155-PUBLIC SERVICE COMMISSION

Dept # **I002I** Department Name **BUSINESS OPERATIONS AND OFFICE MANAGEMENT**

RDA #	RDA Title	Retention	Disposition	PII
00002000.	**GAS EXPLOSION REPORTS**	**CR+50**	**DEST**	**N**

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.

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 equipage.

49 CFR 198 States and Grants
Wis. Stat § 196.72
Wis. Admin. Code Ch. PSC 104.05

These reports and files will be retained for 50 years electronically. Paper will be destroyed upon verification.

RETENTION: EVENT (Creation) + 50 years and destroy

00003000.	**COMMISSION DECISIONS (FORMERLY BLUE X AND LETTER ORDERS)**	**EVT+25**	**DEST**	**N**

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.

RETENTION: EVENT (Date sent to utility) + 25 years and destroy

00004000.	**NON DOCKET UTILITY CORRESPONDENCE FILE**	**EVT+5**	**DEST**	**N**

This record series contains subject files uploaded via the Electronic Regulatory Filing (ERF) system to the utility ID and are processed as non-docket filings. These records may include, but are not limited to, miscellaneous correspondence {that is, correspondence not associated with a formal case or a complaint file), technical information, accident and interruption reports, memoranda concerning utilities, data requests and responses, etc.

Wis. Admin Code PSC Chapters 2, 8, 104

RETENTION: EVENT (Date accepted in ERF) + 5 years and destroy

00007000.	**TARIFF FILES**	**EVT+10**	**DEST**	**N**

Tariff files are a compilation of schedules of rates, charges, rules, regulations, definitions and references governing the provision of regulated Utility services as Wis. Stat. § 196.19.

For example, tariff amendments, obsolete tariffs, contract agreements between utilities and other entities, and related correspondence and material for electric, gas, water, sewer, and telecommunications utilities regulated by the Commission.

RETENTION: EVENT (Date tariff is superseded or obsolete) + 10 years and destroy

00008000.	**NON-LANDMARK CASES**	**EVT+10**	**DEST**	**N**

The majority of cases at the Public Service Commission are non-landmark cases and are filed pursuant to Wis. Stat. ch. 196.

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.

Retain for 10 year and destroy.

RETENTION: EVENT (Closed case) + 10 years and destroy

00009000.	**LANDMARK CASES**	**EVT+10**	**SHSW**	**N**

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.

Only LEGAL COUNSEL or the PSC COMMISSIONER'S OFFICE may select landmark cases for inclusion in the series.

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, 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

00012000. ELECTRICAL CODE FILES CR+25 DEST N

Electrical Code files include complaints and inquiries related to state and/or federal electrical code requirements, waivers, and exceptions.

Used to document and track Commission actions and decisions. Also used as background and supporting material to propose changes or amendments to Wisconsin's electrical code.

Includes background material, supporting documents to develop or amend the electrical code, proposed rules, orders, and correspondence.

RETENTION: EVENT (Creation) +25 years and destroy

00014000. UTILITY ANNUAL REPORTS CR+20 SHSW N

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

00015000. AFFILIATED INTEREST FILES EVT+6 DEST N

These agreements and contracts are submitted to the Commission for approval per Wis. Stat. § 196.52. This record series includes contracts, notices, memos, data requests/responses, and Commission decisions.

Such contracts or arrangements are provided for the furnishing of management, supervisory, construction, engineering, accounting, legal, financial or similar services. In addition, records may include any contract or arrangement for the purchase, sale, lease or exchange of any property, right or thing other than management.

RETENTION: EVENT (Date contract expires) + 6 years and destroy

00016000. INTERVENOR COMPENSATION FILES EVT+4 DEST N

Intervenor Compensation files are formal files requesting compensation for party intervention in a formal case before the Commission per 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

00020000. NEWS RELEASES EVT+5 SHSW N

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

00021000. INFORMAL CASE FILES EVT+6 DEST Y

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

00022000. OFFICIAL FAX MACHINE LOG EVT+1 DEST N

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.

RDA #	RDA Title	Retention	Disposition	PII

RETENTION: EVENT (End of business day) + 1 year and destroy

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. CEII'S SUBJECT NON-DISCLOSURE / CONFIDENTIALITY AGREEMENTS — EVT+0/1 — DEST — N

Federal Agencies, such as the Federal Energy Regulatory Commission (FERC), and regulated entities subject to the jurisdiction of Federal Agencies, refuse to release certain information to the Commission which is required by the Commission unless the Commission executes non-disclosure agreements (NDA) or confidentiality agreements. Such information, collectively identified as Critical Energy Infrastructure Information (CEII), includes the following: Critical Energy Infrastructure Information (16 U.S.C. §824o-1(d),18 C.F.R. § 388.113) and Protected Critical Infrastructure Information (6 U.S.C. § 673(a)(1)). This information is exempt from disclosure because the law “requires that the matters be withheld from the public in such a manner as to leave no discretion on the issue” because 16 U.S.C. §8240-1(d) and 6 U.S.C. §673(a)(1)(A) prohibits disclosure. CEII Records that are subject to NDAs shall be maintained securely by Commission staff members who are authorized to access the CEII records. These records include engineering plans, GIS data of utility infrastructure, modeling information, and any other record that contains information about a system or asset of the bulk-power system (whether physical or virtual) that if destroyed or incapacitated,would negatively affect national security, economic security, reliability, public health or safety.

EVENT: From the date of demand, return or destroy records within 15 days per 5 U.S.C. § 522 and applicable NDA.

RETENTION: EVENT + 15 days 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 — EVT+7 — SHSW — N

File contains reports of railroad companies on Surface Transportation Board (Class I railroads) and Wisconsin Department of Revenue (Class II and III railroads) forms showing company history, directors and officers, corporate structure, revenues, expenses, income statement, balance sheet, property accounts, traffic and operating statistics, intrastate operating revenues, and related information. File maintained for use by staff and other state agencies regarding service and rate applications under Wis. Stat. § 195.03(8), and Office remainder assessment under Wis. Stat. § 195.60(2).

RETENTION: EVENT (Date of receipt) + 7 years and transfer to State Historical Society

00004000. RAILROAD FORMAL CASE FILES — EVT+7 — SHSW — N

Cases relate to formal investigations of crossings, clearances, safety matters, rights-of-way condition/maintenance, exemptions, etc. Files contain documentation (petitions, correspondence, notices, transcripts, exhibits, memoranda, circuit plans, and related material) of investigations conducted under Office authority.

File created under Wis. Stat. § 195.046 and maintained for inquiries from the general public.

RETENTION: EVENT (Case closed) + 7 years and transfer to State Historical Society

00005000. RAILROAD INFORMAL CASE FILES EVT+6 DEST N

File contains correspondence, memoranda, investigation reports, and related materials generated in the process of settling complaints without formal procedure. This file also contains general complaints from the public such as blocked crossings, noise, train whistle, railroad operations, idling train, rough crossings, and safety concerns. File created under Wis. Stat. § 195.046 and maintained for inquiries from the general public.

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) + 6 years and destroy

00006000. RAILROAD OATHS - POLICE EVT+2 DEST N

File contains signed oath of railroad police as required by Wis. Stat.§ 192.47, and is maintained for use by staff and general public.

RETENTION: EVENT (Termination of employment) + 2 years and destroy

00012000. OFFICE ORDERS DECISIONS - RAILROAD EVT+3 SHSW N

Records of office orders and decisions, and orders issued by the Transportation Commission, Public Service Commission, Office of the Commissioner of Transportation, and Office of Commissioner of Railroads. The orders are the culmination of investigations and document the achievement of the office's duty with regard to railroad regulation under Wis. Stat. chs. 195, 190, and 192 including the maintenance of warning devices. The file is used and maintained by staff to assist with inquiries from other agencies, the general public, and in litigation brought by private parties against the railroad or Office regarding accidents which occur at railroad crossings.

Office cases can be reopened or rescinded without time restrictions under Wis. Stat.§ 195.05(4).

Superseded order means that the Office issues a new order for the crossing that takes the place of the order previously in authority.

RETENTION: EVENT (Crossing closure or superseded order) + 3 year and transfer to WHS

00016000. WATER CARRIER AUTHORITIES EVT+5 SHSW N

Water carriers (ferries) wishing to operate in Wisconsin are required under Wis. Stat. § 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. Original orders set forth all terms and conditions of operation.

Office cases can be reopened or rescinded without time restrictions under Wis. Stat.§ 195.05(4).

RETENTION: EVENT (Cancellation) + 5 years and transfer to WHS

00017000. WATER CARRIER FORMAL CASE FILES EVT+7 SHSW N

File contains applications, complaints, notices, hearing documentation, memoranda and related correspondence, under Wis. Stats.§§ 195.046 and 195.02(5). File maintained for use by other state agencies, water carriers and the public.

RETENTION: EVENT (case closed) + 7 years and transfer to State Historical Society

00019000. LANDMARK HEARING CASES EVT+25 SHSW N

File includes hearings involving railroad and DOT referral (see RDA# 395-0018) cases that have either high impact on the function of the Office or are precedent setters. Many of the cases contain Office of the Commissioner of Transportation & Office of the Commissioner of Railroads 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.

RETENTION: EVENT (Case Closed) + 25 years and transfer to State Historical Society

00022000. RAILROAD CROSSING FILE EVT+5 DEST N

File contains a list of the railroad crossings in the state, with information such as operating railroad company, location, protective devices, and technical information. The file also contains reports filed with the office under Wis. Stat. § 195.34 that railroads submit after a train/pedestrian/auto accident or derailment, and is maintained for use by staff.

RETENTION: EVENT (Close of crossing) + 5 years and destroy

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

Transcriptions of mortgages and other instruments, captioned with the title of the instrument, the name of the railroad and other parties to the transaction and the date filed under Wis. Stat. § 190.11.

RETENTION: EVENT (Filing date) + 49 years and transfer to State Historical Society

00036000. QUIET ZONE FILES EVT+3 DEST N

Files contain Notices of Intent, Notices of Continuation/Affirmation, and Notices Establishing Quiet Zones from municipalities to the Office regarding the creation or maintenance of federally established quiet zones. Files created under Code of Federal Regulations 49 CFR pts. 222 and 229. Railroads refile new data every three years.

RETENTION: EVENT (Date of issuance) + 3 years and destroy

00037000. SIGNAL MAINTENANCE REPORTS EVT+7 DEST N

Files contain railroad annual signal maintenance claims filed under Wis. Stat. § 195.28(3), correspondence, supporting documentation and payment issued by Department of Transportation under appropriation.

RETENTION: EVENT (date claim payments are issued) + 7 years and destroy