

155-PUBLIC SERVICE COMMISSION

Dept #: /002/ Department Name: BUSINESS OPERATIONS AND OFFICE MANAGEMENT

RDA #	RDA Title	Retention	Disposition	PII
<u>00002000.</u>	<u>GAS EXPLOSION REPORTS</u>	<u>CR+50</u>	<u>DEST</u>	<u>N</u>
<p>These documents deal with incidents that occurred because of possible pipeline failures, and which have endangered the public safety. They include such items as gas explosion reports, pictures, drawings, maps, etc. received from utilities, as well as Commission work papers, investigation papers/reports, and miscellaneous correspondence.</p> <p>These documents are vital to keep for possible litigation matters associated with any future incidents involving the same utility. They also provide a track record for possible safety code modifications to correct dangerous situations. Information received from these reports also provides background for equipment failure, which is useful for projecting changes to valves and other equipment.</p> <p>49 CFR 198 States and Grants Wis. Stat. § 196.72 Wis. Admin. Code Ch. PSC 104.05</p> <p>These reports and files will be retained for 50 years electronically. Paper will be destroyed upon verification.</p> <p>RETENTION: EVENT (Creation) + 50 years and destroy</p>				
<u>00003000.</u>	<u>COMMISSION DECISIONS (FORMERLY BLUE X AND LETTER ORDERS)</u>	<u>EVT+25</u>	<u>DEST</u>	<u>N</u>
<p>These are orders (commission decisions) issued by the Public Service Commission of Wisconsin. The orders are for all utility types (water, gas, electric) of cases, including rate regulation, construction, acquisitions, abandonments, etc., and may include appendices with revenue summaries, rate changes, appearances, etc. These orders often summarize formal case files and explain the commission's decision. Because of the information contained in the order, this document may provide sufficient information to respond to general informational requests and reduce the number of call-backs from the State Records Center.</p> <p>RETENTION: EVENT (Date sent to utility) + 25 years and destroy</p>				
<u>00004000.</u>	<u>UTILITY GENERAL CORRESPONDENCE FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
<p>These are subject files, filed in utility number order, which include miscellaneous correspondence (that is, correspondence not associated with a formal case or a complaint file), technical utility correspondence, accident and interruption reports, technical memoranda concerning utilities, etc.</p> <p>Wis. Admin Code PSC Chapters 2, 8, 104</p> <p>RETENTION: EVENT (Date accepted in ERF) + 5 years and destroy</p>				
<u>00007000.</u>	<u>TARIFF FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
<p>A tariff is the compilation of schedules of rates, charges, rules, regulations, definitions, and references which governs the provision of regulated utility services as required by Wis. Stat. § 196.19(1), (2).</p> <p>Tariff amendments; obsolete tariffs; contract agreements between utilities and other entities; and related correspondence and material for electric, steam, gas, sewer and communications utilities regulated by the Commission.</p> <p>RETENTION: EVENT (Superseded) + 10 years and destroy</p>				
<u>00008000.</u>	<u>NON-LANDMARK CASES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
<p>The majority of cases at the Public Service Commission are non-landmark cases and are filed pursuant to Wis. Stat. ch. 196.</p> <p>Some of the following Public Service Commission cases are non-landmark (case types may vary): Rate, Inquiry, Investigation, Buy/Sell Abandonment, Service, Construction, Depreciation, Stocks and Bond, Stray Voltage, Reservoir Water, Mergers, Rules (Electric and Gas), and Court Cases.</p> <p>Retain for 10 year and destroy.</p> <p>RETENTION: EVENT (Closed case) + 10 years and destroy</p>				
<u>00009000.</u>	<u>LANDMARK CASES</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>N</u>
<p>A landmark case is one that is determined to be of historical value. Any type of case, Wis. Stat. ch 196, may be designated as landmark, IF it is precedent setting; of special public interest or of research value or any combination of these characteristics.</p> <p>Only LEGAL COUNSEL or the PSC COMMISSIONER'S OFFICE may select landmark cases for inclusion in the series.</p> <p>Public Service Commission landmark cases (case types may vary) include but are not limited to: Major transmission lines, pipelines, original construction of power plants, holding company files, telephone reorganization files,</p>				

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	necessity and convenience files.			
	Cases determined to be landmark will be retained for 10 years after closed, then transferred to the State Historical Society.			
	RETENTION: EVENT (Closed case) + 10 years and transfer to State Historical Society			
<u>00012000.</u>	<u>ELECTRICAL CODE FILES</u>	<u>CR+25</u>	<u>DEST</u>	<u>N</u>
	Electrical Code files include complaints and inquiries related to state and/or federal electrical code requirements, waivers, and exceptions.			
	Used to document and track Commission actions and decisions. Also used as background and supporting material to propose changes or amendments to Wisconsin's electrical code.			
	Includes background material, supporting documents to develop or amend the electrical code, proposed rules, orders, and correspondence.			
	RETENTION: EVENT (Creation) +25 years and destroy			
<u>00014000.</u>	<u>UTILITY ANNUAL REPORTS</u>	<u>CR+20</u>	<u>SHSW</u>	<u>N</u>
	These are the Annual Reports of electric, gas, heating, telecommunications, water and joint utilities as required by Wis. Stat. §196.07 that are filed to the Public Service Commission by Wisconsin utilities. Each Annual Report shows organization, operations, finances, physical plan statistics and related information.			
	RETENTION: EVENT (Creation) + 20 years and transfer to State Historical Society			
<u>00015000.</u>	<u>AFFILIATED INTEREST FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
	Affiliated Interest files are contracts or arrangements providing for the furnishing of management, supervisory, construction, engineering, accounting, legal, financial or similar services and any contract or arrangement for the purchase, sale, lease or exchange of any property, right or thing other than management. Per Chapter 196.52 of the Statutes, these contracts are submitted to the Commission for approval. Documents in this series include contract, notice, transcribed hearing notes, and Commission decisions.			
	Records are maintained in the office throughout the life of the contract, including amendments, changes, and revisions. Retain for 3 years after closed and destroy.			
	RETENTION: EVENT (Expiration of contract) + 3 years and destroy			
<u>00016000.</u>	<u>INTERVENOR COMPENSATION FILES</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
	Intervenor Compensation files are formal files requesting compensation for party intervention in a formal case before the Commission per Wis. Admin. Code ch. PSC 3. Files include the application, supporting documents, and Commission decisions for financing only.			
	RETENTION: EVENT (Monies are paid/denied and all appeals are complete) + 4 years and destroy			
<u>00020000.</u>	<u>NEWS RELEASES</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>N</u>
	News releases are brief summaries of current commission activities that are sent to utilities, news media and interested persons. Retain 5 years and transfer to State Historical Society.			
	RETENTION: EVENT (Date posted/sent to media) + 5 years and transfer to State Historical Society			
<u>00021000.</u>	<u>INFORMAL CASE FILES</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
	This material is filed with the Commission as required by Wis. Admin. Code §§ PSC 113.134, 134.17, 165.053 and 185.39.			
	Informal complaints from the public which the Public Service Commission settles. Includes letter of complaint, informal complaint form, correspondence and related material concerning the settlement of complaint. Informal complaints are not submitted to the Commissioners; complaints are resolved by individual division staff. Some informal complaints contain information protected under Wis. Stat. § 49.53.			
	Formal complaints (landmark and non-landmark) are covered under PSC RDAs 0008 and 0009.			
	RETENTION: EVENT (Resolution notification) + 6 years and destroy confidential			
<u>00022000.</u>	<u>OFFICIAL FAX MACHINE LOG</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
	This is the log of electronic faxes received by date and time to Commission's FAX machine. Daily faxes are received electronically and stored in a staff-monitored email box or management purposes. Faxes are forwarded to appropriate staff, tagged with the recipients last name and corresponding division, then saved in the PSCRecords email for one year, then destroyed.			
	RETENTION: EVENT (End of business day) + 1 year and destroy			

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00027000. FOCUS ON ENERGY

EVT+6

DEST

N

Focus on Energy, a statewide public-private partnership, offers energy information and service to energy utility customers throughout Wisconsin. The goals of this program are to encourage energy efficiency and use of renewable energy, enhance the environment, and ensure the future supply of energy in Wisconsin. These services are delivered by a group of firms contracted by the Statewide Energy Efficiency and Renewable Administration with Public Service Commission of Wisconsin oversight.

The average file consists of: contractual agreement with grant recipient, amendments, budgets, purchase order, proposals, work plans, progress reports, background and working papers, invoices and related materials and correspondence.

Retain 6 years from closing date of contract and destroy consistent with Wis. Stat. § 196.374(7)(e)3.

RETENTION: EVENT (Closed) + 6 years and destroy

00028000. RECORDS SUBJECT TO NON-DISCLOSURE AND CONFIDENTIALITY AGREEMENT

EVT

DEST

N

PSC receives sensitive records from time-to-time, including records related to critical energy infrastructure information (CEII), from government entities and various stakeholders that are subject to non-disclosure agreements (NDA) or confidentiality agreements. For example, PSC receives critical energy infrastructure information (CEII). The Federal Energy Regulatory Commission believes that release of CEII may allow terrorists to systematically target the nation's electric grid and therefore generally refuses to release CEII under the FOIA under the exception for data that "could reasonably be expected to endanger the life or physical safety of any individual." 5 U.S.C. 522(b)(7)(F). Under FERC's rules, CEII can only be released subject to a confidentiality agreement. 18 C.F.R. Ss 388.113.

* Several of these agreements require the Commission to return or destroy records upon demand. Records that are subject to NDAs shall be maintained securely by Commission staff members who are authorized to access the records. Subject to the requirements of Wis. Stat. § 19.35, records subject to such agreements may be destroyed at will or upon demand of party to the agreement without regard to the length of time the record has been retained.

This record series does not include records granted confidential handling under Wis. Admin. Code ch PSC 2, unless those records are also subject to a formal, written non-disclosure or confidentiality agreement.

RETENTION: EVENT (Upon demand of FERC or other government entity/stakeholder with whom the Commission has an NDA) and destroy confidential

00041000. ENERGY CONTRACT FILES

EVT+6

DEST

Y

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

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

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

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

RETENTION: EVENT (Closing date of the contract) + 6 years and destroy confidential

Dept #: /155R/ Department Name: PSC-RAILROADS, OFF. OF THE COMMISSIONER

RDA # RDA Title Retention Disposition PII

00002000. ANNUAL REPORTS OF RAILROAD COMPANIES

CR+2

SHSW

N

File contains reports of railroad companies on ICC printed forms showing company history, directors and officers, corporate structure, revenues, expenses, income statement, balance sheet, property accounts, traffic and operating statistics and related information. File maintained for reference by staff and other state agencies regarding service and rate applications under Wis. Stats. 195.03(8).

RETENTION: EVENT (Creation) + 2 years and transfer to State Historical Society

00003000. ANNUAL REPORTS OF RAILWAY COMPANIES TO STOCKHOLDERS

CR+2

DEST

N

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RDA #	RDA Title	Retention	Disposition	PII		
	Filed by railroads operating in Wisconsin as required by Wis. Stats. S. 190.13. The file contains reports showing liabilities, assets, capital stock and funded debt, income statements showing operating revenues, operating expenses, gross and net income, directors, officers and related material. File maintained for reference for inquiries of general material. File maintained for reference for inquiries of general public.					
	RETENTION: EVENT (Creation) + 2 years and destroy					
<u>00004000.</u>	<u>RAILROAD FORMAL CASE FILES</u>	<u>EVT+7</u>	<u>SHSW</u>	<u>N</u>		
	Cases relate to formal investigations of crossings, clearances, safety matters, rights-of-way condition/maintenance, exemptions, etc. Files contain documentation (petitions, correspondence, notices, orders, transcripts, exhibits, [Pv contact date: 02/28/1994] memoranda, circuit plans, and related material) of investigations					
	Pursuant to Wis. Stats. § 195.046.					
	Retain for 5 years after issue of the last order and also on the condition that the case is inactive (no correspondence) for at least 2 years before transfer to State Historical Society.					
	In the event of new correspondence, the file is active for two more years.					
	RETENTION: EVENT (Issue of the last order) + 7 years and transfer to State Historical Society					
<u>00005000.</u>	<u>RAILROAD INFORMAL CASE FILES</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>		
	Digital database file contains correspondence, memoranda, investigation reports, and related materials generated in the process of settling complaints without formal procedure. File created under Wis. Stats. § 195.046 and maintained for inquiries from the general public.					
	Destroy 2 years after closed.					
	Case is closed when the complaint is resolved to the satisfaction of the office and on the condition that the complaint does not recur (no correspondence) within the retention period.					
	RETENTION: EVENT (Case closed) + 2 years and destroy					
<u>00006000.</u>	<u>RAILROAD OATHS - POLICE</u>	<u>EVT+2</u>	<u>DEST</u>	<u>N</u>		
	File contains signed oath of railroad police as required by s. 192.47 Wis. Stats., and is maintained for use by staff and general public.					
	EVT=termination of employment with the railroad.					
	RETENTION: EVENT (Termination of employment) + 2 years and destroy					
<u>00008000.</u>	<u>RAILROAD DOCKET BOOKS</u>	<u>CR+5</u>	<u>DEST</u>	<u>N</u>		
	The docket books are a digital database maintained for assigning docket numbers to both formal and informal investigation cases. File contains the date the case was docketed and gives a short description of the petition. Staff uses the file as a cross-referencing index.					
	OCR now uses an electronic database.					
	RETENTION: EVENT (Creation) + 5 years and destroy					
<u>00009000.</u>	<u>HEARING CALENDAR</u>	<u>CR+2</u>	<u>DEST</u>	<u>N</u>		
	File consists of weekly calendars listing both railroad and DOT referral hearings that will be held in the next week, in accordance with Wis. Stat. § 195.043. File maintained for use by staff and general public. Retain for 2 years after creation and destroy.					
	RETENTION: EVENT (Creation) + 2 years and destroy					
<u>00012000.</u>	<u>OFFICE ORDERS/DECISIONS - RAILROAD</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>		
	File contains copies of office orders/decisions and orders issued by both the Transportation Commission and the Public Service Commission prior to the creation of the Office of the Commissioner of Transportation. Orders authorize deviation from statutory requirements regarding railroad matters. The orders are the culmination of investigations and document the achievement of the office's mission with regard to railroad regulation. The file is maintained for reference with regard to inquiries from other agencies and the general public, and in litigation regarding accidents at railroad crossings.					
	Retain for 1 year after entered into data system and destroy.					
	RETENTION: EVENT (Entered into data system) + 1 year and destroy					
<u>00016000.</u>	<u>WATER CARRIER AUTHORITIES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>		

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	<p>Water carriers (ferries) wishing to operate in Wisconsin are required under Wis. Stats. § 195.45 to obtain special authority to do so. File contains original orders granting authority to operate and is maintained for staff and public reference. Destroy 5 years after cancellation.</p> <p>RETENTION: EVENT (Cancellation) + 5 years and destroy</p>			
<u>00017000.</u>	<u>WATER CARRIER FORMAL CASE FILES</u>	<u>EVT+2</u>	<u>SHSW</u>	<u>N</u>
	<p>File contains applications, complaints, notices, hearing documentation, memoranda and related correspondence, under Wis. Stats. §§ 195.046 and 195.02(5). File maintained for use by other state agencies, carriers and the public.</p> <p>Retain for 2 years after closed and transfer to SHS.</p> <p>Case is closed when the complaint is resolved to the satisfaction of the office and on the condition that the complaint does not recur (no correspondence) within the retention period. In the event of new correspondence, the file is active for two more years.</p> <p>RETENTION: EVENT (Two years after closed) + 2 years and transfer to State Historical Society</p>			
<u>00019000.</u>	<u>LANDMARK HEARING CASES</u>	<u>EVT+25</u>	<u>SHSW</u>	<u>N</u>
	<p>File includes hearings involving railroad and DOT referral (see RDA# 395-0018) cases that have either high impact on the function of the Office or are precedent setters. Many of the cases contain OCT decisions that were challenged in court and serve to demonstrate the extent of the Office's power and/or serve as a reference for the interpretation of law.</p> <p>Retain for 25 years after closed and transfer to State Historical Society.</p> <p>RETENTION: EVENT (Closed) + 25 years and transfer to State Historical Society</p>			
<u>00022000.</u>	<u>RAILROAD CROSSING FILE</u>	<u>CR+5</u>	<u>DEST</u>	<u>N</u>
	<p>Digital file contains a list of the railroad crossings in the state, with information such as operating railroad, location, protective devices, and technical information. The file also contains reports filed with the office under Wis. Stats § 195.34 that railroads submit after a train/pedestrian/auto accident or derailment, and is maintained for reference by staff.</p> <p>Retain for 5 years after creation and destroy.</p> <p>OCR now uses an electronic database.</p> <p>RETENTION: EVENT (Creation) + 5 years and destroy</p>			
<u>00030000.</u>	<u>CENTRAL INDEX TO RAILROADS RECORDS</u>	<u>EVT+49</u>	<u>SHSW</u>	<u>N</u>
	<p>This record series consists of an alphabetical index of individual railroads and includes an entry for each charter document, resolution, UCC filing or other instruments filed with respect to an individual railroad entity. Entries under each railroad name appear in chronological order and describe the instrument filed, the date filed and the book, volume and page numbers in which each instrument is filed.</p> <p>Paper records will be retained on-site for six (6) months after entry in the electronic index system and quality control, then transfer electronic/digital files to State Archives.</p> <p>RETENTION: EVENT (Date filed with agency) + 49 years and transfer to State Historical Society</p>			
<u>00032000.</u>	<u>RAILROAD PATENTS</u>	<u>EVT+49</u>	<u>SHSW</u>	<u>N</u>
	<p>Each page of the booklets (two volumes) is the Certificate of Incorporation (Patent) issued to a particular railroad, naming the railroad and the routes it may operate. Patents are arranged chronologically by date of issuance. Discontinued in 1929, Transfer to state Archives.</p> <p>RETENTION: EVENT (Date patent was issued) + 49 years and transfer to State Historical Society</p>			
<u>00033000.</u>	<u>RAILROAD INCORPORATIONS, RESOLUTIONS AND CHARTER DOCUMENTS</u>	<u>EVT+7</u>	<u>SHSW</u>	<u>N</u>
	<p>Transaction of articles or organization, amendments, consolidations, mergers and similar charter documents and resolutions regarding establishment, extension and abandonment of operating lines, recorded in chronological order by date of filing with the agency. Charter documents for railroads including articles of incorporations and amendatory documents, including oversized maps filed under Wis. Stat. § 190.11. Retain for seven years after date of dissolution, then transfer to State Archives.</p> <p>RETENTION: EVENT (Date of dissolution) + 7 years and transfer to State Historical Society</p>			
<u>00035000.</u>	<u>RAILROAD MORTGAGES AND TRUST DEEDS</u>	<u>EVT+49</u>	<u>SHSW</u>	<u>N</u>
	<p>Transcriptions of mortgages and other instruments, captioned with the title of the instrument, the name of the railroad and other parties to the transaction and the date filed (event) under Wis. Stat. § 190.11. Transfer electronic files to State Archives.</p>			

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RETENTION: EVENT (Filing date) + 49 years and transfer to State Historical Society				
<u>00036000.</u>	<u>QUIET ZONE FILES</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
Files contain Notices of Intent, Notices of Continuation/Affirmation, and Notices Establishing Quiet Zones from municipalities to the Office regarding the creation or maintenance of federally established quiet zones. Files created under Code of Federal Regulations 49 CFR § 222 and 229. File will be maintained electronically for three years as reference with regard to public inquiries and maintenance of the Office's railroad crossing database. Railroads refile new data every three years.				
RETENTION: EVENT (Date of issuance) + 3 years and destroy				
<u>00037000.</u>	<u>SIGNAL MAINTENANCE REPORTS</u>	<u>CR+7</u>	<u>DEST</u>	<u>N</u>
Files contain railroad annual signal maintenance reports, correspondence and copies of checks issued by Department of Transportation. Signal maintenance reports are filed under Wis. Stat. § 195.28(3).				
RETENTION: EVENT (Creation) + 7 years and destroy				