$6000. OTHER ASSISTANCE OR EDUCATION GRANTS ARE CONSIDERED IN THE APPLICATION PROCESS IN DETERMINING FINANCIAL NEED.

THE APPLICANT MUST BE CURRENTLY ENROLLED IN A TECHNICAL EDUCATION PROGRAM, OR ENGAGED IN AN ON-THE-JOB TRAINING PROGRAM WHICH WILL LEAD TO EMPLOYMENT. IN ADDITION TO ALL WISCONSIN TECHNICAL COLLEGES, VARIOUS PRIVATE OCCUPATIONAL AND TRADE SCHOOLS APPROVED BY THE WISCONSIN EDUCATIONAL

Dept #: /002/ Department Name: VETERANS BENEFITS - GRANTS

RDA # RDA Title Retention Disposition PII

00124000. ASSISTANCE TO NEEDY VETERANS (ANV) PROGRAM P PERM Y

THE ASSISTANCE TO NEEDY VETERANS PROGRAM (ANV) IS MAINTAINED IN ACCORDANCE WITH WI S.S. 45.40, 45.01 AND ADM VA 2.01. THE ANV GRANT PROGRAM PROVIDES LIMITED HEALTH CARE AND SUBSISTENCE ASSISTANCE TO VEYERANS. IN ADDITION, THE UNREMARIED SPOUSE AND DEPENDENTS OF A VETERAN KILLED IN ACTION OR IN THE LINE OF DUTY ARE ELIGIBLE TO APPLY FOR ASSISTANCE. THE SPOUSE AND DEPENDENTS OF SERVICE MEMBERS WHO HAVE BEEN ACTIVATED OR DEPLOYED, EXPERIENCE A LOSS OF INCOME DUE TO THE ACTIVATION OR DEPLOYMENT AND SUFFER AN ECONOMIC EMERGENCY ARE ALSO ELIGIBLE TO APPLY FOR THE ANV GRANT.

HEALTH CARE AID PROVIDES FOR FINANCIAL ASSISTANCE FOR DENTAL CARE, VISION CARE, AND HEARING CARE FOR QUALIFIED APPLICANTS. A "DESCRIPTION OF BENEFITS" (DOB) LISTING APPROVED CARE AND A TIME PERIOD FOR WHICH THE CARE MUST BE OBTAINED IS PROVIDED TO THE VETERAN OR UNREMARIED SPOUSE. THE DESCRIPTION OF BENEFITS IS SUBMITTED TO THE HEALTH CARE PROVIDER TO RETURN TO WDVA WITH BILLING INFORMATION FOR PAYMENT.

SUBSISTENCE AID MAY E PROVIDED TO AN ELIGIBLE VETERAN WHEN THERE IS A LOSS OF INCOME DUE TO ILLNESS, INJURY OR NATURAL DISASTER. ASSISTANCE IS PROVIDED TO THOSE ELIGIBLE , WHO HAVE EXHAUSTED ALL OTHER SOURCES OF AID.

GRANT AWARDS FOR THE HEALTH CARE AID AND SUBSISTENCE AID COMBINED CANNOT EXCEED THE ASSISTANCE TO NEEDY VETERANS PROGRAM LIFETIME LIMIT. THIS RECORD SERIES MAY MAINTAIN THE VETERAN'S AND /OR DEPENDENT'S PERSONAL INFORMATION SUCH AS DATE OF BIRTH, SOCIAL SECURITY NUMBER, INSURANCE INFORMATION, INCOME AND ANY OTHER ASSISTANCE RECIEVED.

Dept #: /003/ Department Name: VETERANS BENEFITS - CEMETARIES AND MILITARY HONORS

RDA # RDA Title Retention Disposition PII

00014000. WISCONSIN VETERANS GRAVE REGISTRATION CR+4 TRANS OTHER Y

THIS RECORDS SERIES IS A RECORD OF BURIAL PLACES LOCATED WITHIN THE STATE FOR PERSONS WHO SERVED IN THE ARMED FORCES, AND IS WRITTEN IN ACCORDANCE WITH WIS. STAT. 45.62 AND WIS. STAT 45.001

THE RECORD SERIES IS CREATED BY WI COUNTY VETERANS SERVICE OFFICERS AND WI VETERANS CEMETERY PERSONNEL AND ENTERED INTO THE WEB BASED VETERANS BENEFITS APPLICATION TRACKING SYSTEM DATA BASE. THE RECORDS MAY INDICATE THE VETERANS NAME, DATE OF BIRTH AND DEATH, BIRTH PLACE, SERVICE IN WHICH ENGAGED, DESIGNATION OF ARMED FORCES UNIT, SERVICE NUMBER AND OR SOCIAL SECURITY NUMBER, RANK AND PERIOD OF SERVICE, NAME AND LOCATION OF CEMETERY OR OTHER PLACE IN WHICH THE BODY IS INTERRED, LOCATION OF GRAVE WITHIN THE CEMETERY, AND CHARACTER OF THE HEADSTONE OR OTHER MARKER, IF ANY, AT THE DECESASED VETERAN'S GRAVE, AS WELL AS NAME AND ADDRESS OF NEXT OF KIN AND RELATIONSHIP TO THE DECEASED. THE RECORDS HAVE BEEN CREATED FOR VETERANS BEGINNING WITH THE CIVIL WAR, AND ARE USED BY THE DEPARTMENT OF WI VETERANS MUSEUM IN PROVIDING INFORMATION TO THE PUBLIC. THESE RECORDS WILL BE KEPT FOR 4 YEARS PRIOR TO TRANSFERRING TO THE WISCONSIN VETERANS MUSEUM.

RETENTION: CR + 4 YEARS AND TRASNFER TO WISCONSIN VETERANS MUSEUM

00118000. MILITARY FUNERAL HONORS PROGRAM EVT+1 DEST Y

THIS RECORDS SERIES IS WRITTEN IN ACCORDANCE WITH WIS. STAT. 45.60 AND VA17.01-17.06 WHICH DOCUMENT THE COORDINATION OF THE PROVISION OF MILITARY FUNERAL HONORS FOR DECEASED VETERANS. UPON RECEIPT OF THE MILITARY FUNERAL HONORS REQUEST FORM, SUBMITTED BY THE FUNERAL HOME OR THE VETERANS SERVICE OFFICE, ELIGIBILITY OF THE DECEASED VETERAN IS VERIFIED. ELIGIBILITY VERIFICATION INCLUDES REVIEWING DOCUMENTS REGARDING SEPARATION DOCUMENTS, RECORDS SOURCED FROM TEH USDVA, VITAL RECORDS, INFORMATION ON MONETARY BENEFITS INCLUDING LOANS, AND OTHER RECORDS. SECTION 45.04 OF THE WISCONSIN STATUTES, VA 1.10(1) WIS. ADMIN. CODE, AND 36 CFR 1228.168 PROVIDE RESTRICTIONS FOR RELEASE OF THE DOCUMENTS CONTAINED IN THIS RECORDS SERIES.

**NOTE THAT AS PER 36 CFR 1228.168, MILITARY RECORDS, SUCH AS DD-214S, CANNOT BE RELEASED UNTIL 62 YEARS AFTER THE SERVICEMEMBER'S SEPARATION FROM THE MILITARY.

RETENTION: EVENT(DATE OF APPROVAL/DENIAL) + 1 YEAR AND DESTROY CONFIDENTIAL

00118B00. MILITARY FUNERAL HONORS TRAINING AND CERTIFICATION FIS+5 DEST N

IN ACCORDANCE WITH WIS. STAT. 45.60(1)(B), TRAINING AND CERTIFICATION INFORMATION IS SCANNED AND ENTERED ON A WORKSHEET WHICH IS USED TO RECOGNIZE A VETEARN'S SERVICE ORGANIZATION AND/OR INDIVIDUALS WHO MEET MINIMUM REQUIRED STANDARDS TO BE CONSIDERED FOR REIMBURSEMENT FOR THE PROVISION OF MILITARY

Dept #: /003/ Department Name: VETERANS BENEFITS - CEMETARIES AND MILITARY HONORS

RDA # RDA Title Retention Disposition PII

FUNERAL HONORS. VETERANS SERVICE ORGANIZATIONS INCLUDE GROUPS SUCH AS THE AMERICAN LEGION POSTS, VETERANS OF FOREIGN WARS, AMVETS, ETC. A LIST OF QUALIFIED INDIVIDUALS FOR EACH VETERANS SERVICE ORGANIZATION IS MAINTAINED WITH THE WORKSHEET.

RETENTION: FIS + 5 YEARS AND DESTROY

00119000. INTERMENT RECORDS EVT+1 DEST Y

This record series contains documents regarding application and eligibility for burial under Wis. Stat. §§ 45.61(4). Wisconsin Stat. §§ 45.62(1) allows the department to compile records of veteran's burial places located within the state. Information can include decedent name and vital information, date of schedule service, name of cemetery, and location of veteran's grave in the cemetery, next of kin and contact information, Military Funeral Honors information and veteran's military and eligibility information, which may include a marriage certificate for spousal burial and birth certificate for dependent children.

Records may begin as paper documents but are scanned to digital format as soon as possible. Information is entered in the Interment Register and the federal Burial Operations Support System at the time of interment.

Box 16 Confidential Content: The release of confidential information may be included in eligibility documents are protected by Wise. Stat. 45.04.

EVENT = Interment + 1 Year.

00119A00. INTERMENT REGISTER RECORDS P PERM Y

This record series is for the interment register records of the Wisconsin Veterans Memorial Cemeteries. Wisconsin Department of Veterans Affairs may compile records of veteran's burial places located in Wisconsin per Wis. Stat. § 45.62(1). Eligibility information is specified in Wis. Stat. § 45.61(2). These records will be maintained permanently in a database by WDVA to be accessible online and via kiosks in the cemeteries and through the Wisconsin Veterans Museum (WVM). These records have been created for veterans beginning with the Civil War and are used by the Department and the WVM in providing information to the public.

Box 16 Confidential Content: The release of confidential information which may be included in the eligibility documents is protected by Wis. Stats. § 45.04. Confidential information is not available to the public either by request, via kiosks, or through the WVM.

EVENT = P

00119B00. PRE-REGISTRATION FOR INTERMENT RECORDS EVT+1 DEST Y

This record series contains documents regarding application and eligibility for burial under Wis. Stat. §§ 45.61(2) and 45.61(4) for pre-registration to allow veterans to establish their eligibility for burial in advance. Information can include veteran's name and vital information, name of cemetery, next of kin and contact information and veteran's military and eligibility information. Marriage certificate for spousal burial and birth certificate for dependent children may be included. Pre-registration information will not include date of interment or location of grave, as they are determined at time of interment.

These records are maintained as paper documents indefinitely until interment occurs. Once the veteran, or eligible family member, is interred records will be entered into the digital Interment Register (RDA 119A) and the federal Burial Operations Support System. The interment will also trigger the retention period. A new application is to be developed to hold documents/records digitally at some future time. These records are maintained separately from RDA 119 as pre-registrations may never be entered into the Interment Register (RDA 119A).

Box 16 Confidential Content: The release of confidential information which may be included in eligibility documents are protected by Wis. Stat. § 45.04.

EVENT = Interment + 1 Year

00136000. CENTRAL WISCONSIN VETERANS MEMORIAL CEMETERY RECORDS P PERM Y

THIS RECORD SERIES IS MAINTAINED ACCORDING TO WISCONSIN STATUTE 157.62(4) AND HIPAA 45 CFR 164.53(J)(2) AND PERTAINS TO THE BURIALS AND BURIAL APPLICATIONS FOR THE CENTRAL WISCONSIN VETERANS MEMORIAL CEMETERY AT KING INCLUDING BURIAL REQUESTS FOR NON-MEMBER VETERANS.

EVENT = PERMANENT.

Dept #: /004/ Department Name: FISCAL SERVICES - LOAN RECORDS

RDA # RDA Title Retention Disposition PII

00009000. PAID VETERANS LOANS EVT+7 DEST Y

| RDA # | RDA Title | Retention | Disposition | PII |
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This record series contains loans that originated from several veterans loan programs. Loans included may be:

- Consumer Loan Program (CLP).
- Economic Assistance Loan Program (EAL).
- Home Improvement Loan Program (HILP).
- Personal Loan Program (PLP).
- Second Mortgage Housing Loans (SMHL).

These loan files may consist of the loan application, disbursement authority, co-signer letters of intent, child support verification, credit report, loan commitment, employment and deposit verification, disclosure statements, photographs, appraisal, mortgage note or chattel security agreement, title insurance policy, truth-in-lending statements and tax statements.

Loan files are sent to the State Records Center when satisfied.

Box 16: Confidential Information is contained within these files and are to be destroyed confidentially per Wis. Stats. § 45.04.

EVT = Loan Satisfied; EVT + 7 yrs; Destroy Confidential

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| <u>00021000.</u> | <u>PRIMARY MORTGAGE HOUSING LOANS</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
|-------------------------|----------------------------------------------|---------------------|--------------------|-----------------|

SECTION 45.30 OF THE WISCONSIN STATUTES PROVIDES THAT THE DEPARTMENT MAY MAKE PRIMARY MORTGAGE HOUSING LOANS TO DLIGIBLE VETERANS FOR THE PURCHASE OF A MOBILE HOME, AN EXISTING HOME AND ELIGIBLE REHABILATION, CONSTRUCTION OF A NEW HOME AND FOR THE REFINANCING OF EXISTING MORTGAGE INDEBTEDNESS.

A FILE IS ESTABLISHED FOR CORRESPONDENCE AND FORMS USED IN PROCESSING LOAN REQUETS AND LOAN PAYMENTS SUCH AS THE LOAN APPLICATION, DISBURSEMENT AUTHORITY, CREDIT REPORT, MORTGAGE LOAN COMMITMENT, EMPLOYMENT AND DEPOSIT VERIFICATION, DISCLOSURE STATEMENT, PHOTOGRAPHS, SALES MEMORANDA, APPRAISAL REPORT, MORTGAGE NOTE OR CHATTEL SECURITY AGREEMENT, FLOOR PLANS, TITLE INSURANCE POLICY, SPECIFICATIONS, TAX STATEMENTS, CHECK LIST AND SATISFACTION OR MORTGAGE.

THE FILE IS FORWARDED TO THE STATE RECORDS CENTER WHEN THE LOAN IS SATISFIED. AS OF JULY 20, 2000, ANY LOAN FILES PREVIOUSLY SENT TO THE STATE RECORDS CENTER UNDER RDS00021B TITLE "UNSATISFACTORY PAYMENT HISTORY PRIMARY MORTGAGE HOUSING LOANS" WERE INCLUDED WITH RECORDS SENT UNDER THE RDA 00021. WIS. STAT. S. 45.34(1).

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| <u>00021A00.</u> | <u>UNCOLLECTIBLE PRIMARY MORTGAGE HOUSING LOANS</u> | <u>EVT+20</u> | <u>DEST</u> | <u>Y</u> |
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Wis. Stats. §§ 45.30 - 45.37 governs the Veterans Housing Loan program (Primary Mortgage).

These loans are comparable to those described in schedule RDA 00021, but these loans have not been satisfied and the balance remaining was written-off as uncollectible. These files are retained for a longer period of time because of the outstanding balance on the loan.

These loan files may consist of the loan application, disbursement authority, co-signor letters of intent, child support verification, credit report, mortgage loan commitment, employment and deposit verification, disclosure statements, photographs, appraisal, mortgage note, title insurance policy, truth-in-lending statements and tax statements.

These records contain confidential information and are destroyed confidentially per Wis. Stats. § 45.04.

EVENT: Later date of write-off or judgment

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| <u>00147000.</u> | <u>UNCOLLECTIBLE VETERANS LOANS</u> | <u>EVT+20</u> | <u>DEST</u> | <u>Y</u> |
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The record series contains loans that have not been satisfied and were written off as uncollectible. The loans originated from several veterans loan programs and are being combined as they are all using the same or similar funding. RDA 0021A remains separate due to a different funding source:

- * Consumer Loan Program in accordance with 1995 Wis. Stats. § 45.356 and is comparable to the series described in RDA 00093
- * Economic Assistance Loan Program in accordance with Wis. Stats. § 45.351(2) and is comparable to the series described in RDA 00009
- * Home Improvement Loan Program in accordance with Wis. Stats. § 45.34(1)(c) and is comparable to the series described in RDA 00066
- * Personal Loan Program in accordance with Wis. Stats. § 45.42 and is comparable to the series described in RDA 00116
- * Second Mortgage Housing Loan in accordance with 1989 Wis. Stats. § and is comparable to the series described in RDA 00008.

These loan files may consist of the loan application, disbursement authority, co-signor letters of intent, child support verification, credit report, loan commitment, employment and deposit verification, disclosure statements, photographs, appraisal, mortgage note or chattel security agreement, title insurance policy, truth-in-lending statements and tax statements.

These loans files are maintained for a longer period of time because of the outstanding balance due. The twenty-year retention begins with the date the loans were written-off or the date of judgment whichever occurs last.

Confidential information is contained within these files and are to be destroyed confidentially per Wis. Stats. § 45.04.

Dept #: /004/ Department Name: FISCAL SERVICES - LOAN RECORDS

| RDA # | RDA Title | Retention | Disposition | PII |
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EVENT: last occurring write-off/judgment date

Dept #: /005/ Department Name: FISCAL SERVICES - FISCAL RECORDS

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00131000.</u> | <u>MAINTENANCE INVENTORY RECORD ISSUE</u> | <u>CR+0/1</u> | <u>DEST</u> | <u>N</u> |
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RECORD OF INVENTORY PARTS CHECKED OUT BY MAINTENANCE STAFF.

EVENT = CR + 1 MONTH AND DESTROY

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| <u>00132000.</u> | <u>RETURN GOODS RECORDS</u> | <u>CR+1</u> | <u>DEST</u> | <u>N</u> |
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RECORD OF RETURNED GOODS TO VENDOR.

EVENT = CR + 1 YEAR AND DESTROY

Dept #: /006/ Department Name: BUDGET AND FACILITIES - BUDGET

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00022000.</u> | <u>BUILDING PROJECT FILES STATE FUNDED</u> | <u>EVT+10</u> | <u>DEST</u> | <u>N</u> |
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BUILDING PROJECT FILES HAVE BEEN ESTABLISHED FOR CONSTRUCTION PROJECTS UNDERTAKEN AT THE WISCONSIN DEPARTMENT OF VETEARNS AFFAIRS UNDER THE AGENCY BUILDING PROGRAM. PROJECTS ARE TWO TYPES; MAJOR PROJECTS WITH A COST OF \$760,000 OR MORE AND MINOR PROJECTS WITH A COST OF LESS THAN \$760,000. MAJOR PROJECTS MAY HAVE SUB-FILES FOR DIFFERENT ASPECTS OR CONTRACTORS FOR THE PROJECT. PROJECTS COMPLETED WITH STATE FUNDS ONLY NEED TO BE RETAINED FOR 10 YEARS AFTER THE PROJECT COMPLETION DATE. THE DATE CLOSED IS 10 YEARS AFTER PROJECT COMPLETION.

RETENTION: EVENT(PROJECT COMPLETION) + 10 YEARS AND DESTROY.

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| <u>00032000.</u> | <u>BUILDING PROJECT FILES JOINT STATE AND FEDERAL FUNDED</u> | <u>EVT+20</u> | <u>DEST</u> | <u>N</u> |
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BUILDING PROJECT FILES HAVE BEEN ESTABLISHED FOR CONSTRUCTION PROJECTS UNDERTAKEN AT THE WISCONSIN DEPARTMENT OF VETERANS AFFAIRS UNDER THE AGENCY BUILDING PROGRAM. PROJECTS ARE OF TWO TYPES: MAJOR PROJECTS WITH A COST OF \$760,000 OR MORE AND MINOR PROJECTS WITH A COST OF LESS THAN \$760,000. MAJOR PROJECTS MAY HAVE SUB-FILES FOR DIFFERENT ASPECTS OR CONTRACTORS FOR THE PROJECT.

PROJECTS THAT HAVE RECIVED FEDERAL GRANT ASSISTANCE NEED TO BE RETAINED FOR 20 YEARS AFTER THE PROJECT COMPLETION DATE, WHICH IS THE DATE AGREED UPON BY THE AGENCY AND FEDERAL AUTHORITY. THE DATE CLOSED IS 20 YEARS AFTER PROJECT COMPLETION.

RETENTION: EVENT(PROJECT COMPLETION) + 10 YEARS AND DESTROY.

Dept #: /007/ Department Name: OFFICE OF LEGAL COUNSEL

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00142000.</u> | <u>LEGAL CASE FILES, EMPLOYMENT</u> | <u>EVT+12</u> | <u>DEST</u> | <u>Y</u> |
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Legal case files on any employment action in state or federal court or any administrative agency. These files must be treated as limited access, confidential, and containing personally identifiable information because they could contain any or all essential elements detailed below.

* personally identifying information 19.80(3)(a) Wis. Stats., VA 1.10(16), Wis. Admin. Code

* medical information Pub. L. No. 104-191, 110 Stat. 1936 (1996), VA 1.10(6), Wis. Admin. Code

Dept #: /007/ Department Name: OFFICE OF LEGAL COUNSEL

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- * investigation reports 45.04(4) Wis. Stats.
- * service and separation records and/or those provided by the US Department of Veterans Affairs 45.04(2) Wis. Stats. VA 1.10(1), Wis. Admin. Code
- * personnel records VA 1.10 (2), Wis. Admin Code
- * information on applications for benefits pending or adjudicated VA 1.10(3), Wis. Admin. Code
- * Federal military records, such as DD-214s, cannot be released until 62 years after the servicemember's separation from the military 36 CFR 1228.168. However, as long as the records in this series are destroyed confidentially, and not related to the Historical Society or anyone else, this does not affect the necessary retention period.

EVENT = case closing

00143000. LEGAL CASE FILES, VETERANS BENEFIT APPEALS EVT+2 DEST Y

Legal case files on any veterans appeals to include appeals hearings, decisions and denials for benefits. Due to essential elements detailed below, these files must be treated as limited access, confidential, and containing personally identifiable information.

- * personally identifying information Wis. Stats. § 19.80(3)(a), Wis. Admin. Code VA 1.10(16).
- * medical information Pub. L. No. 104.191, 110 stat. 1936 (1996), Wis. Admin. Code VA 1.10(6).
- * monetary details of benefits Wis. Stat. § 45.04(6).
- * loan information Wis. Stat. § 45.04(7), Wis. Admin. Code VA 1.10(7).
- * service and separation documents and/or those provided by the US Department of Veterans Affairs records under Wis. Stats § 45.04(2), Wis. Admin. Code VA 1.10(1).
- * information on applications for benefits pending or adjudicated Wis. Admin. Code VA 1.10(3).
- * Federal military records, such as DD-214s, cannot be released until 62 years after the servicemember's separation from the military 36 CFR § 1228.168. However, as long as the records in this series are destroyed confidentially, and not released to the Historical Society or anyone else, this does not affect the necessary retention period.

EVENT = case closing

00144000. LEGAL CASE FILES, COLLECTIONS EVT+25 DEST Y

Legal case files on any loan or other collection action in state or federal court. These are the files created by the Office of Legal Counsel containing only necessary documents from initiation to conclusion of the legal collection action. These files must be treated as limited access, confidential, and containing personally identifiable information because they may contain any or all essential elements detailed below.

- * personally identifying information Wis. Stats. § 19.80(3)(a), Wis. Admin. Code VA 1.10(16).
- * monetary details of benefits Wis. Stat. § 45.04(6).
- * loan information Wis. Stat. § 45.04(7), Wis. Admin. Code VA 1.10(7).
- * information on applications for benefits pending or adjudicated Wis. Admin. Code VA 1.10(3).

EVENT = case closed

Dept #: /010/ Department Name: ENTERPRISE SERVICES - HUMAN RESOURCES

RDA # RDA Title Retention Disposition PII

00125000. BACKGROUND CHECKS EVT+6/6 DEST Y

BACKGROUND CHECKS ARE SECURELY MAINTAINED IN ACCORDANCE WITH CHAPTER 246.060(7), (8) OF THE "WI HUMAN RESOURCES HANDBOOK" AND WI S.S 893.53. THE DEPARTMENT OF VETERANS AFFAIRS AND VETERANS HOMES IN KING AND UNION GROVE HAVE BEEN APPROVED TO CONDUCT BACKGROUND CHECKS ON ALL EMPLOYEES (CHAPTER 246, ATTACHMENT 2).

THE RECORD SERIES MAY INCLUDE RESULTS FROM THE DEPARTMENT OF JUSTICE, WI CRIMINAL BACKGROUND CHECK PROCESS, THE DEPARTMENT OF HEALTH, THE DEPARTMENT OF CHILDREN % FAMILIES, THE CAREGIVER BACKGROUND CHECK, WI CONSOLIDATED COURT AUTOMATION PROGRAM, WI CAREGIVER MISCONDUCT REGISTRY, THE WI SEX OFFENDER REGISTRY, AS WELL AS ANY OTHER APPLICABLE ON-LINE DATABASES (E.G., PROFESSIONAL LICENSE AND CREDENTIAL HISTORY AND STATUS AT THE WI DEPT OF REGULATION AND LICENSING). OUT OF STATE BACKGROUND CHECKS, ADDITIONAL INFORMATION AND COURT DOCUMENTS OF PENDING CHARGES AND CONVICTION RECORD INFORMATION MAY ALSO BE INCLUDED.

AS OF JUNE 2008 THE DEPARTMENT OF VETERANS AFFAIRS HAS ADOPTED THE POLICY FOR RETENTION AND DISPOSITION OF BACKGROUND CHECKS IN ACCORDANCE WITH THE OFFICE OF EMPLOYEE RELATIONS WISCONSIN HUMAN RESOURCES HANDBOOK, CHAPTER 246. PRIOR TO THIS DATE, THE RECORDS WERE MAINTAINED UNDER GENERAL RECORDS SCHEDULE FOR PERSONNEL AND RELATED RECORDS PERS008, INTERVIEW DOCUMENTATION.

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00069000.</u> | <u>COMMANDANT'S ADMINISTRATIVE RECORDS</u> | <u>CR+6</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORD SERIES IS BEING MAINTAINED IN ACCORDANCE WITH WIS ADMIN CODE VA 6.02(11) AND HIPAA 45 CFR 164.53(J)(2). | | | |
| | RECORD SERIES CONTAIN INCOMING AND OUTGOING CORRESPONDENCE RELATING TO THE OPERATIONS OF THE HOME INCLUDING STATUS OPERATIONAL REPORTS FROM THE VARIOUS BUREAUS, STATUS OF EMPLOYEES AND MEMBERS, CONSTRUCTION, FACILITY AND VARIOUS OTHER MANAGEMENT AND STATISTICAL REPORTS. THE INFORMATION COMPILED IN THIS SERIES IS ADMINISTRATIVE IN NATURE AND CONTAINS A MIX OF REFERENCE MATERIAL AND COPIES OF OTHER RECORD SERIES UTILIZED BY THE COMMANDANT TO MANAGE THE DAY TO DAY OPERATION OF THE HOME. | | | |
| | THIS SERIES IS MAINTAINED BY THE COMMANDANT OFFICE FOR A PERIOD OF 6 YEARS. | | | |
| | EVENT = CR + 6 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00070000.</u> | <u>KING VETERANS HOME SPECIAL FUNCTIONS</u> | <u>CR+2</u> | <u>DEST</u> | <u>N</u> |
| | THIS SERIES IS MAINTAINED IN ACCORDANCE WITH DHS 132.45(6)(A) AND CONTAINS REQUESTS FOR ANNUAL PICNICS, DINNERS AND PARTIES. THE FUNCTION ORDER SHEETS, NOTES CONCERNING THE PREPARATION FOR THE EVENT, NUMBER OF PEOPLE THAT WILL ATTEND, AMOUNTS OF FOOD REQUIRED AND TYPES OF FOOD TO BE USED. | | | |
| | THIS SERIES IS MAINTAINED FOR A PERIOD OF 2 YEARS. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY. | | | |
| <u>00071000.</u> | <u>DIETARY WORK PRODUCTION</u> | <u>CR+2</u> | <u>DEST</u> | <u>N</u> |
| | THIS SERIES IS MAINTAINED IN ACCORDANCE WITH DHS 132.45(4)(F) AND 132.45(6)(B) AND CONTAINS SCHEDULES FOR COOKS AND SERVICE STAFF, WHICH ARE CREATED AND USED BY THE FOOD PRODUCTION MANAGERS. THIS SERIES IS SOMETIMES REFERRED TO FOR THE PRICING OF SPECIAL FUNCTION MEALS. | | | |
| | THIS SERIES IS MAINTAINED FOR A PERIOD OF 2 YEARS. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY. | | | |
| <u>00072000.</u> | <u>FOOD TEMPERATURE - DIETARY</u> | <u>CR+2</u> | <u>DEST</u> | <u>N</u> |
| | THIS RECORD SERIES CONTAINS A RECORD OF DATE, TIME AND TEMPERATURE OF ALL FOOD ITEMS. | | | |
| | EVENT = CREATION + 2 YEAR AND DESTROY | | | |
| <u>00073000.</u> | <u>MENUS AND THERAPEUTIC DIETS</u> | <u>CR+2</u> | <u>DEST</u> | <u>Y</u> |
| | THE RECORD SERIES IS MAINTAINED ACCORDING TO DHS 132.45(4)(F), 132.45(6)(A), 132.63(4)(A)(B) AND HIPAA 45 CFR 164.53(J)(2) AND CONSISTS OF MEMBER NUTRITIONAL ASSESSMENTS AND MENUS BASED ON CLINICAL INFORMATION WHICH IS TRACKED BY MEMBER. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00085000.</u> | <u>VETERANS HOME POLICIES FOR MEMBER CARE</u> | <u>EVT+6</u> | <u>SHSW</u> | <u>N</u> |
| | THIS RECORD SERIES IS MAINTAINED IN ACCORDANCE WITH DHS 132.60. | | | |
| | THE POLICIES IN THIS RECORD SERIES DESCRIBE THE REQUIREMENTS FOR THE CARE OF MEMBERS AT THE VETERANS HOME AND PROVIDE FOR THE OVERALL HEALTH, WELFARE AND GENERAL CARE A MEMBER WILL RECEIVE AND SET THE REQUIREMENTS THAT A MEMBER WILL FOLLOW WHILE IN THE HOME. IN ADDITION TO THE CARE OF MEMBERS, IT SETS THE GUIDELINES FOR THE CONTROL OF INFECTION WITHIN THE HOME. THE ORIGINAL COPY OF THE GUIDELINES IS HELD IN THE VETERANS HOME ADMINISTRATIVE OFFICE. | | | |
| | THIS SERIES WILL BE MAINTAINED FOR A PERIOD OF 6 YEARS FROM THE DATE OF THE SUPERSEDING POLICY AND THEN TRANSFERRED TO THE WISCONSIN HISTORICAL SOCIETY. BUREAU COPIES MAY BE DESTROYED UPON BEING SUPERSEDED. | | | |
| | EVENT = SUPERSEDED + 6 YEARS AND TRANSFER TO STATE ARCHIVES. | | | |
| <u>00086000.</u> | <u>INFECTION CONTROL POLICIES</u> | <u>EVT+6</u> | <u>DEST</u> | <u>N</u> |
| | THIS SERIES IS MAINTAINED IN ACCORDANCE WITH DHS 124.08 BY ALL BUREAUS AND PROVIDES THE POLICIES FOR THE CARE OF THE MEMBERS AND THE REQUIREMENTS INVOLVED IN THE CONTROL OF INFECTION THROUGHOUT THE HOME. THE ORIGINAL COPY IS MAINTAINED BY THE HOME ADMINISTRATION OFFICE WHICH IS RESPONSIBLE FOR ITS ISSUANCE AND REVISIONS AS REQUIRED. THE ORIGINAL IS MAINTAINED FOR A PERIOD OF 6 YEARS FROM DATE OF SUPERSEDING | | | |

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| RDA # | RDA Title | Retention | Disposition | PII |
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| | POLICY. BUREAU AND SECTION COPIES MAY BE DESTROYED UPON BEING SUPERSEDED. | | | |
| | EVENT = SUPERSEDED + 6 YEARS AND DESTROY. | | | |
| <u>00094000.</u> | <u>HEALTH CARE COMMITTEE MEETING MINUTES</u> | <u>CR+3</u> | <u>DEST</u> | <u>Y</u> |
| | THESE COMMITTEE MEETING MINUTES ARE MAINTAINED PER DHS 124.08 AND HIPAA 45 CFR 164.53(J)(2) FOR THE MONTHLY HEALTH CARE COMMITTEE MEETING. THE COMMITTEE IS MADE UP OF A STAFF MEMBER FROM EACH BUREAU OF THE HOME THAT PROVIDES HEALTH CARE. LAUNDRY AND MATERIALS MANAGEMENT STAFF EXCLUDED. | | | |
| | THE MINUTES CONTAIN INFORMATION FROM DISCUSSIONS OF HEALTH CARE ISSUES SUCH AS ACCIDENT AND INCIDENT REPORTS, VACCINATIONS AND IMMUNIZATION OF STAFF, HEPATITIS, FLU, VIRUS, STATUS OF HOME ACTIVITIES, REPORT FORMS, PROCEDURES, ENVIRONMENT AND EQUIPMENT NEEDS. NEW PROCEDURES ARE FIELDDED AND DRAFTS ARE DISCUSSED. | | | |
| | ORIGINAL MINUTES ARE MAINTAINED FOR 3 YEARS. COPIES HELD BY COMMITTEE MEMBERS SHOULD NOT EXCEED 1 YEAR RETENTION. | | | |
| | EVENT = CR + 3 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00095000.</u> | <u>INFECTION CONTROL COMMITTEE MEETING MINUTES</u> | <u>CR+5</u> | <u>DEST</u> | <u>Y</u> |
| | THESE COMMITTEE MEETING MINUTES ARE MAINTAINED PER DHS 124.08 AND HIPAA 45 CFR 164.53(J)(2) AND CONTAIN INPUT AND DISCUSSION OF INFECTIONS, WHICH INCLUDES PARTICIULAR INCIDENTS. THE COMMITTEE WILL INVESTIGATE, TRY TO ESTABLISH THE CAUSE, LOOK FOR COMMON SOURCE OF OUTBREAK AND DISCUSS WAYS TO PREVENT FUTURE OUTBREAKS. THE COMMITTEE WILL RECOMMEND THE APPROPRIATE POLICIES AND PROCEDURES TO PREVENT FUTURE REOCCURRENCE OF INFECTIONS. THE COMMITTEE COMPOSITION INCLUDES, BUT IS NOT LIMITED TO, MEDICAL, NURSING AND LABORATORY STAFF AND THE PHYSICIAN. | | | |
| | ORIGINAL MINUTES ARE MAINTAINED FOR A PERIOD OF 5 YEARS. COPIES HELD BY COMMITTEE MEMBERS SHOULD NOT EXCEED A 1 YEAR RETENTION. | | | |
| | EVENT = CR + 5 YEARS AND DESTROY CONFIDENTIAL | | | |
| <u>00098000.</u> | <u>INSERVICE TRAINING</u> | <u>CR+2</u> | <u>DEST</u> | <u>N</u> |
| | THIS RECORD SERIES IS MAINTAINED ACCORDING TO DHS 132.44, 132.45(4)(F) AND 132.45(6)(F) AND PROVIDES THE INFORMATION PRESENTED FOR INSERVICE TRAINING FOR STAFF. THE ORIGINALS ARE MAINTAINED BY THE AUTHOR AND COPIES ARE PROVIDED TO STAFF WHEN INSERVICE TRAINING IS MISSED OR NEW STAFF IS ASSIGNED. THE ORIGINAL PRESENTATION IS MAINTAINED TO PROVIDE A RECORD OF INSERVICES GIVEN. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY. | | | |
| <u>00117000.</u> | <u>MEMBER ABUSE, NEGLECT, MISSING PROPERTY, AND IMJURY OF UNKNOV</u> | <u>EVT+6</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORD SERIES IS MAINTAINED ACCORDING TO WISCONSIN STATUTES 893.51, 893.54, 893.55 AND HIPAA CFR 164.53(J)(2) AND ARE CREATED BY A INTERDISCIPLINARY COMMITTEE WHICH INCLUDES NURSING, SOCIAL SERVICES AND SECURITY STAFF WITH INPUT FROM ALL BUREAU DIRECTORS, SUPERVISORS AND LINE STAFF. | | | |
| | INCLUDED IN THIS SERIES IS THE TYPE OF INCIDENT, ASSESSMENT OF THE MEMBER (BOTH PHYSICAL AND COGNITIVE), WITNESS STATEMENTS, WHO WAS NOTIFIED, WHEN NOTIFIED AND A SUPERVISORY SUMMARY OF THE INCIDENT WITH AT LEAST ONE FOLLOW UP WITHIN 30 DAYS WITH MORE FELLOW UPS IF NECESSARY. | | | |
| | THE REPORTS ARE MOST OFTEN USED BY THE NURSING, SECURITY AND SOCIAL SERVICES STAFF TO ASSURE THE MEMBERS SAFETY AND TO TRACK PROBLEMS OR PATTERNS SO AN INVESTIGATION CAN BE MADE AND ACTED UPON. THE FORMS ARE ALSO REVIEWED BY THE BUREAU OF QUALITY ASSURANCE SURVEYORS AND THE VETERANS ADMINISTRATION SURVEYORS TO ASSURE COMPLIANCE WITH STATE AND FEDERAL REGULATIONS PERTAINING TO THE HEALTH AND SAFETY OF THE MEMBERS. | | | |
| | EVENT = DATE OF DISCHARGE OR DEMISE + 6 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00134000.</u> | <u>KEY ISSUANCE AGREEMENT RECORDS</u> | <u>EVT+2</u> | <u>DEST</u> | <u>N</u> |
| | RECORD OF AGREEMENTS WITH STAFF, CONTRACTORS AND VOLUNTEERS REGARDING ISSUANCE OF KEYS AT WVH-KING. | | | |
| | EVENT = AFTER SEPARATION OR INVOLVEMENT WITH WVH-KING + 2 YEARS AND DESTROY | | | |
| <u>00137000.</u> | <u>SANITATION RECORDS FOR DIETARY</u> | <u>CR+4</u> | <u>DEST</u> | <u>N</u> |
| | THIS RECORD SERIES IS MAINTAINED ACCORDING TO DHS 132.63(7) AND INCLUDES TEMPERATURES RELATED TO THE WATER USED IN THE DISHWASHERS. | | | |

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| RDA # | RDA Title | Retention | Disposition | PII |
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EVENT = CR + 4 YEARS AND DESTROY.

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| <u>00141000.</u> | <u>TEMPERATURE AND SANITATION RECORDS FOR KING CAFE</u> | <u>CR+2</u> | <u>DEST</u> | <u>N</u> |
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THIS RECORD SERIES IS MAINTAINED ACCORDING TO DHS 132.45(4)(F) AND 132.63(7) FOR REFRIGERATION AND SANITATION INFORMATION.

EVENT = CR + 2 YEARS AND DESTROY.

Dept #: /014/ Department Name: VETERANS HOMES - KING ADMISSIONS RECORDS

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00133000.</u> | <u>ADMISSION AND DISCHARGE RECORDS - DISCHARGED MEMBERS</u> | <u>EVT+6</u> | <u>SHSW</u> | <u>Y</u> |
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THIS RECORD SERIES IS MAINTAINED ACCORDING TO DHS 132.45(4)(F), DHS 132.52, DHS 132.53(5)(I) AND HIPAA 164.53(J)(2) AND PERTAINS TO MEMBER ADMISSION AND DISCHARGE INFORMATION FOR MEMBERS WHO DISCHARGE. CONTAINS IDENTIFIABLE AND CONFIDENTIAL INFORMATION.

EVENT = DATE OF DISCHARGE + 6 YEARS AND TRANSFER TO STATE ARCHIVES (WHS).

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| <u>00135000.</u> | <u>ADMISSION AND DISCHARGE RECORDS - DECEASED MEMBERS</u> | <u>EVT+6</u> | <u>SHSW</u> | <u>Y</u> |
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THIS RECORD SERIES IS MAINTAINED ACCORDING TO DHS 132.45(4)(F), DHS 132.52, DHS 132.53 AND HIPAA 45 CFR 164.53(J)(2) AND PERTAINS TO MEMBER ADMISSIONS AND DISCHARGES FOR DECEASED MEMBERS. CONTAINS IDENTIFIABLE AND CONFIDENTIAL INFORMATION.

EVENT = DATE OF DEMISE + 6 YEARS AND TRANSFER TO STATE ARCHIVES (WHS).

Dept #: /015/ Department Name: VETERANS HOMES - KING MEDICAL RECORDS

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00045000.</u> | <u>MEMBER MEDICAL RECORDS</u> | <u>EVT+5</u> | <u>DEST</u> | <u>Y</u> |
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The retention for this series is covered by 38 C.F.R. § 51 and Wis. Admin. Code DHS ch. 132.54.

These records contain the medical history of members from entry in a Veterans Home until death or discharge. The medical records contain clinical information (i.e. personal/legal information, care plans, doctor's orders, nurse notes, diagnostic and ancillary history, wellness plans, rehabilitation, dietary needs and activities.)

Box 16 Confidential Content: The release of confidential information which may be included in medical record documents are protected by Wis. Stats. §§ 45.04 and 146.82(1). Patient health care records are also protected by the Health Insurance Portability and Accountability Act of 1996 (HIPAA). See 42 U.S.C. § 1320d-2, 45 C.F.R. pts 160 and 164.

EVENT = Date of death or discharge

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| <u>00068000.</u> | <u>DENTAL SERVICES RECORDS - DISCHARGED</u> | <u>EVT+6</u> | <u>DEST</u> | <u>Y</u> |
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THIS RECORD SERIES IS MAINTAINED IN ACCORDANCE WITH DHS 132.45(4)(B), 132.459(5)(B) AND HIPAA 45 CFR 164.53(J)(2) AND CONTAINS INFORMATION ON DENTAL SERVICES FOR MEMBERS OF THE HOME. RECORDS INCLUDE MEMBER DENTAL DIAGNOSIS, XRAY AND TREATMENT. THESE RECORDS ARE MAINTAINED WHILE THE MEMBER RESIDES AT THE HOME UNTIL 6 YEARS FROM DATE OF DEMISE.

EVENT = DATE OF DEMISE + 6 YEARS AND DESTROY CONFIDENTIAL.

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|------------------|---------------------------------------------|--------------|-------------|----------|
| <u>00068A00.</u> | <u>DENTAL SERVICES RECORDS - DISCHARGED</u> | <u>EVT+6</u> | <u>DEST</u> | <u>Y</u> |
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THIS RECORD SERIES IS MAINTAINED IN ACCORDANCE WITH DHS 132.45(4)(B), 132.45(5)(B) AND HIPAA 45 CFR 164.53(J)(2) AND CONTAINS INFORMATION ON DENTAL SERVICES FOR MEMBERS OF THE HOME. RECORDS INCLUDE MEMBER DENTAL DIAGNOSIS, XRAY AND TREATMENT. THESE RECORDS ARE MAINTAINED WHILE THE MEMBER WHILE THE MEMBER RESIDES AT THE HOME AND 6 YEARS FROM THE DATE OF DISCHARGE.

| RDA # | RDA Title | Retention | Disposition | PII |
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| | EVENT = DATE OF DISCHARGE + 6 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00083000.</u> | <u>NURSING STATION REVIEWS</u> | <u>CR+2</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORD IS MAINTAINED IN ACCORDANCE WITH REQUIREMENTS OF DHS 132.45(4)(F) AND HIPAA 45 CFR 164.53(J)(2). THESE RECORDS CONTAIN THE NURSING STATION REVIEW OF THE MEDICATIONS DESCRIBED BY THE PHYSICIAN. THESE REVIEWS ARE COMPLETED BY THE RN ON DUTY AND A PHARMACIST. | | | |
| | THESE RECORDS ARE MAINTAINED FOR A PERIOD OF 2 YEAR. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00088000.</u> | <u>PUBLISHED RESEARCH PROJECTS</u> | <u>P</u> | <u>PERM</u> | <u>Y</u> |
| | THESE RECORDS ARE MAINTAINED BY THE MEDICAL DIRECTOR ACCORDING TO DHS 132.45(6)(E)(3) AND HIPAA 45 CFR 164.53(J)(2) TO PROVIDE A HISTORY OF MEDICAL RESEARCH CONDUCTED AT THE HOME. | | | |
| | THIS RECORD SERIES CONTAINS THE MASTER COPY OF ALL PUBLISHED MEDICAL RESEARCH COMPLETED BY THE HOME INVOLVING THE MEDICAL CARE OF THE ELDERLY. | | | |
| | THE ORIGINAL RECORD IS CONSIDERED A PERMANENT RECORD. COPIES MAY BE DESTROYED AT THE DISCRETION OF THE HOLDER. | | | |
| | PERMANENT | | | |
| <u>00091000.</u> | <u>PHYSICIAN'S ORDERS FOR X-RAYS</u> | <u>CR+2</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORD SERIES IS MAINTAINED ACCORDING TO DHS 132.45(5)(B)(2) AND HIPAA 164.53(J)(2). THE ORIGINAL ORDERS ARE PART OF THE MEDICAL RECORDS (RDA #45 AND #45A) AND COPY IS MAINTAINED BY THE RADIOLOGY STAFF FOR TWO YEARS FROM THE DATE OF ORDER. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00092A00.</u> | <u>CLINICAL X-RAYS (DEMISED MEMBERS)</u> | <u>EVT+6</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORD IS MAINTAINED IN ACCORDANCE WITH DHS 124.18(1)(E)(4) AND HIPAA 45 CFR 164.53(J)(2) AND INCLUDE XRAY FILMS AND A COPY OF THE UNSIGNED REPORTS DICTATED BY THE RADIOLOGIST. ORIGINAL SIGNED REPORTS ARE FILED IN THE MEDICAL RECORDS (RDA 45). | | | |
| | DEMISED MEMBER RECORDS ARE MAINTAINED FOR A PERIOD OF 6 YEARS FROM DATE OF DEMISE. | | | |
| | EVENT = DATE OF DEMISE + 6 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00092B00.</u> | <u>CLINICAL X-RAYS (DISCHARGED MEMBERS)</u> | <u>EVT+6</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORD IS MAINTAINED IN ACCORDANCE WITH DHS 124.18 (1)(E)(4) AND HIPAA 45 CFR 164.53(J)(2) AND INCLUDES XRAY FILMS AND A COPY OF THE UNSIGNED REPORT DICTATED BY THE RADIOLOGISTS. ORIGINAL SIGNED REPORTS ARE FILED IN THE MEDICAL RECORDS (RDA #45A). | | | |
| | THE RECORDS ARE MAINTAINED FOR A PERIOD OF NOT LESS THAN 6 YEARS FROM THE DATE OF DISCHARGE. | | | |
| | EVENT = DATE OF DISCHARGE + 6 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00096000.</u> | <u>PATIENT REPORTS (CLINICAL NOTES)</u> | <u>CR+6</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORD SERIES IS AN INDIVIDUALIZED CLINICAL RECORD WHICH CONTAINS SUBJECTIVE, OBJECTIVE, ASSESSMENTS WHICH REQUIRE ACTION. USUALLY THIS RECORD CONTAINS CLINICAL INFORMATION AND RECOMMENDATIONS THAT ARE SUGGESTIVE IN NATURE WHICH DO NOT REQUIRE ACTIONS. THE ORIGINAL RECORD IS A PERMANENT CLINICAL NOTE PLACED IN THE INDIVIDUAL MEDICAL CHARTS. COPIES ARE MAINTAINED BY THE AUTHOR FOR REFERENCE OF PAST MEDICAL IMPRESSIONS, CLINICAL FINDINGS, FOLLOW UP ON RECOMMENDED TREATMENTS AND THE SUGGESTED COURSE OF ACTION. | | | |
| | EVENT = CR + 6 YEARS AND DESTROY CONFIDENTIAL | | | |
| <u>00097000.</u> | <u>CHART REVIEWS AND PHYSICIANS' CORRESPONDENCE</u> | <u>CR+6</u> | <u>DEST</u> | <u>N</u> |
| | THIS RECORD SERIES CONTAINS THE INITIAL CONTACT WITH ALL PHYSICIANS WHO ASSIST OR WORK AT THE VETERANS HOME AT KING. THE FILES ARE MAINTAINED ON EACH PHYSICIAN OF ALL CORRESPONDENCE, WHICH INCLUDES MEDICAL CORRESPONDENCE, LETTERS FROM AND TO THE PHYSICIAN, NOTES, MEMOS AND CHART REVIEWS TO THE ATTENDING PHYSICIAN. IT PROVIDES MEDICAL CLINICAL INFORMATION AND RECOMMENDATIONS FOR TREATMENTS. THESE RECOMMENDATIONS ARE SUGGESTIVE IN NATURE AND DO NOT REQUIRE ACTION. | | | |
| | EVENT = CR + 6 YEARS AND DESTROY CONFIDENTIAL | | | |

| RDA # | RDA Title | Retention | Disposition | PII |
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| <u>00099000.</u> | <u>QUALITY ASSURANCE SERIES</u> | <u>EVT+2</u> | <u>DEST</u> | <u>N</u> |
| | THIS RECORD SERIES IS MAINTAINED IN ACCORDANCE WITH DHS 124.10 AND MAINTAINS INFORMATION RELATING TO THE INHOUSE REVIEWS OF PROCEDURES. | | | |
| | THIS PROGRAM MONITORS AND EVALUATES THE QUALITY OF PATIENT CARE AND ANCILLARY SERVICES OF THE HOME ON AN ONGOING BASIS. THE PROGRAM PROMOTES THE EFFECTIVE AND EFFICIENT USE OF AVAILABLE HEALTH FACILITIES AND SERVICES CONSISTENT WITH PATIENT NEEDS AND RECOGNIZED STANDS OF HEALTH CARE. THE MEDICAL DIRECTOR AND ADMINISTRATIVE STAFF REVIEW THIS PROGRAM ON A YEARLY BASIS AND PROVIDE STAFF WITH IMPROVED POLICIES AND PROCEDURES. | | | |
| | THIS SERIES IS MAINTAINED FOR A PERIOD OF 2 YEARS FROM DATE OF STUDY COMPLETION. | | | |
| | EVENT = STUDY COMPLETION + 2 YEARS AND DESTROY. | | | |
| <u>00102000.</u> | <u>MEMBER INCIDENT REPORTS</u> | <u>EVT+7</u> | <u>DEST</u> | <u>Y</u> |
| | THESE RECORDS ARE MAINTAINED IN ACCORDANCE WITH DHS 132.45(5), PUB. L. 104.191. | | | |
| | THIS SERIES CONTAINS INFORMATION RELATING TO INCIDENTS AND/OR ACCIDENTS OF MEMBERS DISCOVERED OR OBSERVED BY DEPARTMENTS OTHER THAN NURSING AND SECURITY. THIS INCLUDES THE TIME, PLACE, DETAILS OF INCIDENTS AND/OR ACCIDENTS AND ACTION TAKEN. ORIGINAL RECORDS ARE HELD BY THE DIRECTOR OF NURSING OF EACH NURSING CARE BUILDING. | | | |
| | ORIGINAL RECORDS HELD FOR 7 YEARS. | | | |
| | RETENTION: EVENT(FINAL ACTION TAKEN) + 7 YEARS AND DESTROY CONFIDENTIAL | | | |
| <u>00103000.</u> | <u>NURSING ASSIGNMENT WORKLOAD RECORDS</u> | <u>CR+6</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORD SERIES IS MAINTAINED BY THE DIRECTOR OF NURSING IN ACCORDANCE WITH 45 CFR 164.530. | | | |
| | THESE RECORDS PROVIDE THE NURSING ASSISTANTS WITH A ROOM BY ROOM ASSIGNMENT OF WORK TO BE ACCOMPLISHED AND WHAT CARE SHOULD BE PROVIDED TO THE MEMBER. THE RECORDS DOCUMENT THE CARE PROVIDED AS WELL AS IDENTIFYING ANY SPECIFIC PROBLEMS. | | | |
| <u>00104000.</u> | <u>MAINTENANCE AND SERVICE RECORDS FOR LAB</u> | <u>CR+2</u> | <u>DEST</u> | <u>N</u> |
| | THIS RECORD SERIES IS MAINTAINED IN ACCORDANCE WITH 42 CFR 493.11059(A)(3) TO PROVIDE A WRITTEN RECORD OF ROUTINE AND PREVENTATIVE MAINTENANCE PERFORMED ON LABORATORY EQUIPMENT. RECORDS ARE MAINTAINED FOR 2 YEARS. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY. | | | |
| <u>00105000.</u> | <u>WORKLOAD RECORDING FOR LAB</u> | <u>CR+2</u> | <u>DEST</u> | <u>N</u> |
| | THIS RECORD SERIES IS MAINTAINED IN ACCORDANCE WITH 42 CFR 493.1105(A)(3)(I) TO FURNISH STATISTICAL DATA FOR THE ANNUAL REPORT ON THE WISCONSIN VETERANS HOME. THESE RECORDS CONTAIN THE STATISTICS COLLECTED ON THE TYPES OF TESTS PERFORMED BY THE LAB IN A CHRONOLOGICAL ORDER AND ARE MAINTAINED FOR 2 YEARS. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY. | | | |
| <u>00106000.</u> | <u>LABORATORY PROFICIENCY TESTING</u> | <u>CR+2</u> | <u>DEST</u> | <u>N</u> |
| | THIS RECORD SERIES IS MAINTAINED IN ACCORDANCE WITH 42 CFR 493.1105(A)(4) AND IS THE RESULTS OF THE STATE LAB HYGIENE PROFICIENCY TESTING PROGRAM WHICH IS USED TO MAINTAIN FEDERAL CERTIFICATION FOR THE LAB AT THE HOME. THESE RECORDS ARE MAINTAINED FOR 2 YEARS. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY. | | | |
| <u>00107000.</u> | <u>REFERENCE LABORATORY SEND OUT LOG</u> | <u>CR+2</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORD SERIES IS MAINTAINED IN ACCORDANCE WITH 42 CFR 493.11059A)(2) AND HIPAA 45 CFR 164.53(J)(2) TO PROVIDE A WRITTEN RECORD ABOUT THE PROCESSING OF SPECIMENS SENT OUT TO A REFERENCE LAB. THE RECORD PROVIDES PATIENT NAME, TYPE OF TEST, NAME OF REFERENCE LAB AND THE DATE RESULTS WERE RETURNED. RECORD ARE MAINTAINED FOR 2 YEARS. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY CONFIDENTIAL | | | |
| <u>00108000.</u> | <u>TEST RECORDS (DAILY TEST LOGS)</u> | <u>CR+2</u> | <u>DEST</u> | <u>Y</u> |

Dept #: /015/Department Name: VETERANS HOMES - KING MEDICAL RECORDS

| RDA # | RDA Title | Retention | Disposition | PII |
|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|-------------|----------|
| | THESE RECORDS ARE MAINTAINED IN ACCORDANCE WITH 42 CFR 493.1105(A)(2) AND 45 CFR 164.53(J)(2) TO ENSURE RELIABILITY IN THE IDENTIFICATION OF MEMBER SPECIMENS AS THEY PROCESSED AND TESTED TO ASSURE THAT ACCURATE TEST RESULTS ARE REPORTED. RECORDS ARE MAINTAINED FOR 2 YEARS. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00109000.</u> | <u>LABORATORY TEST REPORTS</u> | <u>CR+2</u> | <u>DEST</u> | <u>Y</u> |
| | THESE RECORDS ARE MAINTAINED IN ACCORDANCE WITH 42 CFR 493.1105(A)(6) AND HIPAA 45 CFR 164.53(J)(2) AND PROVIDE RESULTS FROM EACH LAB REQUEST TYPE: CHEMISTRY, HEMATOLOGY, COAGULATION, URINALYSIS, MICROBIOLOGY AND MISCELLANEOUS. | | | |
| | THE ORIGINAL RECORDS ARE HELD IN THE MEMBER CHART (RDA 45 AND 45A) AND A COPY IS MAINTAINED BY THE LABORATORY FOR REFERENCE AND RESEARCH PURPOSES FOR 2 YEARS. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00110000.</u> | <u>QUALITY CONTROL OF LABORATORY</u> | <u>CR+2</u> | <u>DEST</u> | <u>N</u> |
| | THESE RECORDS ARE MAINTAINED IN ACCORDANCE WITH 42 CFR 493.1105(A)(5) AND PROVIDES A DAILY RECORD OF QUALITY CONTROL ACTIVITIES FOR ALL TEST METHODS WHICH ARE PERFORMED BY LAB PERSONNEL. THESE TESTS HELP TO ENSURE ACCEPTABLE INSTRUMENT PERFORMANCE, INTEGRITY OF REAGENTS AND PROPER PROCEDURAL TECHNIQUES WHEN ANALYZING LABORATORY SPECIMENS. ORIGINAL RECORDS ARE MAINTAINED FOR 2 YEARS. | | | |
| | EVENT = CR + 2 YEARS AND DESTROY. | | | |
| <u>00112000.</u> | <u>MONTHLY OCCUPATIONAL THERAPY REPORTS</u> | <u>FIS+2</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORD SERIES IS USED AND MAINTAINED BY THE UNIT SUPERVISOR PER DHS 132.45(4)(F) AND HIPAA 45 CFR 164.53(J)(2). THIS IS A REPORT ON THE ACTIVITIES AND ACCOMPLISHMENTS OF THE UNIT DURING THE PAST FISCAL YEAR. THESE STATISTICS ARE COLLECTED MONTHLY AND THEN CONSOLIDATED INTO AN ANNUAL REPORT OF WHICH A COPY IS GIVEN TO ADMINISTRATION.J | | | |
| | THIS RECORD SERIES IS MAINTAINED WITHIN THE UNIT FOR THE CURRENT FISCAL YEAR AND TWO ADDITIONAL FISCAL YEARS. | | | |
| | EVENT = FIS + 2 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00113000.</u> | <u>THERAPY RECORDS FOR DEMISED MEMBERS</u> | <u>EVT+2</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORDS SERIES IS MAINTAINED ACCORDING TO DHS 124.21 AND HIPAA 45 CFR 164.53(J)(2) BY PHYSICAL, OCCUPATIONAL AND SPEECH THERAPY STAFF TO RECORD AND TRACK A MEMBER'S PROGRESS FROM INITIAL CONSULTATION TO DOCTOR REFERRAL TO FINAL DISMISSAL FROM THERAPY OR DEATH AND IS KEPT IN THE MEMBER THERAPY FILE ON THE UNIT. | | | |
| | ORIGINALS ARE FILED IN THE MEMBER MEDICAL CHART WHICH IS COVERED BY RDA 45. | | | |
| | EVENT = DATE OF DEMISE + 2 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00113A00.</u> | <u>THERAPY RECORDS FOR DISCHARGED MEMBERS</u> | <u>EVT+2</u> | <u>DEST</u> | <u>Y</u> |
| | THIS RECORDS SERIES IS MAINTAINED ACCORDING TO DHS 124.21 AND HIPAA 45 CFR 164.53(J)(2) BY PHYSICAL, OCCUPATIONAL AND SPEECH THERAPY STAFF TO RECORD AND TRACK A MEMBER'S PROGRESS FROM INITIAL CONSULTATION TO DOCTOR REFERRAL TO FINAL DISMISSAL FROM THERAPY OR DISCHARGE FROM THE HOME AND IS KEPT IN THE MEMBERS THERAPY FILE ON THE UNIT. | | | |
| | ORIGINALS ARE FILED IN THE MEMBER MEDICAL CHART WHICH IS COVERED BY RDA 45A. | | | |
| | EVENT = DATE OF DISCHARGE + 2 YEARS AND DESTROY CONFIDENTIAL. | | | |
| <u>00114000.</u> | <u>MONTHLY REPORT FOR PHYSICAL THERAPY</u> | <u>FIS+2</u> | <u>DEST</u> | <u>N</u> |
| | THIS RECORD SERIES IS USED AND MAINTAINED BY THE UNIT SUPERVISOR TO COMPILE AND REPORT ON THE ACTIVITIES AND ACCOMPLISHMENTS OF THE PHYSICAL THERAPY UNIT DURING THE PAST FISCAL YEAR. THESE STATISTICS ARE COLLECTED MONTHLY AND THEN CONSOLIDATED INTO AN ANNUAL REPORT AND A COPY IS GIVEN TO ADMINISTRATION. | | | |
| | RECORDS ARE MAINTAINED WITHIN THE UNIT FOR THE CURRENT FISCAL YEAR PLUS TWO ADDITIONAL FISCAL YEARS. | | | |
| | EVENT = FIS + 2 YEARS & DESTROY. | | | |
| <u>00130000.</u> | <u>NURSING DAILY RECORD</u> | <u>CR+2</u> | <u>DEST</u> | <u>N</u> |

Dept #: /015/ Department Name: VETERANS HOMES - KING MEDICAL RECORDS

RDA # RDA Title Retention Disposition PII

THESE RECORDS ARE MAINTAINED IN ACCORDANCE WITH DHS 132.45(4)(F) AND 132.45(6)(B) FOR PROVIDING A DAILY WORK SCHEDULE TO EACH RESIDENT BUILDING. EMPLOYEES ARE LISTED SHOWING WHAT BUILDING, FLOOR AND SHIFT THEY ARE SCHEDULED TO WORK. ANY CHANGES TO THE SCHEDULE DURING THE SHIFTS ARE DOCUMENTED ON THE NURSING DAILY RECORD SHEET.

EVENT = CR + 2 YEARS AND DESTROY.

Dept #: /016/ Department Name: VETERANS HOMES - KING PHARMACY RECORDS

RDA # RDA Title Retention Disposition PII

00077000. MEMBER PHARMACY RECORD (DISCHARGED) EVT+6 DEST Y

THIS RECORD SERIES IS MAINTAINED IN ACCORDANCE WITH DHS 132.65 AND HIPAA 45 CFR 164.53(J)(2) AND CONTAINS:

RESUME OF MEMBER MEDICATIONS AND TREATMENTS
PHARMACY ORDER SHEETS
PHARMACY ORDER SHEETS (SCHEDULE 2 DRUGS)
PHARMACY ORDER SHEETS (SCHEDULE 3, 4 AND 5 DRUGS)
PHYSICIANS TELEPHONE ORDERS
COPY OF ADMISSION APPLICATION

SERIES IS REFERRED TO AS THE RED ROPE FILES. RECORDS ARE MAINTAINED FROM TIME OF ADMISSION UNTIL MEMBER IS DISCHARGED AND THEN RETAINED FOR 6 YEARS FROM THE DATE OF DISCHARGE. THESE RECORDS ARE RETAINED IN THE EVENT THE MEMBER RETURNS TO THE HOME.

EVENT = DATE OF DISCHARGE + 6 YEARS AND DESTROY CONFIDENTIAL.

00077A00. MEMBER PHARMACY RECORD (DEMISE) EVT+6 DEST Y

THIS RECORD IS MAINTAINED IN ACCORDANCE WITH DHS 132.65 AND HIPAA 45CFR 164.53(J)(2) AND CONTAINS:

RESUME OF MEMBER MEDICATIONS AND TREATMENTS
PHARMACY ORDER SHEETS
PHARMACY ORDER SHEETS (SCHEDULE 2 DRUGS)
PHARMACY ORDER SHEETS (SCHEDULE 3, 4 AND 5 DRUGS)
PHYSICIANS TELEPHONE ORDERS
COPY OF ADMISSION APPLICATION

SERIES IS REFERRED TO AS THE RED ROPE FILES. RECORDS ARE MAINTAINED FROM TIME OF ADMISSION UNTL DEMISE OF MEMBER. THESE RECORDS ARE RETAINED FOR 6 YEARS FROM THE TIME OF DEMISE.

EVENT = DATE OF DEMISE + 6 YEARS AND DESTROY CONFIDENTIAL.

00078000. PHYSICAL INVENTORY - PHARMACY CR+5 DEST N

THIS RECORD IS MAINTAINED IN ACCORDANCE WITH DHS 132.65 AND WIS ADMIN CODE CH CSB 2.

THIS SERIES CONTAINS THE BIENNIAL PHYSICAL INVENTORY OF ALL SCHEDULE II, III, IV AND V CONTROLLED SUBSTANCES.

THESE RECORDS ARE MAINTAINED FOR A PERIOD OF 5 YEARS.

EVENT = CR + 5 YEARS AND DESTROY.

00079000. PHARMACY BULK MEDICINE SUPPLY ORDER (OVER THE COUNTER MEDIC CR+2 DEST Y

THIS RECORD IS MAINTAINED IN ACCORDANCE WITH DHS 132.45(45)(F), 132.65 AND HIPAA 45 CFR 164.53(J)(2). THESE RECORDS CONTAIN THE BULK SUPPLY MEDICAL ORDER FOR OVER THE COUNTER MEDICINES ONLY. THE RECORD INDICATES WHO THE MEDICINES AR ORDERED FOR, TYPES OF MEDICINES ORDERED, AMOUNT ORDERED, WHO FILLED THE ORDER, DELIVERED BY WHOM AND WHO RECEIVED THE ORDER AT THE NURSING STATION.

THESE RECORDS ARE MAINTAINED FOR A PERIOD OF 2 YEARS.

EVENT = CR+ 2 YEARS AND DESTROY CONFIDENTIAL.

00080000. CONTINGENCY KITS (NON-CONTROLLED DRUGS) CR+5 DEST Y

Dept #: /016/ Department Name: VETERANS HOMES - KING PHARMACY RECORDS

RDA # RDA Title Retention Disposition PII

THIS RECORD IS MAINTAINED IN ACCORDANCE WITH DHS 132.65 AND HIPAA 45 CFR 164.53(J)(2).

THIS SERIES CONTAINS THE NON-CONTROLLED DRUGS FOR THE CONTINGENCY KITS HELD AT THE NURSING STATION. THE RECORD CONTAINS THE AMOUNTS DISTRIBUTED AND SHOWS THE DATE, TIME, MEMBER NAME, ROOM, DOCTOR, DOSE, WHO ADMINISTERED THE MEDICINE AND THE AMOUNT LEFT.

THESE RECORDS ARE MAINTAINED FOR A PERIOD OF 5 YEARS.

EVENT = CR + 5 YEARS & DESTROY CONFIDENTIAL.

00081000. PROOF OF USE FOR CONTROLLED SUBSTANCES CR+6 DEST Y

THIS RECORD IS MAINTAINED IN ACCORDANCE WITH DHS 132.65 AND HIPAA 45 CFR 164.53(J)(2). RECORDS CONTAIN A PROOF OF USE RECORD FOR ALL CONTROLLED SUBSTANCES AND SHOW MEMBER NAME, BUILDING, ROOM NUMBER, DRUG ISSUED, DOCTOR, RX NUMBER, AMOUNT, DATE, TIME, DOSE, AMOUNT LEFT AND WHO ADMINISTERED.

TYPE II, CONTROLLED SUBSTANCES ARE MAINTAINED SEPARATELY.

THESE RECORDS ARE MAINTAINED FOR A PERIOD OF 6 YEARS.

EVENT = CR + 6 YEARS AND DESTROY CONFIDENTIAL

00082000. PRESCRIPTION RECORDS CR+6 DEST Y

THIS RECORD IS MAINTAINED IN ACCORDANCE WITH DHS 32.45(4)(F), 132.65 AND HIPAA 45 CFR 164.53(J)(2) AND CONTAINS THE RECORD OF THE PRESCRIPTIONS ORDERED BY A MEDICAL DOCTOR OR REGISTERED NURSE FOR USE BY MEMBERS AT THE HOME. PRESCRIPTIONS FOR ALL CONTROLLED SUBSTANCES ARE ENTERED INTO THE PHARMACY COMPUTER SYSTEM AND A MONTHLY REPORT IS CREATED.

TYPE II CONTROLLED SUBSTANCES ARE MAINTAINED SEPARATELY.

THESE REPORTS ARE MAINTAINED FOR A PERIOD OF 6 YEARS.

THE COMPUTER DATA IS CLEARED ONCE THE MONTHLY REPORT IS GENERATED AND VERIFIED.

EVENT = CR + 6 YEARS AND DESTROY CONFIDENTIAL

00145000. PHARMACY RECORDS: MEDICARE PART D CR+10 DEST Y

THIS RECORD SERIES IS MAINTAINED IN ACCORDANCE WITH CENTER FOR MEDICARE AND MEDICAID SERVICES UNDER 42 CFR 423.505(D) REQUIRING A 10 YEAR RETENTION PERIOD AND CONTAINS:

RECORDS INCLUDE FILLED PRESCRIPTIONS, MEDICARE PART D BILLING STATEMENTS, AND PATIENT CARE DOCUMENTATION (SUCH AS PHARMACIST DRUG REGIMENT REVIEWS)

RECORDS MAY CONTAIN CONFIDENTIAL INFORMATION AND/OR PII AND SHOULD BE DEMMED CONFIDENTIAL PER WIS. STATS. 51.30

RETENTION: CR + 10 YEARS AND DESTROY CONFIDENTIAL

Dept #: /023/ Department Name: PROGRAMS AND SERVICES - VETERANS PROGRAMS

RDA # RDA Title Retention Disposition PII

00089000. DISCHARGE REVIEW/PRISON CLIENT RECORDS EVT+5 DEST Y

This record series was created in accordance with Wis. Stat. Ch 45. These records contain documentation of assistance to incarcerated veterans. They may contain documents for discharge reviews, service-connected disabilities, other Federal or State benefits, or other assistance based on veteran status or personal situations.

Access is protected per Wis. Stat. §§ 51.30(4) and 146.83 relate to access to patient health information and records (health information may be included for application of some veterans benefits). Wis. Admin. Code Ch. DHS 94.02 specifies when disclosure without consent is allowed. Wis. Stat. § 19.62(5) defines Personally Identifiable Information. Wis. Stat. § 45.04 provides release of information and records information. Wis. Stat. § 134.97 addresses disposal of records that contain personal information.

EVENT: completion of appeals

RDA # RDA Title Retention Disposition PII

00148000. FACILITY APPROVAL RECORDS **EVT+3** **DEST** **N**

The State Approving Agency has since 1944 approved and inspected schools, courses of instruction, and training facilities for veterans and eligible persons. This RDA combines Educational Approval Authority (EAB) expired RDAs 00017, 00028, and 00032 recently transferred to Veterans Affairs from the EAB.

This record series includes documentation related to the approval and re-approval process. Documentation can include school applications, catalogs, handbooks, reports, contracts and correspondence. Approval granted is for training of veterans under 38 C.F.R. pt. 3 and Wis. Stat. § 45.03(11). Federal guidelines for retention of materials is referenced in Federal Department of Veterans Affairs, Records Control Schedule VB-1, Part I, Field manual.

Event= date an approval is superseded or withdrawn. Destroy when an approval is superseded or withdrawn after three (3) years provided there is no litigation or investigation pending.

EVENT = Superseded or approval withdrawn

00149000. FACILITY CERTIFICATE OF DISAPPROVAL **EVT+10** **DEST** **N**

The State Approving Agency has since 1944 approved and inspected schools and courses of instruction for the training of veterans and eligible persons.

These certificates reflect a negative response to a request for approval of a facility. The certificates provide a summary and final disposition of the application. They are maintained for a longer period of time than the supporting documents in 149A for reference in the event of future applications or inquiries. Facility Certificates of Disapproval relate to training for veterans under 38 C.F.R., pt. 3 and Wis. Stats. § 45.03(11). Federal guidelines for retention of materials is referenced in the Federal Department of Veterans Affairs, Record Control Schedule VB-I, Part I, Field.

Event= disapproval date. Destroy after ten (10) years provided there is no litigation or investigation pending.

EVENT = Creation

00149A00. FACILITY DISAPPROVAL RECORDS **EVT+1** **DEST** **N**

The State Approving Agency has since 1944 approved and inspected schools and courses of instruction for the training of veterans and eligible persons.

These records contain supporting documentation for the certificates reflecting disapprovals in RDA 149. The retention period is shorter for the supporting documentation as the certificates' summaries provides the necessary information in the event of a future application. Records can include school applications, catalogs, handbooks, contracts and correspondence.

Disapproval supporting documents relate to training for veterans under 38 C.F.R., pt. 3 and Wis. Stats. § 45.03(11). Federal guidelines for retention of materials is referenced in the Federal Department of Veterans Affairs, Record Control Schedule VB-I, Part I, Field.

Event = disapproval date. Destroy after one (1) year provided there is no litigation or investigation pending.

EVENT = Creation

00150000. INSPECTION AND INVESTIGATION RECORDS AND REPORTS **EVT+3** **DEST** **Y**

The State Approving Agency has since 1944 approved and inspected schools and courses of instruction for the training of veterans and eligible persons. This RDA is a combination of recently transferred RDAs to Veterans Affairs from the Educational Approval Authority (EAB) as expired EAB RDA number 00024 - VA and State School Inspection Records and expired EAB RDA number 00025 - Inspection Reports.

This record series includes documentation related to audits, compliance surveys, inspection or supervisory visits or investigations. Content includes reason for action and all documents for determination or completion of action. These records and reports are part of maintaining approval for training of veterans under 38 C.F.R. pt. 3 and Wis. Stat. § 45.03(11). Federal guidelines for retention of materials is referenced in Federal Department of Veterans Affairs, Records Control Schedule VB-1, Part I, Field manual.

The data from these records are used for preparation of monthly and quarterly reports to the Federal Department of Veterans Affairs.

Records may contain Personally Identifiable Information that is protected under Wis. Stats. § 45.04 requiring confidential destruction.

Event = Completion of inspection or investigation. Destroy after 3 years provided there is no litigation or other investigation pending.

EVENT = Completion of Inspection/Investigation

00151000. CONTRACTS, BUSINESS PLANS, AND REPORTS **CR+7** **DEST** **N**

The State Approving Authority has since 1944 approved and inspected schools and courses of instruction for the training of veterans and eligible persons. This RDA was recently transferred to Veterans Affairs for the Educational Approval Board (EAB) as expired EAB RDA number 00027 VA Contract Files.

Dept #: /024/ Department Name: PROGRAMS AND SERVICES - STATE APPROVING AGENCY

RDA # RDA Title Retention Disposition PII

This record series includes documentation between the Federal Department of Veterans Affairs and the Wisconsin Department of Veterans Affairs. These records can contain contracts, progress reports, reimbursement vouchers, and other documentation and correspondence relating to the operation and compliance of the State Approving Agency with the Federal Department of Veterans Affairs.

These records are part of maintaining approval for training of veterans under 38 C.F.R. pt. 3 and Wis. Stat. § 45.03(11). Federal guidelines for retention of materials is referenced in Federal Department of Veterans Affairs, Records Control Schedule VB-I, Part I, Field manual.

Event= Creation. Destroy after seven (7) years provided there is no pending litigation or investigation.

EVENT = Creation

00152000. LISTS OF INSTITUTIONS AND VETERANS EVT+3 DEST Y

The State Approving Authority (SAA) has since 1944 approved and inspected schools and courses of instruction for the training of veterans and eligible persons. This RDA combines two RDAs recently transferred to Veterans Affairs for the Educational Approval Board (EAB) as expired EAB RDA numbers 00023 List of Institutions Currently Training Veterans Under Chapter 34 and/or 35, Title 38 U.S. Code and 00023A Lists of Institutions Currently Training Veterans under Chapter 34 and/or 35, Title 38 U.S. Code.

The Federal VA has a current list of institutions and veterans available online. It also issues annual lists of institutions and veterans covering all programs under 38 C.F.R. pt. 3. Federal guidelines for retention of materials is referenced in Federal Department of Veterans Affairs, Records Control Schedule VB-1, Part I, Field manual. The last three (3) years of these lists are used by SAA staff in performing compliance and investigative visits.

Box 16: Confidential Information is contained within these files and are to be destroyed confidentially per Wis. Stats. § 45.04.

Event= New annual list received. Destroy confidentially after three (3) years when new annual list is received, provided there is no pending litigation or investigation.

EVENT = New annual list received

Dept #: /025/ Department Name: BUREAU OF CLAIMS

RDA # RDA Title Retention Disposition PII

00020000. ADMINISTRATIVE FILES CR+2 DEST N

OFFICE IS ESTABLISHED IN ACCORDANCE WITH CHAPTER 45 WISCONSIN STATUTES.

RECORD SERIES IS ESTABLISHED AS EXECUTIVE ADMINISTRATIVE FILES IN ALPHABETICAL ORDER. THESE FILES CONTAIN CORRESPONDENCE WITHIN THE AGENCY, REQUEST FOR INFORMATION FROM THE CLAIMS OFFICE, AND INTERIUM CHANGES TO DEPARTMENT POLICY AND PROCEDURES.

RECORDS ARE RETAINED FOR TWO YEARS AND DESTROYED LOCALLY.

NO SIMILAR RECORDS ARE KEPT.

EVENT = CR + 2 YEARS AND DESTROY.

Dept #: /026/ Department Name: VETERANS MUSEUM

RDA # RDA Title Retention Disposition PII

00126000. GUEST REGISTER CR+4 DEST Y

GUEST REGISTER BOOKS ARE MAINTAINED FOR MUSEUM VISITORS TO VOLUNTARILY RECORD THEIR NAME, ADDRESS AND COMMENTS. EVEN THOUGH THE RECORDS ARE NOT CONSIDERED AS CONFIDENTIAL, IT WAS DETERMINED THEY SHOULD BE DESTROYED AS SUCH BECAUSE THEY ARE CONSIDERED PERSONALLY IDENTIFIABLE INFORMATION.